

# Oracle® Banking Trade Finance Process Management Lodge Claim Guarantee Issued User Guide



Release 14.7.5.0.0  
G24302-01  
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The Oracle logo, consisting of a solid red square with the word "ORACLE" in white, uppercase, sans-serif font centered within it.

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Oracle Banking Trade Finance Process Management Lodge Claim Guarantee Issued User Guide, Release 14.7.5.0.0  
G24302-01

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# Contents

## Preface

---

Purpose	v
Audience	v
Documentation Accessibility	v
Critical Patches	vi
Diversity and Inclusion	vi
Structure	vi
Conventions	vi
Related Documents	vi
Screenshot Disclaimer	vii
Acronyms and Abbreviations	vii
Basic Actions	vii
Symbols and Icons	viii

## 1 Oracle Banking Trade Finance Process Management

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## 2 Lodge Claim - Guarantee Issued

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2.1	Common Initiation Stage	2-2
2.2	Registration	2-3
2.2.1	Document Linkage	2-9
2.3	Scrutiny	2-14
2.3.1	Main Details	2-16
2.3.2	Claim Details	2-22
2.3.3	Document Details	2-26
2.3.4	Additional Fields	2-30
2.3.5	Additional Details	2-32
2.3.6	Summary	2-43
2.4	Data Enrichment	2-46
2.4.1	Main Details	2-48
2.4.2	Claim Details	2-51
2.4.3	Document Details	2-51
2.4.4	Additional Fields	2-52

2.4.5	Advices	2-53
2.4.6	Additional Details	2-57
2.4.7	Settlement Details	2-62
2.4.8	Summary	2-66
2.5	Exceptions	2-66
2.6	Multi Level Approval	2-74

## Index

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# Preface

- [Purpose](#)
- [Audience](#)

This document is intended for the following audience:
- [Documentation Accessibility](#)
- [Critical Patches](#)
- [Diversity and Inclusion](#)
- [Structure](#)

This manual is organized into the following chapters:
- [Conventions](#)
- [Related Documents](#)
- [Screenshot Disclaimer](#)
- [Acronyms and Abbreviations](#)
- [Basic Actions](#)
- [Symbols and Icons](#)

## Purpose

This manual is designed to help you quickly get acquainted with the Oracle Banking Trade Finance Process Management **Lodge Claim - Guarantee Issued** process.

## Audience

This document is intended for the following audience:

- Oracle Implementers
- Customer Service Representatives (CSRs)
- Oracle user

## Documentation Accessibility

For information about Oracle's commitment to accessibility, visit the Oracle Accessibility Program website at <http://www.oracle.com/pls/topic/lookup?ctx=acc&id=docacc>.

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## Critical Patches

Oracle advises customers to get all their security vulnerability information from the Oracle Critical Patch Update Advisory, which is available at [Critical Patches](#), [Security Alerts and Bulletins](#). All critical patches should be applied in a timely manner to ensure effective security, as strongly recommended by [Oracle Software Security Assurance](#).

## Diversity and Inclusion

Oracle is fully committed to diversity and inclusion. Oracle respects and values having a diverse workforce that increases thought leadership and innovation. As part of our initiative to build a more inclusive culture that positively impacts our employees, customers, and partners, we are working to remove insensitive terms from our products and documentation. We are also mindful of the necessity to maintain compatibility with our customers' existing technologies and the need to ensure continuity of service as Oracle's offerings and industry standards evolve. Because of these technical constraints, our effort to remove insensitive terms is ongoing and will take time and external cooperation.

## Structure

This manual is organized into the following chapters:

- Preface: Preface gives information on the intended audience, structure, and related documents for this User Manual.
- Chapters: The subsequent chapters provide an overview to the module.
- Screen Shot Disclaimer - The images of screens used in this user manual are for illustrative purpose only, to provide improved understanding of the functionality; information used in the interface or documents are dummy, it does not exist in real world, and its only for reference purpose.

## Conventions

The following text conventions are used in this document:

Convention	Meaning
<b>boldface</b>	Boldface type indicates graphical user interface elements associated with an action, or terms defined in text.
<i>italic</i>	Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values.
monospace	Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter.

## Related Documents

For more information on any related features, you can refer to the following documents:

- Getting Started User Guide
- Oracle Banking Common Core User Guide

## Screenshot Disclaimer

Personal information used in the interface or documents is dummy and does not exist in the real world. It is only for reference purposes.

## Acronyms and Abbreviations

The list of the acronyms and abbreviations that are used in this guide are as follows:

**Table 1 Acronyms and Abbreviations**

Abbreviation	Description
OBTFFPM	Oracle Banking Trade Finance Process Management
LC	Letter of Credit
BC	Bankers Cheque
FX	Foreign Exchange
CCY	Currency
LCY	Local Currency
FCY	Foreign Currency
LOV	List of Values
CIF	Customer Information File
UDF	User Defined Fields
FFT	Free Format Text
SBLC	Standby Letter of Credit

## Basic Actions

Most of the screens contain Action Buttons to perform all or a few of the basic actions. The actions which are called here are generic, and it varies based on the usage and the applicability. The table below gives a snapshot of them:

**Table 2 Common Action Buttons and its Definitions**

Action Buttons	Description
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>

Table 2 (Cont.) Common Action Buttons and its Definitions

Action Buttons	Description
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Click <b>Cancel</b> to cancel the transaction input midway without saving any data.
<b>Save &amp; Close</b>	Click <b>Save &amp; Close</b> to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Next</b>	Click <b>Next</b> , system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.
<b>Submit</b>	Click <b>Submit</b> to complete the transaction after you specify all the input parameters for a particular process. The task will get moved to next logical stage of the process. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.

## Symbols and Icons

The list of symbols and icons available on the screens are as follows:

Table 3 Symbols and Icons - Common






Symbol/Icon	Function
	Minimize
	Maximize
	Close
	Perform Search
	Open a list



Table 3 (Cont.) Symbols and Icons - Common

Symbol/Icon	Function
	Date Range
	Add a new record
	Navigate to the first record
	Navigate to the last record
	Navigate to the previous record
	Navigate to the next record
	Grid view
	List view
	Refresh
	Click this icon to add a new row.
	Click this icon to delete a row, which is already added.
	Calendar
	Alerts
	Unlock Option
	View Option
	Reopen Option

Table 4 Symbols and Icons - Widget

Symbol/Icon	Function
	Open status
	Unauthorized status
	Rejected status
	Closed status
	Authorized status
	Modification Number

# 1

## Oracle Banking Trade Finance Process Management

This topic helps you quickly get acquainted with the Oracle Banking Trade Finance Process Management process.

Welcome to the Oracle Banking Trade Finance Process Management (OBTFPM) User Guide. This guide provides an overview on the OBTFPM application and takes you through the various steps involved in creating and processing Trade Finance transactions.

This document will take you through following activities in OBTFPM:

- To create and handle Trade Finance transaction.
- Help users to conveniently create and process Trade Finance transaction

### Overview

OBTFPM is a Trade Finance middle office platform, which enables bank to streamline the Trade Finance operations. OBTFPM enables the customers to send request for new Trade Finance transaction either by visiting the branch (offline channels) or through SWIFT/Trade Portal/other external systems (online channels).

### Benefits

OBTFPM helps banks to manage Trade Finance operations across the globe in different currencies. OBTFPM allows you to:

- Handle all Trade Finance transactions in a single platform.
- Provides support for limit verification and limit earmarking.
- Provide amount block support for customer account.
- Provides acknowledgement to customers.
- Enables the user to upload related documents during transaction.
- Enables to Integrate with back end applications for tracking limits, creating limit earmarks, amount blocks, checking KYC, AML and Sanction checks status.
- Create, track and close exceptions for the above checks.
- Enables to use customer specific templates for fast and easy processing of trade transactions that reoccur periodically.

### Key Features

- Stand-alone system that can be paired with any back end application.
- Minimum changes required to integrate with bank's existing core systems.
- Faster time to market.
- Capable to interface with corporate ERP and SWIFT to Corporate.
- Highly configurable based on bank specific needs.
- Flexibility in modifying processes.

# 2

## Lodge Claim - Guarantee Issued

This User Manual describes the various stages of Lodge Claim - Guarantee Issued process.

As part of Lodge Claim - Guarantee Issued process, the applicant can lodge a claim against the Guarantee/SBLC issued.

The various scenarios to lodge the complaint against the guarantee issued:

- Claim received from beneficiary directly at Issuing Bank
- Claim received from the Counter Issuing Bank (CIB) at Counter - Counter Issuing Bank (enable SWIFT STP)
- Claim received from LIB at CIB (enable SWIFT STP)
- Claim received from advising bank/ATB at ISB (enable SWIFT STP)
- Claim received from beneficiary bank through a swift message at ISB (enable SWIFT STP)
- Claim received at the LIB to be claimed with CIB-Enable SWIFT STP
- Claim received from LIB at CIB to be claimed from CCIB- Enable SWIFT STP
- Claims received from the Local Guarantee Issuing Bank (LIB), Counter Guarantee Issuing Bank (CIB), Advising Bank (ABK) or Claiming Bank (Presenting Bank)

In the subsequent sections, let's look at the details for Lodge Claim - Guarantee Issuance process:

This topic contains following subtopics:

- [Common Initiation Stage](#)  
This topic provides the systematic instructions to initiate the new **Lodge Claim Guarantee Issued** request.
- [Registration](#)  
This topic provides the systematic instructions to initiate the Registration stage of **Lodge Claim Guarantee Issued** request.
- [Scrutiny](#)  
This topic provides the systematic instructions to initiate the Scrutiny stage of Lodge Claim Guarantee Issued request.
- [Data Enrichment](#)  
This topic provides the systematic instructions to initiate the Data Enrichment stage of Lodge Claim Guarantee Issued request.
- [Exceptions](#)  
This topic helps you quickly get acquainted with the Exceptions process.
- [Multi Level Approval](#)  
This topic helps you quickly get acquainted with the Multi Level Approval process.

## 2.1 Common Initiation Stage

This topic provides the systematic instructions to initiate the new **Lodge Claim Guarantee Issued** request.

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Initiate Task**.

The **Initiate Task** screen appears.

**Figure 2-1 Initiate Task**

2. On **Initiate Task** screen, specify the fields.

 **Note:**

The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

**Table 2-1 Initiate Task - Field Description**

Field	Description
<b>Process Name</b>	Select a process name from the drop-down list.
<b>Branch</b>	Select the required branch code from the drop-down list.

For more information on action buttons, refer to the field description table below.

**Table 2-2 Action Buttons - Field Description**

Field	Description
<b>Proceed</b>	Task will get initiated to next logical stage.
<b>Clear</b>	Click to clear the contents update and enter the values again.

3. Click **Proceed** to proceed to the next step.

## 2.2 Registration

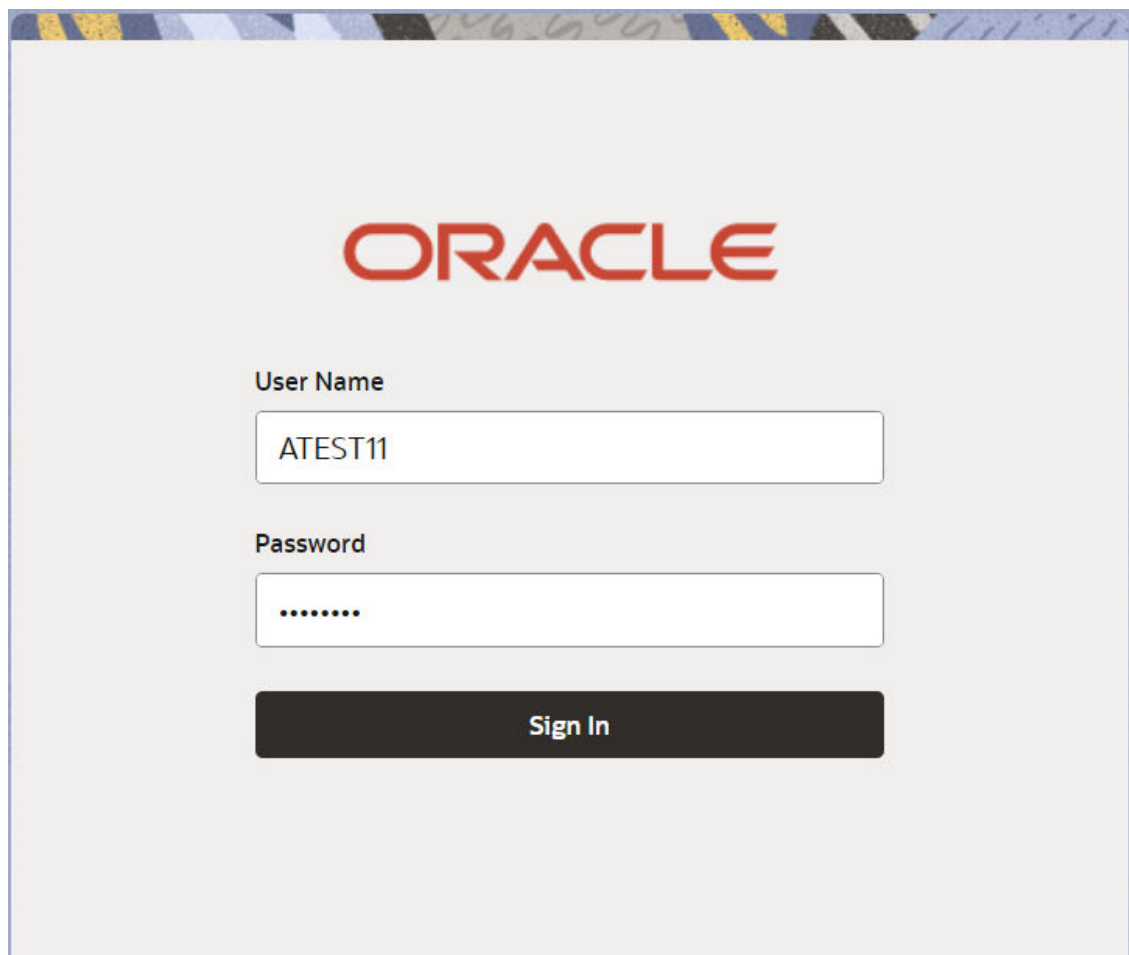
This topic provides the systematic instructions to initiate the Registration stage of **Lodge Claim Guarantee Issued** request.

During the Registration stage, the user can register a claim request against the Guarantee/SBLC issued.

The user can capture the basic details of the application, check the signature of the applicant and upload the related documents of the applicant.

Specify **User ID** and **Password**, and login to **Home** screen.

**Figure 2-2 Login Screen**



The screenshot shows the Oracle login interface. At the top center is the Oracle logo in red. Below the logo, the text 'User Name' is followed by a text input field containing 'ATEST11'. Below that, the text 'Password' is followed by a password input field with seven dots. At the bottom of the form is a black button with the text 'Sign In' in white.

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Bank Guarantee Issuance**.
2. Under **Bank Guarantee Issuance**, click **Lodge Claim Guarantee Issued**.

Figure 2-3 Lodge Claim Guarantee Issued

The screenshot shows the Oracle 'Initiate Task' interface. On the left is a navigation menu with 'Trade Finance' selected. The main area is titled 'Initiate Task Registration'. It contains two dropdown menus: 'Process Name' set to 'Lodge Claim Guarantee Issued' and 'Branch' set to 'PK2-Oracle Banking Trade Fina'. There are 'Proceed' and 'Clear' buttons on the right.

The **Lodge Claim Guarantee Issued** screen appears. The Lodge Claim Guarantee Issued - Registration stage has two sections Application Details and Guarantee Details. Let's look at the details of Registration screens below:

Figure 2-4 Lodge Claim Guarantee Issued - Registration - Application Details

The screenshot displays the 'Lodge Claim - Guarantee Issued' application details screen. It is organized into two main sections: 'Application Details - Main' and 'Guarantee Details'.  
**Application Details - Main:**  
 - Undertaking Number: GUIR22100068652  
 - Received From Customer ID/Name: 001044 GOODCARE  
 - Branch: PK2-Oracle Banking Trade Fina  
 - Claim Serial Number: 1  
 - Process Reference Number: PK2GTEC000064899  
 - Priority: Medium  
 - Submission Mode: Desk  
 - Claim Received Date: April 20, 2022  
 - Claim Lodgement Date: April 20, 2022  
 - Beneficiary Reference Number: [Empty]  
 - User Reference Number: GUIR22100068652  
**Guarantee Details:**  
 - Guarantee Type: CUST  
 - 30 Date of Issue: May 5, 2021  
 - Purpose of Message: ISSU  
 - 23B Expiry Type: OPEN  
 - 31E Date of Expiry: [Empty]  
 - Claim Date: August 3, 2021  
 - Claim Expiry Date: September 2, 2021  
 - Outstanding Currency/ Amount: GBP £0.00  
 - 40C Applicable Rules: URDG - Uniform rules for dem...  
 - Applicant Bank: 001045 MARKS ANI  
 - 50 Applicant: 001041 WELLS FAR  
 - 59A Beneficiary: 001204 PK2WALKIN  
 - Advising Bank: [Empty]  
 - Advise Through Bank: [Empty]  
 - Counter Guarantee Issuing Bank: [Empty]  
 - Presenting Bank: [Empty]  
 - Accountee: [Empty]  
 - Local Guarantee Issuing Bank: [Empty]

- On **Lodge Claim Guarantee Issued - Registration - Application Details** screen, specify the fields.

**Note:**

The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

**Table 2-3 Lodge Claim Guarantee Issued - Registration - Application Details**

Field	Description
<b>Undertaking Number</b>	Specify the undertaking number.  Alternatively, click <b>Search</b> to search and select the documentary undertaking number from the look-up.  As part of search criteria; user can input the Applicant, User Reference Number, Product Code, Currency and Amount.
<b>Received From Customer ID/Name</b>	Read only field.  System defaults the customer ID/ Name from Guarantee/ SBLC Issuance.
<b>Branch</b>	Read only field.  System defaults the branch name from Guarantee /SBLC issuance.  Customer's home branch will be displayed.
<b>Claim Serial Number</b>	Read only field.  System defaults the claim serial number from Guarantee/ SBLC Issuance. This should be the latest claim number available in back-end system +1.
<b>Process Reference Number</b>	Read only field.  Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.
<b>Priority</b>	Priority maintained will be populated as either <b>Essential</b> or <b>Critical</b> or <b>High</b> or <b>Medium</b> or <b>Low</b> . If priority is not maintained for a customer, 'Medium' priority will be defaulted. User can change the priority populated any time before submit of Registration stage.
<b>Submission Mode</b>	Select the submission mode of Guarantee Issuance request from the drop-down list.  By default the submission mode will have the value as 'Desk'. <ul style="list-style-type: none"> <li>• <b>Desk</b> - Request received through Desk</li> <li>• <b>Fax</b>- Request received through Fax</li> <li>• <b>Email</b>- Request received through Email</li> <li>• <b>Courier</b> - Request received through Courier</li> <li>• <b>SWIFT-Non STP</b> - Request received through SWIFT</li> </ul>
<b>Claim Received Date</b>	Indicates the date on which claim is received.  By default, the application will display branch's current date. The user can change date.



**Table 2-3 (Cont.) Lodge Claim Guarantee Issued - Registration - Application Details**

Field	Description
<b>Claim Lodgement Date</b>	Read only field. By default, the application will display branch's current date.
<b>Beneficiary Reference Number</b>	Read only field. System defaults the 'Beneficiary Reference number' if available.
<b>User Reference Number</b>	Read only field. System defaults the user reference number, depending on the selection of Undertaking Number.

### Guarantee Details

Registration user can provide Guarantee details in this section. Alternately, guarantee details can be provided by Scrutiny user.

4. On **Lodge Claim Guarantee Issued - Registration - Guarantee Details** screen, specify the fields.

#### Note:


The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.


**Table 2-4 Lodge Claim Guarantee Issued - Registration - Guarantee Details - Field Description**

Field	Description
<b>Guarantee Type</b>	Read only field. Guarantee type defaults from Guarantee/ Standby Issuance.
<b>Date of Issue</b>	Read only field. System defaults the date of issue from Guarantee /SBLC issuance.

**Table 2-4 (Cont.) Lodge Claim Guarantee Issued - Registration - Guarantee Details - Field Description**

Field	Description
<b>Purpose of Message</b>	<p>Read only field. System defaults the purpose of message from Guarantee/ Standby Issuance. The value can be:</p> <ul style="list-style-type: none"> <li>• <b>URDG</b> - Uniform rules for demand guarantees</li> <li>• <b>UCPR</b> - Uniform customs and Practices</li> <li>• <b>ISPR</b> - International standby Practices</li> <li>• <b>NONE</b> - Not subject to any rules</li> <li>• <b>OTHR</b></li> </ul>
<b>Expiry Type</b>	<p>Read only field. This field indicates whether undertaking has specified expiry date or is open-ended. System defaults the expiry type from Guarantee/ SBLC Issuance.</p>
<b>Date of Expiry</b>	<p>Read only field. Expiry date of the Guarantee Issuance. System defaults the expiry date from Guarantee/ SBLC Issuance.</p>
<b>Claim Date</b>	<p>Read only field. System defaults the claim date from Guarantee/ SBLC Issuance.</p>
<b>Claim Expiry Date</b>	<p>Read only field. System defaults the claim expiry date from Guarantee/ SBLC Issuance.</p>
<b>Outstanding Currency/ Amount</b>	<p>Read only field. System defaults outstanding currency and amount from Guarantee/ Standby Issuance.</p>
<b>Applicable Rules</b>	<p>Read only field. This field displays the rules of the Guarantee/ Standby issuance. System defaults the value from Guarantee issuance details.</p>
<b>Applicant Bank</b>	<p>Read only field. This system defaults the applicant bank details available in Guarantee.</p>
<b>Applicant</b>	<p>Read only field. System defaults the applicant from Guarantee issuance details.</p>
<b>Beneficiary</b>	<p>System defaults the beneficiary from Guarantee/ SBLC Issuance. User can modify the beneficiary if required.</p> <p>Alternatively, click <b>Search</b> to search and select the beneficiary from the look-up.</p> <div style="border: 1px solid #0070C0; padding: 10px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>If the KYC non-compliant party is selected then the system immediately gives instant alert as “Customer ID - (CIF ID) is not KYC compliant.”</p> </div>

**Table 2-4 (Cont.) Lodge Claim Guarantee Issued - Registration - Guarantee Details - Field Description**

Field	Description
<b>Advising Bank</b>	Read only field. System defaults the details of the advising bank, if available.
<b>Advising Through Bank</b>	Read only field. System defaults the value of advising through bank defaults from Guarantee/ Standby Issuance, if available.
<b>Counter Guarantee Issuing Bank</b>	Read only field. System defaults the counter guarantee issuing through bank, if available.
<b>Local Guarantee Issuing Bank</b>	Read only field. System defaults the local guarantee issuing bank, if available.
<b>Presenting Bank</b>	User can select the presenting bank reference, if available.  <div style="border: 1px solid #0070C0; background-color: #E6F2FF; padding: 5px; margin-top: 10px;">  <b>Note:</b> Currently this field is not available in OBTF. </div>
<b>Accountee</b>	Read only field. System defaults the accountee name, if available in Guarantee.

5. Click **Submit**.

The task will move to next logical stage of Lodge Claim Guarantee Issued. For more information refer [Scrutiny](#).

For more information on action buttons, refer to the field description table below.

**Table 2-5 Lodge Claim Guarantee Issued - Registration - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	Upload the documents received. Application displays mandatory documents to be uploaded for Lodge Claim Guarantee Issued. Place holders are also available to upload additional documents submitted by the applicant
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.
<b>Customer Instruction</b>	Click to view/ input the following: <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Guarantee/SBLC</b>	Clicking this button allows the user to view the underlying Guarantee/ SBLC from the back office system.

**Table 2-5 (Cont.) Lodge Claim Guarantee Issued - Registration - Action Buttons - Field Description**

Field	Description
<b>Guarantee/SBLC Events</b>	Clicking Guarantee/SBLC Events button allows the user to view the snapshot of various events under the Lodge Claim Guarantee Issued.
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancels the Lodge Claim Guarantee Issued task. Details entered will not be saved and the task will be removed.
<b>Save &amp; Close</b>	Save the information provided and holds the task in 'My Task' queue for working later.  This option will not submit the request.
<b>Submit</b>	Click Submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. The task will move to next logical stage of Lodge Claim Guarantee Issued. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.
<b>Checklist</b>	Click to view the list of items that needs to be completed and acknowledge. If mandatory checklist items are not selected, system will display an error on submit.

- [Document Linkage](#)  
This topic provides the systematic instructions to initiate the document linkage.

## 2.2.1 Document Linkage

This topic provides the systematic instructions to initiate the document linkage.

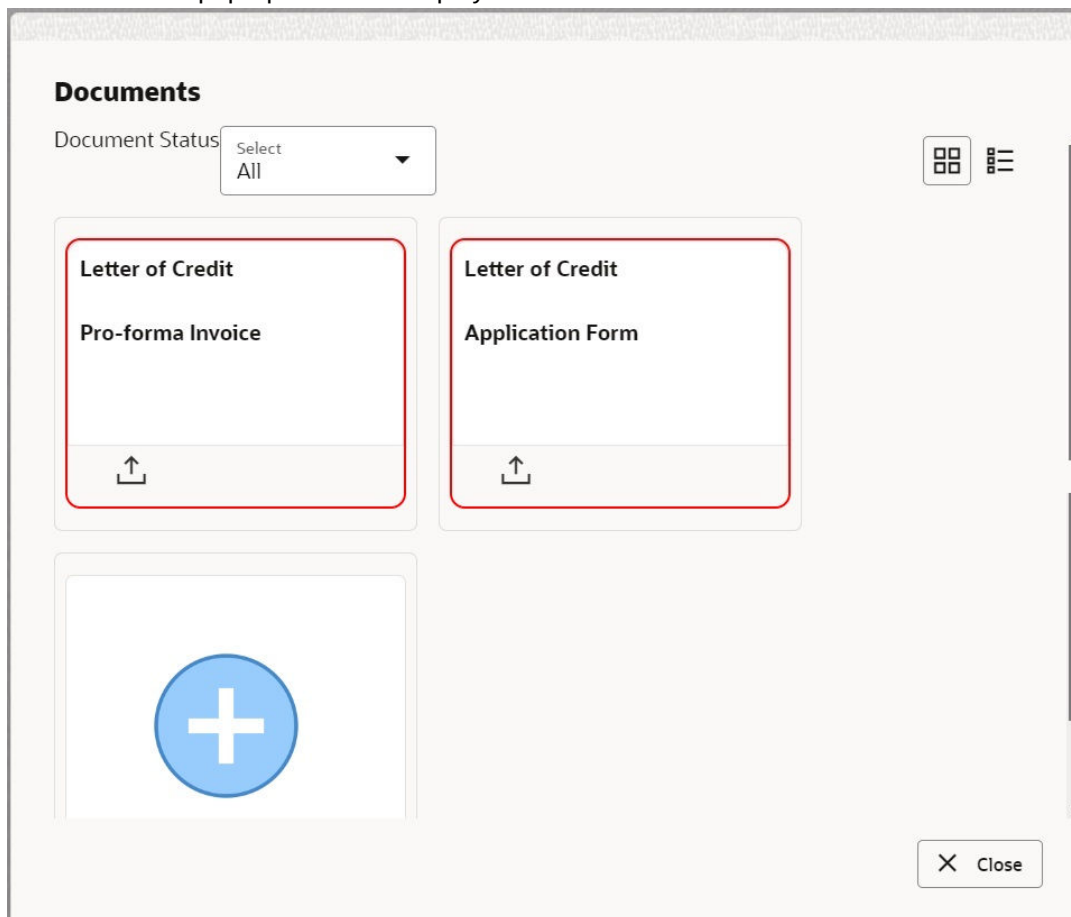
In OBTFPM, system should display Document Ids available in the DMS system. In DMS system, the documents can be Uploaded and stored for future access. Every document stored in DMS will have a unique document id along with other Metadata. The uploaded Document image in the DMS should be available/queried in the Process flow stage screens to link with the task by using the Document ID.

System displays the Documents ids which is not linked with any of the task. Mid office should allow either upload the document or link the document during task processing. The Mid office should allow to Link the same Document in multiple tasks.

Specify **User ID** and **Password**, and navigate to **Registration** screen.

1. On the header of **Registration** screen, click, **Documents**.

The **Document** pop-up screen is displayed.



2. Click the **Add Additional Documents** button/ link.

The **Document** screen is displayed.

Field	Description
<b>Document Type</b>	Select the document type from list. Indicates the document type from metadata.
<b>Document Code</b>	Select the document Code from list. Indicates the document Code from metadata.
<b>Document Title</b>	Specify the document title.
<b>Document Description</b>	Specify the document description.
<b>Remarks</b>	Specify the remarks.
<b>Document Expiry Date</b>	Select the document expiry date.
<b>Link Document</b>	The link to link the existing uploaded documents from DMS to the workflow task.

3. Select the document to be uploaded or linked and click the **Link Document** link.

The link **Document** pop up screen is displayed.

The value selected in **Document Type** and **Document Code** of **Document** screen are defaulted in the **Link Document Search** screen.

### Link Document

Customer Id

Document Type

Document Id

Document Code

Link Document	Document Id	Customer Id	Document Type	Document Code	Upload Date	Reference Number
No data to display.						

Page 1 (0 of 0 items) << 1 >>

4. Click **Fetch** to retrieve the details from DMS.

System displays all the documents available for the given **Document Type** and **Document Code** for the customer.

Field	Description
<b>Customer ID</b>	This field displays the transaction Customer ID.
<b>Document ID</b>	Specify the document ID.
<b>Document Type</b>	Select the document type from list.
<b>Document Code</b>	Select the document Code from list.
<b>Search Result</b>	
<b>Document ID</b>	This field displays the document ID from metadata.
<b>Customer ID</b>	This field displays the transaction customer ID.
<b>Document Type</b>	This field displays the document type from metadata.
<b>Document Code</b>	This field displays the document code from metadata.
<b>Link Document</b>	The link to link the existing uploaded documents from DMS to the workflow task.
<b>Upload Date</b>	The field displays the upload date of the document.
<b>Reference Number</b>	The field displays the reference number of the document.

5. Click **Link** to link the particular document required for the current transaction.

### Link Document

Customer Id:

Document Id:

Document Type:

Document Code:

Link Document	Document Id	Customer Id	Document Type	Document Code	Upload Date	Reference Number
<a href="#">Link</a>	616	001044	fdff	INSURANCE	December 6, 2023	PK2ELCU000003399
<a href="#">Link</a>	116	001044		INSURANCE	November 3, 2023	PK2ILCD000001238
<a href="#">Link</a>	144	001044		INSURANCE	November 6, 2023	PK2IILD000001312
<a href="#">Link</a>	162	001044		INSURANCE	November 9, 2023	PK2ELCC000001424
<a href="#">Link</a>	684	001044	cvcvc	INSURANCE	December 11, 2023	PK2IELD000004034

Page 1 of 6 (1-5 of 29 items) | < > 1 2 3 4 5 6 > |

Post linking the document, the user can View, Edit and Download the document.

- Click **Edit** icon to edit the documents.

The **Edit Document** screen is displayed.

### Edit Document

Document Id:

Document Title:

Application Reference Number:

Entity Reference Number:

Document Type Id:

Document Description:

Remarks:

Document Expiry Date:

Current selected files:ddf.pdf | 2464



## 2.3 Scrutiny

This topic provides the systematic instructions to initiate the Scrutiny stage of Lodge Claim Guarantee Issued request.

On successful completion of Registration of an Lodge Claim Guarantee Issued, the task moves to Scrutiny stage. At this stage the gathered information during Registration stage and claim request are scrutinized. As part of scrutiny, the bank user can update the various claim fields. The user should also be able to input the transaction details. Do the following steps to acquire a task currently at Scrutiny stage:

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click **Task**.
2. Under **Task**, click **Free Task**.

**Figure 2-5 Free Task**

<input type="checkbox"/>	Acquire and Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input checked="" type="checkbox"/>	Acquire and Edit	Medium	Lodge Claim - Guarant...	PK2GTEC000064899	PK2GTEC000064899	Scrutiny	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000053502	PK2GTEA000053502	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000052491	PK2GTEA000052491	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA00002558	PK2GTEA00002558	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000061878	PK2GTEA000061878	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000062018	PK2GTEA000062018	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import Documentary ...	PK2IDCL000064892	PK2IDCL000064892	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import Documentary ...	PK2IDCL000064891	PK2IDCL000064891	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064890	PK2ILCL000064890	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064889	PK2ILCL000064889	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064887	PK2ILCL000064887	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Common Group Mess...	PK2CGRM000064886	PK2CGRM000064886	Approval	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064880	PK2ILCL000064880	DataEnrichment	22-04-20

The **Free Task** screen appears.

3. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.
4. The acquired task will be available in **My Tasks** tab. Click **Edit** to scrutinize the registered task or provide input for Scrutiny stage.

Figure 2-6 My Task

The screenshot shows the Oracle My Tasks interface. On the left is a navigation menu with categories like 'Tasks', 'Awaiting Customer Clarification', 'Business Process Maintenance', 'Completed Tasks', 'Free Tasks', 'Hold Tasks', 'My Tasks' (selected), 'Other User tasks', 'Search', 'SubProcess Tasks', and 'Supervisor Tasks'. The main area displays a table of tasks with columns for Edit, Priority, Process Name, Process Reference Number, Application Number, Stage, and Application Date. The first task is in the 'Scrutiny' stage.

Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input checked="" type="checkbox"/>	Medium	Lodge Claim - Guaran...	PK2GTEC000064899	PK2GTEC000064899	Scrutiny	22-04-20
<input type="checkbox"/>	Medium	Guarantee Issuance A...	PK2GTEI000064845	PK2GTEI000064845	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Issuance Cl...	PK2GTEC000064840	PK2GTEC000064840	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advice Clo...	PK2GTAC000061825	PK2GTAC000061825	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advice Clai...	PK2GADC000064245	PK2GADC000064245	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Amendment	PK2GTEA000062425	PK2GTEA000062425	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee SBLC Issua...	PK2GISC000051730	PK2GISC000051730	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Amendment	PK2GTEA000064758	PK2GTEA000064758	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Guarantee Issuance	PK2GTEI000064498	PK2GTEI000064498	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Islamic Export Docum...	PK2IEDB000064721	PK2IEDB000064721	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Islamic Export Docum...	PK2IEDU000064691	PK2IEDU000064691	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Export Documentary ...	PK2EDCR000064676	PK2EDCR000064676	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Export Documentary ...	PK2EDCR000064672	PK2EDCR000064672	Registration	22-04-20

The Scrutiny stage has the following hops for data capture:

- [Main Details](#)
- [Claim Details](#)
- [Document Details](#)
- [Additional Fields](#)
- [Additional Details](#)
- [Summary](#)

Let's look at the details for scrutiny stage. User can enter/update the following fields as part of claim under Guarantee/SBLC - Scrutiny Stage. Some of the fields that are already having value from registration/ online channels may not be editable.

In case of requests received through SWIFT MT765, the task will be created in Scrutiny stage directly and the fields will be populated based on the incoming request.

- [Main Details](#)  
This topic provides the systematic instructions to initiate the main details of Scrutiny stage of Lodge Claim Guarantee Issued request.
- [Claim Details](#)  
This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Lodge Claim Guarantee Issued process.
- [Document Details](#)  
This topic provides the systematic instructions to capture the document details in Scrutiny stage of Lodge Claim Guarantee Issued process.
- [Additional Fields](#)  
This topic provides the systematic instructions to capture the additional fields.
- [Additional Details](#)  
This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Lodge Claim Guarantee Issued process.

- [Summary](#)  
This topic provides the systematic instructions to view the summary details in Scrutiny stage of Lodge Claim Guarantee Issued request.

## 2.3.1 Main Details

This topic provides the systematic instructions to initiate the main details of Scrutiny stage of Lodge Claim Guarantee Issued request.

Main details section has two sub section as follows:

- Application Details
- Guarantee Details.

### Application Details

1. On **Scrutiny - Main Details** screen, specify the fields that were not entered at Registration stage.

**Figure 2-7 Scrutiny - Main Details**

**Lodge Claim - Guarantee Issued Scrutiny :: Application No:- PK2GTEC000064899**

Clarification Details | Documents | Remarks | Overrides | Customer Instruction  
Incoming Message | View Undertaking

Main

Application Details - Main

Undertaking Number: GUIR221100068652  
Received From Customer ID/Name: 001044 GOODCARE  
Branch: PK2-Oracle Banking Trade Fine  
Claim Serial Number: 1  
Process Reference Number: PK2GTEC000064899  
Priority: Medium  
Submission Mode: Desk  
Claim Received Date: April 20, 2022  
Claim Lodgement Date: April 20, 2022  
Beneficiary Reference Number:  
User Reference Number: GUIR221100068652

Guarantee Details

Guarantee Type: BILL  
30 Date of Issue: April 20, 2022  
Purpose of Message: ISSU  
23B Expiry Type: OPEN  
31E Date of Expiry:  
Claim Date: April 20, 2025  
Claim Expiry Date: May 20, 2025  
Outstanding Currency/ Amount: GBP £2,000.00  
40C Applicable Rules: URDG - Uniform rules for dem  
Applicant Bank:  
50 Applicant: 001044 GOODCARE  
59A Beneficiary: 001043 MARKS ANI  
Advising Bank: 001041 WELLS FAR  
Advise Through Bank:  
Counter Guarantee Issuing Bank:  
Local Guarantee Issuing Bank:  
Presenting Bank:  
Accountee:

Audit | Request Clarification | Reject | Refer | Hold | Cancel | Save & Close | Next

### Note:

The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

**Table 2-6 Lodge Claim Guarantee Issued - Registration - Application Details - Field Description**

Field	Description
<b>Undertaking Number</b>	Read only field.  In case of SWIFT MT 765, system to populate the undertaking number from the incoming SWIFT MT 765, Tag 21 Related Reference.
<b>Received From Customer ID/Name</b>	Read only field.  System defaults the customer ID/name from Guarantee / SBLC Issuance.
<b>Branch</b>	Read only field.  System defaults the branch code as applicable.
<b>Claim Serial Number</b>	Read only field.  System defaults the claim serial number from Guarantee/ SBLC Issuance. This should be the latest claim number available in back-end system +1.
<b>Process Reference Number</b>	Read only field.  Unique OBTFPM task reference number for the transaction.  This is auto generated by the system based on process name and branch code.
<b>Priority</b>	Priority maintained will be populated as either <b>Essential</b> or <b>Critical</b> or <b>Low</b> or <b>Medium</b> or <b>High</b> . If priority is not maintained for a customer, 'Medium' priority will be defaulted. User can change the priority.
<b>Submission Mode</b>	System defaults the submission mode of Lodge Claim Guarantee Issued request.  By default the submission mode will have the value as 'Desk'. <ul style="list-style-type: none"> <li>• <b>Desk</b> - Request received through Desk</li> <li>• <b>Fax</b>- Request received through Fax</li> <li>• <b>Email</b>- Request received through Email</li> <li>• <b>Courier</b> - Request received through Courier</li> </ul> The user can change the submission mode. In case of SWIFT MT 765 system defaults the submission mode as 'SWIFT'.
<b>Claim Received Date</b>	Indicates the date on which claim is received.  The user can change date. By default, the application will display branch's current date.
<b>Claim Lodgement Date</b>	Read only field.  By default, the application will display branch's current date.

**Table 2-6 (Cont.) Lodge Claim Guarantee Issued - Registration - Application Details - Field Description**

Field	Description
<b>Beneficiary Reference Number</b>	Read only field. Displays the Beneficiary Reference Number, if available. In case of SWIFT MT 765, System populates Tag 23 - Beneficiary Reference Number from the Incoming MT 765.
<b>User Reference Number</b>	Read only field. System defaults the user reference number, depending on the selection of Undertaking Number.

**Guarantee Details**

The fields listed under this section are same as the fields listed under the **Guarantee Details** section in Registration stage. During registration, if user has not captured input, then user can capture the details in this section.


**Figure 2-8 Guarantee Details**

For more information on fields, refer to the field description table below.

**Table 2-7 Lodge Claim Guarantee Issued - Registration - Guarantee Details - Field Description**

Field	Description
<b>Guarantee Type</b>	Read only field. Guarantee type defaults from Guarantee/ Standby Issuance.
<b>Date of Issue</b>	Read only field. System defaults the date of issue from Guarantee /SBLC issuance.
<b>Purpose of Message</b>	Read only field. System defaults the purpose of message from Guarantee/ Standby Issuance.
<b>Expiry Type</b>	Read only field. System defaults the expiry type as in Guarantee/ SBLC Issuance.

**Table 2-7 (Cont.) Lodge Claim Guarantee Issued - Registration - Guarantee Details - Field Description**

Field	Description
<b>Date of Expiry</b>	Read only field. Expiry date of the Guarantee Issuance. System defaults the expiry date as in Guarantee/ SBLC Issuance.
<b>Claim Date</b>	Read only field. System defaults the claim date as in Guarantee/ SBLC Issuance.
<b>Claim Expiry Date</b>	Read only field. System defaults the claim expiry date as in Guarantee/ SBLC Issuance.
<b>Outstanding Currency/ Amount</b>	Read only field. System defaults outstanding currency and amount from Guarantee/ Standby Issuance.
<b>Applicable Rules</b>	Read only field. System defaults the value from Guarantee issuance details.
<b>Applicant Bank</b>	Read only field.  This system defaults the applicant bank details available in Guarantee.
<b>Applicant</b>	Read only field.  System defaults the applicant from Guarantee/ SBLC Issuance.
<b>Beneficiary</b>	Read only field. System defaults the beneficiary as in Guarantee/ SBLC Issuance.
<b>Advising Bank</b>	Read only field.  System defaults the advising bank if available in issuance.
<b>Advising Through Bank</b>	Read only field.  System defaults the advising through bank if available in issuance.
<b>Counter Guarantee Issuing Bank</b>	Read only field. System defaults the counter guarantee issuing through bank, if available in issuance.
<b>Local Guarantee Issuing Bank</b>	Read only field. System defaults the local guarantee issuing bank, if available in issuance.
<b>Presenting Bank</b>	User can select the presenting bank reference, if available.   <b>Note:</b> Currently this field is not available in OBTF.
<b>Accountee</b>	Read only field. System defaults the accountee name, if available in Guarantee.

## Audit

**Task Audit Trail Details**

Application No.  Branch Code  Initiated Date  Initiated By

Process Name

S.No	Stage Name	Pickup Time	Completed Time	Completed By	Outcome
1	Registration	Thu, 11 Jul 2024 08:01:31 GMT	Thu, 11 Jul 2024 08:02:39 GMT	ATEST11	PROCEED

This button provides information about user initiated the transaction, initiated date, stage wise detail etc.

For more information on audit, refer to the field description table below.

**Table 2-8 Audit - Field Description**

Field	Description
<b>Application No.</b>	This field displays the application number of the process.
<b>Branch Code</b>	This field displays the branch code.
<b>Initiated Date</b>	This field displays the date on which process is initiated.
<b>Initiated By</b>	This field displays the user ID of the user who had initiated the process.
<b>Process Name</b>	This field displays the name of the process which is initiated.
<b>S. No</b>	This field displays the serial number of the audit record.
<b>Stage Name</b>	This field displays the current stage of the process.
<b>Completed Time</b>	This field displays the time on which the audit of the current stage is completed.
<b>Completed By</b>	This field displays the user ID of the user who had completed the audit.
<b>Outcome</b>	This field displays the outcome of the audit.


2. Click **Next**.

The task will move to next data segment.

**Table 2-9 Main Details - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.

Table 2-9 (Cont.) Main Details - Action Buttons - Field Description

Field	Description
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p> <div style="border: 1px solid #0070C0; padding: 5px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div>
<b>Remarks</b>	<p>Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>



**Table 2-9 (Cont.) Main Details - Action Buttons - Field Description**

Field	Description
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

## 2.3.2 Claim Details

This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Lodge Claim Guarantee Issued process.

In this section, the Scrutiny user can enter/update the claim details.

1. On **Claim Details** screen, specify the fields.

**Figure 2-9 Claim Details**

The screenshot displays the 'Lodge Claim - Guarantee Issued Scrutiny' application interface. The main title is 'Lodge Claim - Guarantee Issued Scrutiny :: Application No:- PK2GTEC000064899'. The interface includes a navigation menu on the left with options like 'Main', 'Claim Details', 'Document Details', 'Additional Fields', 'Additional Details', and 'Summary'. The 'Claim Details' section is expanded, showing various input fields for bank information, dates, and amounts. The fields include: 'Claiming Bank' (Advising Bank), 'Claiming Bank Name & Address' (001041 WELLS FAR), 'Claiming Bank Reference' (345535), '31L Date of Demand' (April 20, 2022), '488 Demand Indicator' (Multiple demands not permitte), '22G Demand Type' (Extend or Settle), 'Claim Currency/ Amount' (GI, £100.00), '31E New Expiry Date' (December 31, 2024), '31R New Expiry Date-Local Undertaking', 'Response Due Date' (December 5, 2022), '49A Demand Statement', '77 Presentation Completion Details', '78 Additional Amount Information', '56A Intermediary', '57A Account with Institution', '23X File Identification', '72Z Sender to Receiver Information' (SND2RECM760), '21T - Customer Business Reference', and '21S - Bank Business Reference'. The interface also includes an 'Audit' button and a toolbar at the bottom with buttons like 'Request Clarification', 'Reject', 'Refer', 'Hold', 'Cancel', 'Save & Close', 'Back', and 'Next'.

For more information on fields, refer to the field description table below.

Table 2-10 Claim Details - Field Description

Field	Description
<b>Claiming Bank</b>	Select the Claiming Party from whom the claim under the Bank Guarantee issued is received while lodging the Guarantee Claim. The options are: <ul style="list-style-type: none"> <li>• Advising Bank</li> <li>• Others</li> </ul>
<b>Claiming Bank Name &amp; Address</b>	This field is read only and displays the claiming bank details, if <b>Advising Bank</b> option is selected in <b>Claiming Bank</b> field. Click the <b>Search</b> icon to search and select the claiming bank customer id from the look-up, if it is a customer of the bank and if not select the WALKIN id and manually capture Bank name and address. This field is editable if <b>Others</b> option is selected in <b>Claiming Bank</b> field. This field is mandatory if <b>Claiming Bank</b> field has values.
<b>Claiming Bank Reference</b>	Specify the claiming bank reference details, if the claimed is not received from Beneficiary. User can specify the Transaction Reference number from MT 765. In case of STP of incoming MT 765, system to populate the details from incoming MT 765. If the claim is received from the beneficiary, this field will not be editable. This field is mandatory if <b>Claiming Bank</b> field has values.
<b>Date of Demand</b>	Specify the date on which the demand is issued by the beneficiary. In case of STP of Incoming MT 765, the System to populate the value in tag 31L, Date of Demand from incoming MT 765.
<b>Demand Indicator</b>	Read Only field. System defaults value from Guarantee /SBLC Issuance. Select the linkage type.
<b>Demand Type</b>	Select the type of demand. The values are: <ul style="list-style-type: none"> <li>• Extend or Settle</li> <li>• Settle</li> </ul> In case of STP of Incoming MT 765, the demand type is defaulted from the incoming MT 765 message. In case of Non-Online, User can input the value as per claim.
<b>Claim Currency/ Amount</b>	Specify the claim amount.
<b>New Expiry Date</b>	Specify or select the new expiry date, if <b>Demand Type</b> field is <b>Extend or Settle</b> .
<b>New Expiry Date-Local Undertaking</b>	Specify or select the new expiry date/local Undertaking.
<b>Response Due Date</b>	System defaults value from Guarantee /SBLC Issuance, if <b>Demand Type</b> field is <b>Settle</b> . The user can change the value. Specify the response due date, if <b>Demand Type</b> field is <b>Extend or Settle</b>

Table 2-10 (Cont.) Claim Details - Field Description


Field	Description
<b>Demand Statement</b>	Specify the narrative text that constitutes the demand. field displays the limit currency, when the user select the <b>Liability Number</b> . The codes can be: <ul style="list-style-type: none"> <li>• COMP: Complete demand, no other documentation to accompany or follow this message.</li> <li>• INCP: Incomplete demand, supporting documentation to be presented separately.</li> </ul> In case of STP of Incoming MT 765, this field is defaulted from the incoming MT 765 message. In case of Non-Online, User can specify the value as per claim.
<b>Presentation Completion Details</b>	Specify the presentation of completion details, if demand statement is provided. This field specifies information about the presentation documentation. If the presentation is incomplete, this must specify how the presentation will be completed. In case of STP of Incoming MT 765, this field is defaulted from the incoming MT 765 message. In case of Non-Online, User can input the value as per claim.
<b>Additional Amount Information</b>	Specify the details on additional amount in this field. In case of STP of Incoming MT 765, this field is defaulted from the incoming MT 765 message. In case of Non-Online, User can input the value as per claim
<b>Intermediary</b>	Specify the Intermediary bank details or click <b>Search</b> to search and select the Intermediary bank details from the look-up. This field specifies the financial institution through which the amount claimed must pass to reach the account with institution. In case of STP of Incoming MT 765, this field is defaulted from the incoming MT 765 message. In case of Non-Online, User can input the value as per claim
<b>Account with Institution</b>	Specify the details of Account with Institution or click <b>Search</b> to search and select the Account with Institution from the look-up. This field specifies the financial institution at which the amount claimed is to be settled. In case of STP of Incoming MT 765, this field is defaulted from the incoming MT 765 message. In case of Non-Online, User can input the value as per claim
<b>File Identification</b>	Click <b>Search</b> to search and select the file identification FFT Code from the look-up.
<b>Sender to Receiver Information</b>	Click <b>Search</b> to search and select the sender to receiver information FFT Code from the look-up.
<b>Customer Business Reference</b>	Click <b>Search</b> to search and select the customer business reference from the look-up.
<b>Bank Business Reference</b>	Click <b>Search</b> to search and select the bank business reference from the look-up.

2. Click **Next**.

The task will move to next data segment.

For more information on action buttons, refer to the field description table below.

Table 2-11 Claim Details - Action Buttons - Field Description

Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p> <div style="border: 1px solid #0070C0; padding: 5px; margin-top: 10px;"> <p> <b>Note:</b> Not applicable for STP of SWIFT MT 765.</p> </div>
<b>Remarks</b>	<p>Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.

**Table 2-11 (Cont.) Claim Details - Action Buttons - Field Description**

Field	Description
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Cancel</b>	<p>Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.</p>
<b>Save &amp; Close</b>	<p>Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.</p>
<b>Back</b>	<p>Clicking on Back button, takes the user to the previous screen.</p>
<b>Next</b>	<p>On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.</p>

### 2.3.3 Document Details

This topic provides the systematic instructions to capture the document details in Scrutiny stage of Lodge Claim Guarantee Issued process.

In Document Details, the user can to view the Documents required for a claim and verify if the Claim Documents are submitted as per documents required. The user, can scrutinize the claim request and input data as required.

 **Note:**

In case of STP of Incoming MT 765, values should be handled as done in Offline process for Guarantee Claim.

1. On **Document Details** screen, specify the fields.

Figure 2-10 Scrutiny - Document Details

 **Note:**

The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

Table 2-12 Document Details - Field Description

Field	Description
<b>Code</b>	Document code is auto-populated, user can click plus + icon and click <b>Search</b> to search and select the document code based on the document received.  User can add or delete the code by deleting the line on the grid.
<b>Document Description</b>	System defaults the document name based on the document code.
<b>Copy</b>	Number of duplicate copies of documents as required in guarantee. User can edit the actual copies received.
<b>Original</b>	Number of documents in original as required in guarantee. User can edit the actual originals received.
<b>Clause Description</b>	System displays the clause description.
<b>Documents Received</b>	Specify the description of the documents received.
<b>Action</b>	Click Edit icon to edit the document details.  Click Delete icon to delete the document details.
<b>Additional Conditions</b>	Specify the <b>Additional Conditions</b> details. The user can click + to add multiple FFT details.

**Table 2-12 (Cont.) Document Details - Field Description**

Field	Description
<b>FFT Code</b>	FFT code is auto-populated, user can click plus + icon and click <b>Search</b> to search and select the FFT code.  User can add or delete the code by deleting the line on the grid.
<b>FFT Description</b>	System defaults the FFT description based on the FFT code.
<b>Action</b>	Click Edit icon to edit the FFT details.  Click Delete icon to delete the FFT details.

2. Click **Next**.

The task will move to next data segment.

For more information on action buttons, refer to the field description table below.

**Table 2-13 Document Details - Action Buttons - Field Description**


Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application   <b>Note:</b> Not applicable for STP of SWIFT MT 765.
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.

Table 2-13 (Cont.) Document Details - Action Buttons - Field Description

Field	Description
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Save &amp; Close</b>	Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
<b>Back</b>	On click of Back, system moves the task back to previous data segment.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.



## 2.3.4 Additional Fields

This topic provides the systematic instructions to capture the additional fields.

This section displays the additional fields based on the User defined fields maintained in the system.

In case of STP of Incoming MT 765, values should be handled as done in Offline process for Guarantee Claim.

1. On **Additional Fields** screen, specify the fields, if any.

**Figure 2-11 Scrutiny - Additional Fields**


2. Click **Next**.

The task will move to next data segment. For more information refer [Additional Details](#). For more information on action buttons, refer to the field description table below.

**Table 2-14 Additional Fields - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.

Table 2-14 (Cont.) Additional Fields - Action Buttons - Field Description

Field	Description
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p> <div style="border: 1px solid #0070C0; background-color: #E6F2FF; padding: 5px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div>
<b>Remarks</b>	<p>Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>

**Table 2-14 (Cont.) Additional Fields - Action Buttons - Field Description**

Field	Description
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Back</b>	Clicking on Back button, takes the user to the previous screen.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.


## 2.3.5 Additional Details

This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Lodge Claim Guarantee Issued process.

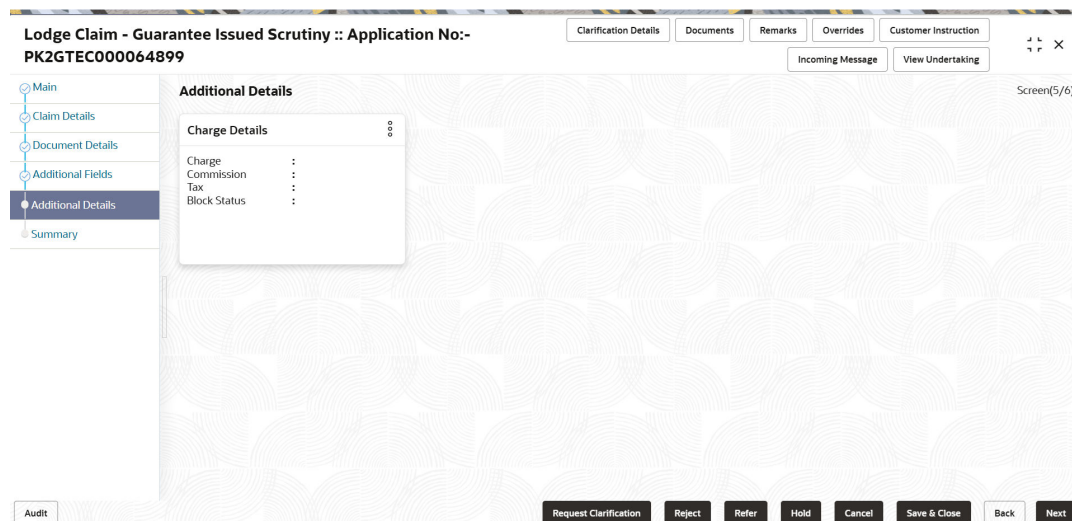
A Scrutiny user can verify/input/update the additional details Data Segment of the Guarantee claim request. As a part of Additional details section, Guarantee /Standby claim may have impact on the Limits & Collaterals.

If any of the fields in the financial section of the pop up screen is checked then the limits and collaterals screen will be enabled.

In case of STP of Incoming MT 765, values should be handled as done in Offline process for Guarantee Claim

1. On **Additional Details** screen, click  on any Additional Details tile to view the details.

**Figure 2-12 Additional Details**



**Limits and Collaterals**

On Approval, system should not release the Earmarking against each limit line and system should handoff the “Limit Earmark Reference Number “to the back office. On successful handoff, back office will make use of these “Limit Earmark Reference Number” to release the Limit Earmark done in the mid office (OBTFPM) and should Earmark the limit from the Back office.

In case multiple Lines are applicable, Limit Earmark Reference for all lines to be passed to the back office.

**Figure 2-13 Limits and Collaterals**

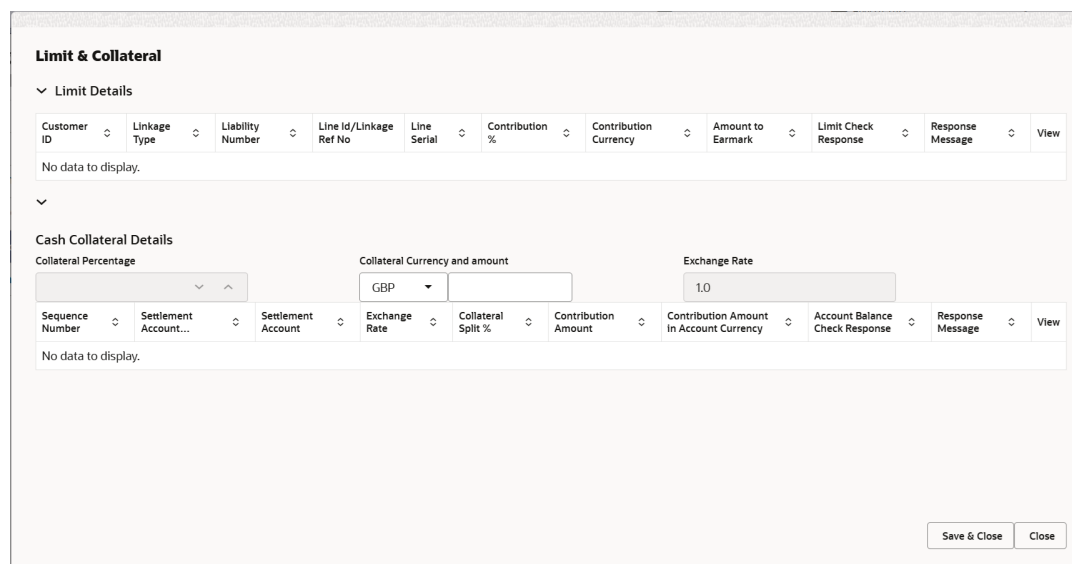


Figure 2-14 Limit Details

### Limit Details

<b>Customer Id</b> 001044	<b>Linkage Type</b> Facility
<b>Contribution %</b> 100.0	<b>Liability Number</b> 001044
<b>Contribution Currency</b> USD	<b>Line Id/Linkage Ref No</b> 001044_US
<b>Limit/Liability Currency</b> USD	<b>Limits Description</b> 
<b>Limit Check Response</b> Available	<b>Amount to Earmark</b> \$10.00
<b>Expiry Date</b> 	<b>Limit Available Amount</b> \$999,378,010.18
<b>Response Message</b> Balance available of USD 999378010.18	<b>ELCM Reference Number</b> 

Verify Save & Close Close

Figure 2-15 Collateral Details

**Collateral Details**

Total Collateral Amount: £20.00

Collateral Amount to be Collected: £20.00

Sequence Number: 1.0

Collateral Split %: 100.0

Collateral Contribution Amount: £20.00

Settlement Account: PK20010440016

Settlement Account Currency: GBP

Exchange Rate: 1.0

Contribution Amount in Account Currency: £20.00

Account Available Amount:

Response: VN

Response Message:

Verify

✓ ✕

For more information on fields, refer to the field description table below.

Table 2-15 Limit Details - Field Description

Field	Description
<b>Limit Details</b>	Specify the limit details based on the description of following table. Below fields are displayed on the Limit Details pop-up screen, if the user clicks plus icon. Click plus icon to add new limit details.
<b>Customer ID</b>	This field displays the applicant's/applicant bank customer ID defaulted from the application.
<b>Linkage Type</b>	Select the linkage type. Linkage type can be: <ul style="list-style-type: none"> <li>• <b>Facility</b></li> <li>• <b>Liability</b></li> </ul> By default Linkage Type should be <b>Facility</b> .

Table 2-15 (Cont.) Limit Details - Field Description



Field	Description
<b>Contribution %</b>	<p>System will default this to 100%. User can modify, if contribution is more than 100%. System will display an alert message, if modified. Once contribution % is provided, system will default the amount.</p> <p>System to validate that if Limit Contribution% plus Collateral% is equal to 100. If the total percentage is not equal to 100 application will display an alert message.</p> <div style="border: 1px solid #0070c0; padding: 10px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified."</p> </div>
<b>Liability Number</b>	<p>Click <b>Search</b> to search and select the Liability Number from the look-up.</p> <p>The list has all the Liabilities mapped to the customer.</p>
<b>Contribution Currency</b>	This field displays the contribution currency.
<b>Line ID/Linkage Ref No</b>	<p>Click <b>Search</b> to search and select from the various lines available and mapped under the customer id gets listed in the drop-down. LINE ID-DESCRIPTION will be available for selection along with Line ID. When you click on 'verify', the system will return value if the limit check was successful or Limit not Available. If limit check fails, the outstanding limit after the transaction value will be shown in the limit outstanding amount.</p> <p>The user can click the Line Id link to view the limit details.</p> <div style="border: 1px solid #0070c0; padding: 10px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>User can also select expired Line ID from the lookup and on clicking the verify button, system should default "The Earmarking cannot be performed as the Line ID is Expired" in the "Response Message" field.</p> </div> <p>This field is disabled and read only, if <b>Linkage Type</b> is Liability.</p>
<b>Limit/Liability Currency</b>	This field displays the limit currency, when the user select the <b>Liability Number</b> .
<b>Limits Description</b>	This field displays the limits description.
<b>Limit Check Response</b>	<p>This field displays the limit check response.</p> <p>Response can be 'Success' or 'Limit not Available' based on the limit service call response.</p> <p>The value in this field appears, if you click the <b>Verify</b> button.</p>
<b>Contribution Amount</b>	<p>This field defaults the contribution amount.</p> <p>Contribution amount will default based on the contribution %.</p> <p>User can change the value.</p>

Table 2-15 (Cont.) Limit Details - Field Description

Field	Description
<b>Expiry Date</b>	This field displays the date up to which the Line is valid.
<b>Limit Available Amount</b>	This field displays the value of available limit, i.e., limit available without any earmark. The Limit Available Amount must be greater than the Contribution Amount. The value in this field appears, if you click the <b>Verify</b> button.
<b>Response Message</b>	This field displays the detailed response message. The value in this field appears, if you click the <b>Verify</b> button.
<b>ELCM Reference Number</b>	This field displays the ELCM reference number.
<b>Limit Details grid</b>	Below fields appear in the <b>Limit Details</b> grid along with the above fields.
<b>Line Serial</b>	Displays the serial of the various lines available and mapped under the customer id. This field appears on the Limits grid.
<b>Edit</b>	Click the link to edit the <b>Limit Details</b> .
<b>Cash Collateral Details</b>	Specify the <b>Cash Collateral</b> details.
<b>Collateral Percentage</b>	System populates the Collateral % maintained in the Customer / Product for the counter party of the contract. User can modify the collateral percentage.
<b>Collateral Currency and amount</b>	System populates the contract currency as collateral currency by default. User can modify the collateral Currency and amount.
<b>Exchange Rate</b>	System populates the exchange rate maintained. User can modify the collateral Currency and amount. System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified.
<b>Collateral Details pop-up screen</b>	Click plus icon to add new collateral details. Below fields are displayed on the Collateral Details pop-up screen, if the user clicks plus icon.
<b>Total Collateral Amount</b>	Read only field. This field displays the total collateral amount provided by the user.
<b>Collateral Amount to be Collected</b>	Read only field. This field displays the collateral amount yet to be collected as part of the collateral split.
<b>Sequence Number</b>	Read only field. The sequence number is auto populated with the value, generated by the system.
<b>Collateral Split %</b>	Specify the collateral split% to be collected against the selected settlement account.
<b>Collateral Contribution Amount</b>	Specify the collateral amount to be collected against the selected settlement account. User can either provide the collateral % where the collateral amount will be auto populated or modifying the collateral amount will auto correct the collateral %.
<b>Settlement Account</b>	Click <b>Search</b> to search and select the settlement account for the collateral.
<b>Settlement Account Currency</b>	Read only field. This field displays the settlement account currency defaulted by the system.



Table 2-15 (Cont.) Limit Details - Field Description

Field	Description
<b>Exchange Rate</b>	Read only field. This field displays the exchange rate, if the settlement account currency is different from the collateral currency.
<b>Contribution Amount in Account Currency</b>	Read only field. This field displays the contribution amount in the settlement account currency as defaulted by the system.
<b>Account Available Amount</b>	Read only field. System populates the account available amount on clicking the <b>Verify</b> button.
<b>Response</b>	Read only field. System populates the response on clicking the <b>Verify</b> button.
<b>Response Message</b>	Read only field. System populates the response message on clicking the <b>Verify</b> button.
<b>Verify</b>	Click to verify the account balance of the Settlement Account.
<b>Save &amp; Close</b>	Click to to save and close the record.
<b>Cancel</b>	Click to cancel the entry.
<b>Cash Collateral Details grid</b>	Below fields appear in the <b>Cash Collateral Details</b> grid along with the above fields.
<b>Collateral %</b>	Specify the percentage of collateral to be linked to this transaction. If the value is more than 100% system will display an alert message. The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified.
<b>Contribution Amount</b>	This field displays the collateral contribution amount. The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified.
<b>Edit</b>	Click edit link to edit the collateral details.
<b>Account Available Amount</b>	This field displays the account available amount which will be auto-populated based on the settlement account selection.

- Click **Save and Close** to save the details and close the screen.

### Charge Details

This section displays charge details. On landing the additional tab, charges and tax if any will get defaulted from Back end simulation. If default charges are available under the product, they should be defaulted here with values. If customer or customer group specific charges are maintained, then the same will be defaulted from back end system.

**Charge Details**

Recalculate Re-default

▼ Commission Details

Component	Rate	Mod. Rate	Currency	Amount	Modified	Defer	Waive	Charge Party	Settl. Account	Amendable
AGLIR_COMM	0.2		GBP	£0.02		<input type="checkbox"/>	<input type="checkbox"/>	GOODCARE PLC		Yes
ARCI	0.2		GBP	£2.25		<input type="checkbox"/>	<input type="checkbox"/>	Domestic Export Sight Bills Neeotiated		Yes

Page 1 of 1 (1-2 of 2 items) |< < 1 > >|

▼ Charge Details

Component	Tag currency	Tag Amount	Currency	Amount	Modified	Billing	Defer	Waive	Charge Party	Settlement Account
LIGCLM			GBP	£50.00		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	GOODCARE PLC	PK20010440017

Page 1 of 1 (1 of 1 items) |< < 1 > >|

▼ Tax Details

Component	Type	Value Date	CCY	Amount	Billing	Defer	Settl. Account
No data to display.							

Save & Close Close

For more information on fields, refer to the field description table below.

**Table 2-16 Charge Details - Field Description**

Field	Description
<b>Commission Details</b>	This section displays the commission details.
<b>Component</b>	This field displays the commission component.
<b>Rate</b>	This field displays the rate that is defaulted from product. The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate. If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.
<b>Modified Rate</b>	From the default value, if the rate is changed the value gets updated in this field.
<b>Currency</b>	This field displays the currency in which the commission have to be collected.
<b>Amount</b>	This field displays the amount that is maintained under the product code. The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate, but not the commission amount directly. The amount gets modified based on the rate changed and the new amount is calculated in back office based on the new rate and is populated in OBTFPM. If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.
<b>Modified Amount</b>	From the default value, if the amount is changed, the value gets updated in the modified amount field.
<b>Defer</b>	If enabled, charges/commissions has to be deferred and collected at any future step.

Table 2-16 (Cont.) Charge Details - Field Description

Field	Description
<b>Waive</b>	Based on the customer maintenance, the charges/commission can be marked for Billing or Defer. If the defaulted Commission is changed to defer or billing or waive, system must capture the user details and the modification details in the 'Remarks' place holder.
<b>Charge Party</b>	Charge party is 'Applicant' by default. User can change the value to Beneficiary.
<b>Settlement Account</b>	Select the settlement account.
<b>Charge Details</b>	This section displays the charge details.
<b>Component</b>	This field displays the charge component type.
<b>Tag Currency</b>	This field displays the tag currency in which the charges have to be collected.
<b>Tag Amount</b>	This field displays the tag amount that is maintained under the product code.
<b>Currency</b>	This field displays the currency in which the charges have to be collected.
<b>Amount</b>	This field displays the amount that is maintained under the product code.
<b>Modified</b>	From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field.
<b>Billing</b>	If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically enabled in OBTFPM. The user can not enable/disable the option, if it is de-selected by default. This field is disabled, if 'Defer' toggle is enabled.
<b>Defer</b>	If charges have to be deferred and collected at any future step, this check box has to be selected. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is AR-AP tracking enabled, 'Defer' toggle for that component should be automatically checked in OBTFPM. The user can enable/disable the option the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.
<b>Waive</b>	Enable the toggle, if charges has to be waived. Based on the customer maintenance, the charges should be marked for Billing or for Defer. This field is disabled, if <b>Defer</b> toggle is enabled.
<b>Charge Party</b>	Charge party is applicant by default. User can change the value to beneficiary.
<b>Settlement Account</b>	Select the settlement account.

**Table 2-16 (Cont.) Charge Details - Field Description**

Field	Description
<b>Tax Details</b>	This section displays the tax details. The tax component is calculated based on the commission and defaults if maintained at product level. User cannot update tax details and any change in tax amount on account of modification of charges/ commission will be available on click of Re-Calculate button or on hand off to back-end system.
<b>Component</b>	This field displays the tax component.
<b>Type</b>	This field displays the type of tax component.
<b>Value Date</b>	This field displays the value date of tax component.
<b>Currency</b>	This field displays the currency in which the tax have to be collected. The tax currency is the same as the commission.
<b>Amount</b>	This field displays the tax amount based on the percentage of commission maintained. You can edit the tax amount, if applicable.
<b>Billing</b>	If taxes are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. This field is disabled, if 'Defer' toggle is enabled.
<b>Defer</b>	If taxes have to be deferred and collected at any future step, this option has to be enabled. The user can enable/disable the option the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.
<b>Settlement Account</b>	System defaults the settlement account. The user can modify the settlement account.

3. Click **Save and Close** to save the details and close the screen.
4. Click **Next**.


The task will move to next data segment.

For more information on action buttons, refer to the field description table below.

**Table 2-17 Additional Details - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.

Table 2-17 (Cont.) Additional Details - Action Buttons - Field Description

Field	Description
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p> <div style="border: 1px solid #0070C0; padding: 5px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div>
<b>Remarks</b>	<p>Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>

**Table 2-17 (Cont.) Additional Details - Action Buttons - Field Description**

Field	Description
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Back</b>	Clicking on Back button, takes the user to the previous screen.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

## 2.3.6 Summary

This topic provides the systematic instructions to view the summary details in Scrutiny stage of Lodge Claim Guarantee Issued request.

User can review the summary of details updated in Scrutiny stage of Lodge Claim Guarantee Issued request.

The Summary tiles display a list of important fields with values. User can drill down from Summary tiles into respective data segments.


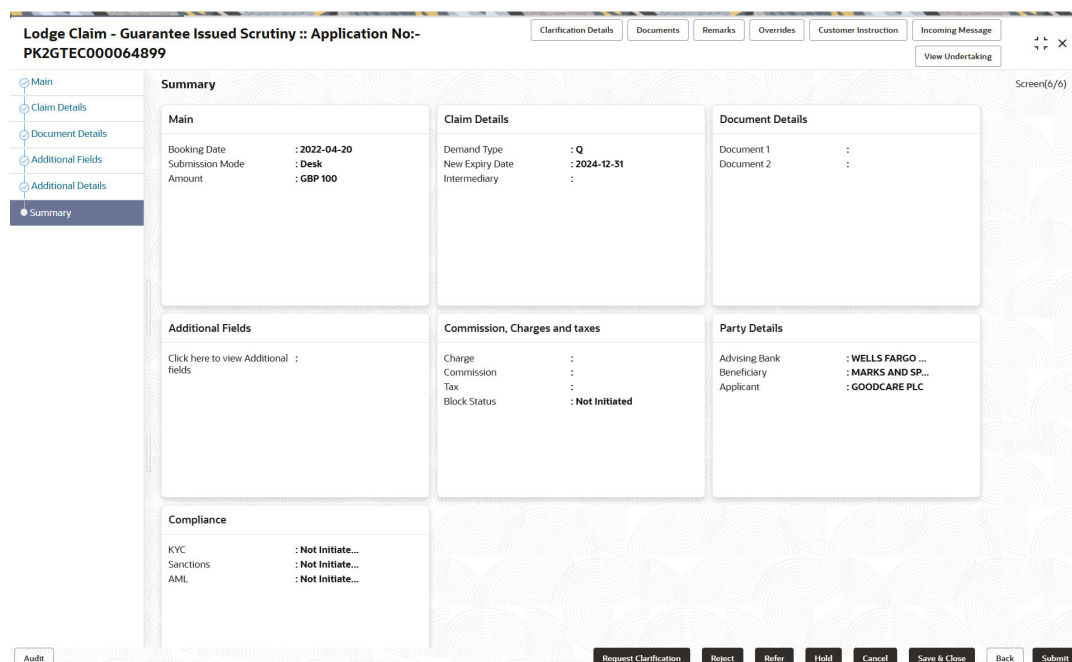
1. On **Summary** screen, click  on any tile to view the details.

Figure 2-16 Summary



Tiles Displayed in Summary

- Main Details - User can view the application and Guarantee details. User can modify the details if required.
- Claim Details - User can view the claim details.
- Documents Details- User can view the Document details.
- Additional Fields - User can view the additional fields.
- Limits and Collaterals - User can view limits and collateral details.
- Commission, Charges and Taxes - User can view the charge details. User can only view but cannot modify the details.
- Party Details - User can view party details like beneficiary, advising bank etc.
- Compliance Details - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.


2. Click **Submit**.

The task will move to next logical stage.

Table 2-18 Summary - Action Buttons - Field Description

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.

Table 2-18 (Cont.) Summary - Action Buttons - Field Description

Field	Description
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p> <div style="border: 1px solid #0070C0; padding: 5px; margin-top: 10px;"> <p> <b>Note:</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div>
<b>Remarks</b>	<p>Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>



**Table 2-18 (Cont.) Summary - Action Buttons - Field Description**

Field	Description
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Back</b>	Clicking on Back button, takes the user to the previous screen.
<b>Submit</b>	Task will get moved to next logical stage of Lodge Claim Guarantee Issued. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. In case of duplicate documents' system will terminate the process after handing off the details to back office.

## 2.4 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Lodge Claim Guarantee Issued request.

At this stage the user can register a request for Lodge Claim Guarantee Issued. As part of Data Enrichment, user can update the various fields of the claim request. The user can also input the transaction details.

In case of requests received through SWIFT MT765, the task will be created in DE stage directly and the fields will be populated based on the incoming request.

 **Note:**

For expired line of limits, the task moves to "Limit Exception" stage under Free Tasks, on 'Submit' of DE Stage with the reason for exception as "Limit Expired".

Do the following steps to acquire a task which completed the registration and currently at Data enrichment stage.

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click, **Task**.
2. Under **Task**, click **Free Task**.

Figure 2-17 Free Task

Acquire and Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input checked="" type="checkbox"/>	Medium	Lodge Claim - Guarant...	PK2GTEC000064899	PK2GTEC000064899	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advise	PK2GTEA000053502	PK2GTEA000053502	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advise	PK2GTEA000052491	PK2GTEA000052491	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advise	PK2GTEA000002558	PK2GTEA000002558	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advise	PK2GTEA000061878	PK2GTEA000061878	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advise	PK2GTEA000062018	PK2GTEA000062018	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Import Documentary ...	PK2IDCL000064892	PK2IDCL000064892	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Import Documentary ...	PK2IDCL000064891	PK2IDCL000064891	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Import LC Liquidation	PK2ILCL000064890	PK2ILCL000064890	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Import LC Liquidation	PK2ILCL000064889	PK2ILCL000064889	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Import LC Liquidation	PK2ILCL000064887	PK2ILCL000064887	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Common Group Mess...	PK2GRM000064886	PK2GRM000064886	Approval	22-04-20
<input type="checkbox"/>	Medium	Import LC Liquidation	PK2ILCL000064880	PK2ILCL000064880	DataEnrichment	22-04-20

The **Free Task** screen appears.

3. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.
4. The acquired task will be available in **My Tasks** tab. Click **Edit** to provide input for Data Enrichment stage.

Figure 2-18 My Task

Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input checked="" type="checkbox"/>	Medium	Lodge Claim - Guarant...	PK2GTEC000064899	PK2GTEC000064899	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Guarantee Issuance A...	PK2GTEI000064845	PK2GTEI000064845	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Issuance Cl...	PK2GTEC000064840	PK2GTEC000064840	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advice Clo...	PK2GTAC000061823	PK2GTAC000061823	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Advise Clai...	PK2GADC000064245	PK2GADC000064245	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Amendment	PK2GTEA000062425	PK2GTEA000062425	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee SBLC Issua...	PK2GISC000051730	PK2GISC000051730	Approval Task Level 1	22-04-20
<input type="checkbox"/>	Medium	Guarantee Amendment	PK2GTEA000064758	PK2GTEA000064758	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Guarantee Issuance	PK2GTEI000064498	PK2GTEI000064498	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Islamic Export Docum...	PK2IEDB000064721	PK2IEDB000064721	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Islamic Export Docum...	PK2IEDU000064691	PK2IEDU000064691	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Export Documentary ...	PK2EDCR000064676	PK2EDCR000064676	DataEnrichment	22-04-20
<input type="checkbox"/>	Medium	Export Documentary ...	PK2EDCR000064672	PK2EDCR000064672	Registration	22-04-20

The Data Enrichment stage has the following hops for data capture:

- [Main Details](#)
- [Claim Details](#)
- [Document Details](#)
- [Additional Fields](#)

- [Advices](#)
- [Additional Details](#)
- [Settlement Details](#)
- [Summary](#)

Let's look at the details for Data Enrichment stage. User can enter/update the fields in Data Enrichment stage. Some of the fields that are already having value from Registration/online channels may not be editable.

- [Main Details](#)  
This topic provides the systematic instructions to initiate the Data Enrichment stage of Lodge Claim Guarantee Issued request.
- [Claim Details](#)  
This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Lodge Claim Guarantee Issued process.
- [Document Details](#)  
This topic provides the systematic instructions to capture the document details in Data Enrichment stage of Lodge Claim Guarantee Issued process.
- [Additional Fields](#)  
This topic provides the systematic instructions to capture the additional fields.
- [Advices](#)  
This topic provides the systematic instructions to capture the advices details of Lodge Claim Guarantee Issued process.
- [Additional Details](#)  
This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Lodge Claim Guarantee Issued request.
- [Settlement Details](#)  
This topic provides the systematic instructions to capture the settlement details of Lodge Claim Guarantee Issued request.
- [Summary](#)  
This topic provides the systematic instructions to view the summary of Lodge Claim Guarantee Issued request.

## 2.4.1 Main Details

This topic provides the systematic instructions to initiate the Data Enrichment stage of Lodge Claim Guarantee Issued request.

Main details section has two sub section as follows:

- Application Details
- Guarantee Details.

### **Application Details**

1. On **Data Enrichment - Main Details** screen, specify the fields that were not entered at Registration stage.

Figure 2-19 Data Enrichment - Main Details

**Lodge Claim - Guarantee Issued DataEnrichment :: Application**  
No:- PK2GTEC000064899

Clarification Details | Documents | Remarks | Overrides | Customer Instruction  
Incoming Message | View Undertaking

Screen(1/8)

**Main**

- Claim Details
- Document Details
- Additional Fields
- Advices
- Additional Details
- Settlement Details
- Summary

**Main**

Application Details - Main

Undertaking Number GUIR221100068652	Received From Customer ID/Name 001044 GOODCARE	Branch PK2-Oracle Banking Trade Finz	Claim Serial Number 1
Process Reference Number PK2GTEC000064899	Priority Medium	Submission Mode Desk	Claim Received Date April 20, 2022
Claim Lodgement Date April 20, 2022	Beneficiary Reference Number	User Reference Number GUIR221100068652	

Guarantee Details

Guarantee Type BILL	30 Date of Issue April 20, 2022	Purpose of Message ISSU	23B Expiry Type OPEN
31E Date of Expiry	Claim Date April 20, 2022	Claim Expiry Date May 20, 2025	Outstanding Currency/ Amount GBP £2,000.00
40C Applicable Rules URDG - Uniform rules for dem	Applicant Bank	50 Applicant 001044 GOODCARE	59A Beneficiary 001043 MARKS ANI
Advising Bank 001041 WELLS FAR	Advise Through Bank	Counter Guarantee Issuing Bank	Local Guarantee Issuing Bank
Presenting Bank	Accountee		

Audit | Request Clarification | Reject | Refer | Hold | Cancel | Save & Close | Next

For more information on the fields, refer [Main Details](#) of **Scrutiny** stage.

### Guarantee Details

The fields listed under this section are same as the fields listed under the **Guarantee Details** section in **Scrutiny** stage. For more information on the fields, refer [Main Details](#) of **Scrutiny** stage. During Registration, if user has not captured input, then user can capture the details in this section.

**Figure 2-20 Guarantee Details**

## Audit

S.No	Stage Name	Pickup Time	Completed Time	Completed By	Outcome
1	Registration	Thu, 11 Jul 2024 08:01:31 GMT	Thu, 11 Jul 2024 08:02:39 GMT	ATEST11	PROCEED

This button provides information about user initiated the transaction, initiated date, stage wise detail etc.

For more information on Audit, refer to the field description table below.

**Table 2-19 Audit - Field Description**

Field	Description
<b>Application No.</b>	This field displays the application number of the process.
<b>Branch Code</b>	This field displays the branch code.
<b>Initiated Date</b>	This field displays the date on which process is initiated.
<b>Initiated By</b>	This field displays the user ID of the user who had initiated the process.
<b>Process Name</b>	This field displays the name of the process which is initiated.
<b>S. No</b>	This field displays the serial number of the audit record.
<b>Stage Name</b>	This field displays the current stage of the process.
<b>Completed Time</b>	This field displays the time on which the audit of the current stage is completed.
<b>Completed By</b>	This field displays the user ID of the user who had completed the audit.
<b>Outcome</b>	This field displays the outcome of the audit.

2. Click **Next**.

The task will move to next data segment. For more information refer [Claim Details](#)

For more information on the action buttons, refer [Table 2-9](#) in **Main Details** section of **Scrutiny** stage.

## 2.4.2 Claim Details

This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Lodge Claim Guarantee Issued process.

In this section, the Data Enrichment user can enter/update the claim details.

1. On **Claim Details** screen, specify the fields.

**Figure 2-21 Claim Details**

The screenshot shows the 'Claim Details' screen for application No:- PK2GTEC000064899. The interface is divided into several sections:

- Navigation:** A left sidebar with 'Main' and 'Claim Details' (selected).
- Claim Details Section:**
  - Claiming Bank:** Advising Bank (dropdown)
  - Claiming Bank Name & Address:** 001041 WELLS FAR (text input)
  - Claiming Bank Reference:** 345535 (text input)
  - 31L Date of Demand:** April 20, 2022 (calendar)
  - 488 Demand Indicator:** Multiple demands not permitte (dropdown)
  - 22G Demand Type:** Extend or Settle (dropdown)
  - Claim Currency/ Amount:** G1 (dropdown), £100.00 (text input)
  - 31E New Expiry Date:** December 31, 2024 (calendar)
  - 31R New Expiry Date-Local Undertaking:** (calendar)
  - Response Due Date:** December 5, 2022 (calendar)
  - 49A Demand Statement:** (text input with search and refresh icons)
  - 77 Presentation Completion Details:** (text input with search and refresh icons)
  - 78 Additional Amount Information:** (text input with search and refresh icons)
  - 50A Intermediary:** (text input with search and refresh icons)
  - 57A Account with Institution:** (text input with search and refresh icons)
  - 23X File Identification:** (text input with search and refresh icons)
  - 72Z Sender to Receiver Information:** SND2RECM760 (text input with search icon)
  - 21T - Customer Business Reference:** (text input with search and refresh icons)
  - 215 - Bank Business Reference:** (text input with search and refresh icons)
- Bottom Toolbar:** Request Clarification, Reject, Refer, Hold, Cancel, Save & Close, Back, Next.

For more information on fields, refer [Claim Details](#) of **Scrutiny** stage.

2. Click **Next**.

The task will move to next data segment.

For more information on action buttons, refer [Table 2-11](#) of **Claim Details** in **Scrutiny** stage.

## 2.4.3 Document Details

This topic provides the systematic instructions to capture the document details in Data Enrichment stage of Lodge Claim Guarantee Issued process.

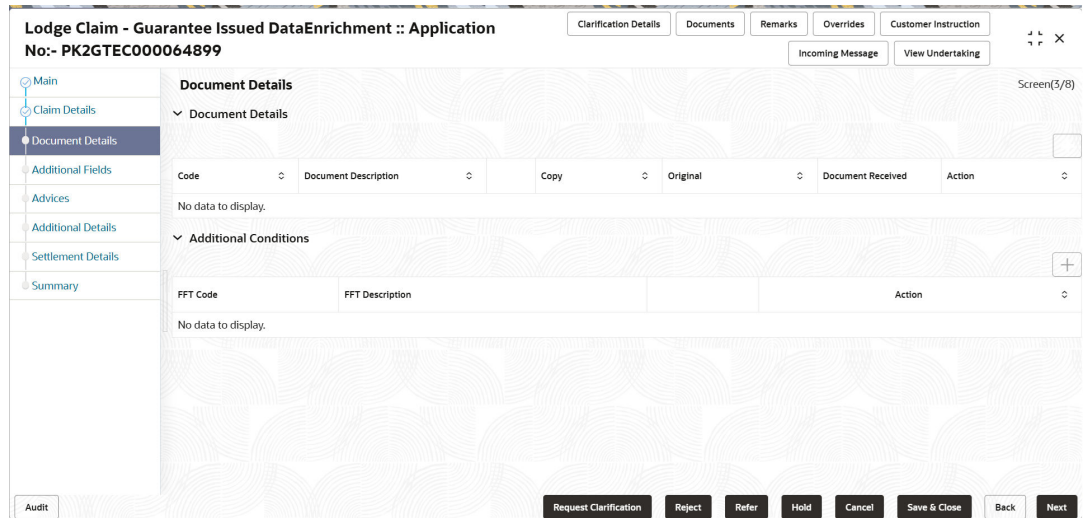
In Document Details, the user can to view the Documents required for a claim and verify if the Claim Documents are submitted as per documents required. The user, can scrutinize the claim request and input data as required.

**Note:**

In case of STP of Incoming MT 765, values should be handled as done in Offline process for Guarantee Claim.

1. On **Document Details** screen, specify the fields.

**Figure 2-22 Document Details**



For more information on fields, refer [Document Details](#) of **Scrutiny** stage.

2. Click **Next**.

The task will move to next data segment. For more information refer [Additional Fields](#). For more information on action buttons, refer [Table 2-13](#) of **Document Details** in **Scrutiny** stage.

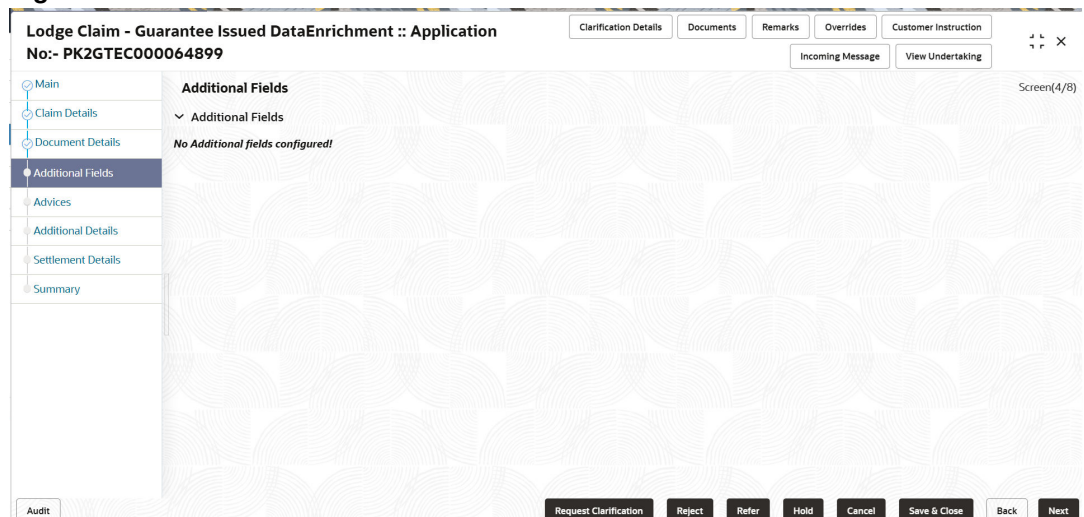
## 2.4.4 Additional Fields

This topic provides the systematic instructions to capture the additional fields.

Banks can configure user defined fields as per their requirement in the Additional Fields Screen.

1. On **Additional Fields** screen, specify the fields, if any.

**Figure 2-23 Additional Fields**




2. Click **Next**.

The task will move to next data segment. For more information refer [Advices](#).  
For more information on action buttons, refer [Table 2-14 of Additional Fields in Scrutiny](#) stage.

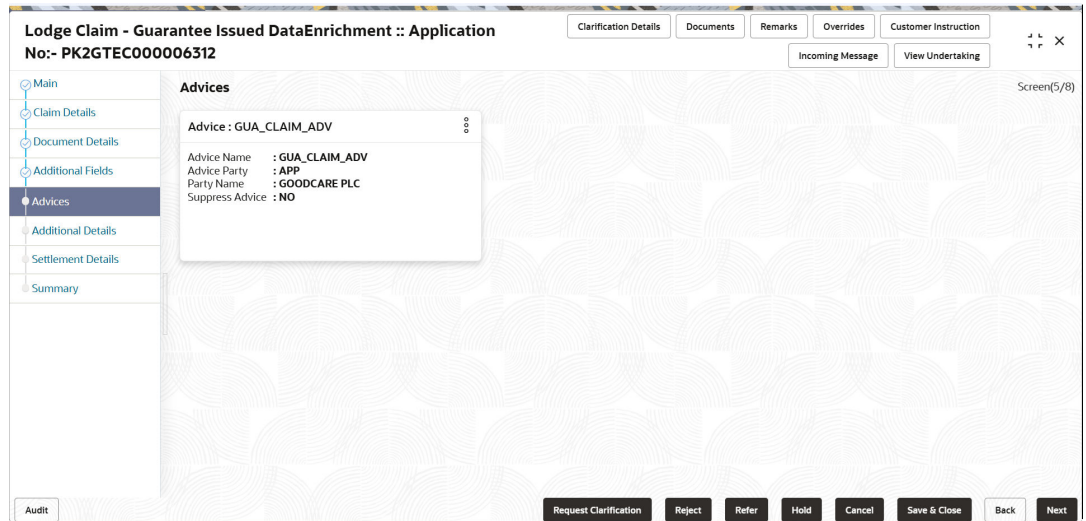
## 2.4.5 Advices

This topic provides the systematic instructions to capture the advices details of Lodge Claim Guarantee Issued process.

This section defaults the advices maintained for the product based on the advices maintained at the Product level. In case of STP of Incoming MT 765, values should be handled as done in Offline process for Guarantee Claim. The user can also suppress the Advice, if required

1. On **Advices** screen, click  on any advice tile to view the advice details.

**Figure 2-24 Advices**







### Advice Details

For more information on fields, refer to the field description table below.

**Table 2-20 Advice Details**

Field	Description
<b>Suppress Advice</b>	Enable this option to suppress the advice. Disable this option if suppress advice is not required.
<b>Advice Name</b>	Displays the advice name.
<b>Medium</b>	Displays the medium of advices is defaulted from the system.
<b>Advice Party</b>	Displays the advice party is defaulted from the system.
<b>Party ID</b>	Displays the party Id defaulted from system.
<b>Party Name</b>	Displays the defaulted from Guarantee.
<b>FFT Code</b>	Specify the <b>FFT Code</b> details. Click plus icon to add new FFT code.
<b>FFT Code</b>	Click <b>Search</b> to search and select the FFT Code.
<b>FFT Description</b>	FFT description is populated based on the FFT code selected. User can edit the FFT description.
	Click edit icon to edit the existing FFT description.
<b>Action</b>	Click delete icon to remove any existing FFT code.  Click edit icon to edit the existing FFT code.
<b>Instructions</b>	Click plus icon to add new instruction code.
<b>Instruction Code</b>	Click <b>Search</b> to search and select the instruction Code.

**Table 2-20 (Cont.) Advice Details**

Field	Description
<b>Instruction Description</b>	Instruction description is populated based on the instruction code selected. User can edit the instruction description.
	Click edit icon to edit the existing instruction description.
<b>Action</b>	Click delete icon to remove any existing instruction code.  Click edit icon to edit the existing instruction code.

2. Click **Next**.

The task will move to next data segment.  
For more information on fields, refer to the field description table below.

**Table 2-21 Advices - Action Buttons - Field Description**



Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application   <b>Note:</b> Not applicable for STP of SWIFT MT 765.
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.

Table 2-21 (Cont.) Advices - Action Buttons - Field Description

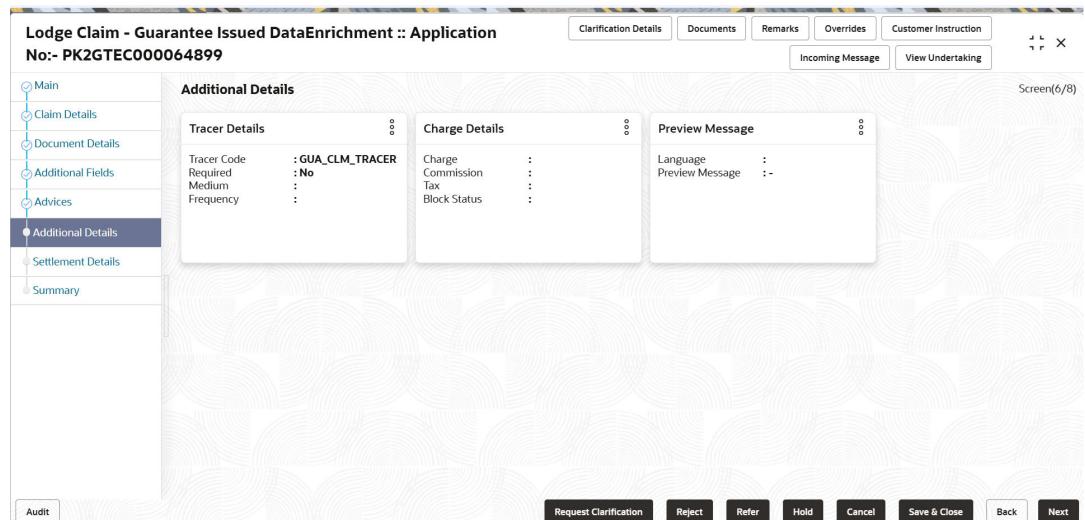
Field	Description
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Back</b>	Clicking on Back button, takes the user to the previous screen.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

## 2.4.6 Additional Details

This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Lodge Claim Guarantee Issued request.

1. On **Additional Details** screen, click  on any Additional Details tile to view the details.

**Figure 2-25 Additional Details**



2. Click **Save and Close** to save the details and close the screen.

### Limits and Collaterals

For more information, refer to the field description table [Table 2-15](#) in **Scrutiny** stage.

3. Click **Save and Close** to save the details and close the screen.

### Charge Details


For more information, refer to the field description table of [Table 2-16](#) in **Scrutiny** stage.

4. Click **Save and Close** to save the details and close the screen.

### Tracer Details

The bank users can capture these tracer details for Claim Lodgement in Guarantee and should send the tracers to the customer till its Settled / Extended / Rejected / Injunction.

**Figure 2-26 Tracer Details**

Tracer Code	Description	Party Type	Required	Maximum Tracers	Number Sent	Start Days	Last Sent On	Medium	Frequency	Template Id	Action
GUA_CLM_		ACC	<input type="checkbox"/>	34	15			MAI	15	ACK_TRACER	

For more information on fields, refer to the field description table below.

**Table 2-22 Tracer Details - Field Description**

Field	Description
<b>Tracer Code</b>	Read only field. Tracer code is defaulted by the system maintained in the product level.
<b>Description</b>	Read only field. Description of the racer code is auto populated.
<b>Party Type</b>	Specify the party type of the tracer or click <b>Search</b> to search and select from the party type from the look-up.
<b>Required</b>	Enable the option, if respective tracer is required.
<b>Maximum Tracers</b>	Specify the maximum number of tracers to be sent. Maximum allowed is 99 exceeding the same system should prompt an error message for the same "Maximum number of numerals allowed is: 2" and should clear the field to enter the correct value by the user. Maximum Tracers cannot be less than the "Number Sent", system needs to validate the same.
<b>Number Sent</b>	Number Sent is defaulted by the System with the value, where the number of tracers sent so far. And it cannot be greater than the "Maximum Tracers". The user can change the value.
<b>Start Days</b>	Specify the number of days after which the tracer has to be sent from the Tracer Start date. It should be positive numeric value.
<b>Last Sent On</b>	Read only field. Tracer last sent date is defaulted by the system.
<b>Medium</b>	Select the medium in which the Tracer has to be generated from the drop-down list. It lists all the possible mediums maintained in the system. <ul style="list-style-type: none"> <li>• <b>MAIL</b></li> <li>• <b>SWIFT</b></li> </ul>
<b>Frequency</b>	Specify the medium in which the Tracer has to be generated. It should be positive numeric value.
<b>Template ID</b>	Specify the template ID or click <b>Search</b> to search and select the template ID in which the tracer has to be generated from the lookup. It is a lookup which lists all the possible templates maintained in the system. Template ID is nothing but the data that goes in Tag 79 in MT799. This template ID is applicable only for medium 'SWIFT'. Template lookup displays all the template ids applicable for the given Tracer Code.
<b>Action</b>	Click Edit icon to edit the tracer details.

5. Click **Save and Close** to save the details and close the screen.

#### Preview Message

**Figure 2-27 Preview Message**

This screen provides preview of draft guarantee details.

Based on details captured in the previous screen, the preview message simulated from the back office and the user can view the message.

For more information on fields, refer to the field description table below.

**Table 2-23 Preview Message - Field Description**

Field	Description
<b>Preview SWIFT Message</b>	This section displays the <b>Preview SWIFT Message</b> details.
<b>Language</b>	Read only field. English is set as default language for the preview.
<b>Message Type</b>	Select the message type from the drop down.  User can choose to see preview of different message like MT 700, MT 740 and MT 701.
<b>Message Status</b>	Read only field. Display the message status of draft message of guarantee details.
<b>Repair Reason</b>	Read only field. Display the message repair reason of draft message of guarantee details.
<b>Preview Message</b>	This field displays a preview of the draft message.  Based on the guarantee text captured in the previous screen, guarantee draft is generated in the back office and is displayed in this screen.
<b>Preview - Mail Device</b>	This section displays the <b>Preview - Mail Device</b> details.

**Table 2-23 (Cont.) Preview Message - Field Description**


Field	Description
<b>Language</b>	Read only field. The language for the advice message. English is set as default language for the preview.
<b>Advice Type</b>	Select the advice type.
<b>Message Status</b>	Read only field. Display the message status of draft message of guarantee details.
<b>Repair Reason</b>	Read only field. Display the message repair reason of draft message of guarantee details.
<b>Preview Message</b>	This field displays a preview of advice.

6. Click **Save and Close** to save the details and close the screen.

7. **Next.**

The task will move to next data segment.

**Table 2-24 Additional Details - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application  <div style="border-left: 2px solid #0070C0; border-right: 2px solid #0070C0; border-bottom: 2px solid #0070C0; padding: 5px; margin-top: 10px;">  <b>Note:</b> Not applicable for STP of SWIFT MT 765.         </div>
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.

**Table 2-24 (Cont.) Additional Details - Action Buttons - Field Description**

Field	Description
<b>Customer Instruction</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Back</b>	Clicking on Back button, takes the user to the previous screen.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.



## 2.4.7 Settlement Details

This topic provides the systematic instructions to capture the settlement details of Lodge Claim Guarantee Issued request.

The user can view the settlement details during Lodge Claim Guarantee Issued request.

1. On **Settlement Details** screen, specify the fields.

**Figure 2-28 Settlement Details**

For more information on fields, refer to the field description table below.

**Table 2-25 Settlement Details – Field Description**

Field	Description
<b>Current Event</b>	Select the check box to populate the settlement details of the current event associated with the task. On De-selecting the check box, the system list all the accounts under the settlement details irrespective of the current event
<b>Component</b>	This field displays the components based on the product selected.
<b>Currency</b>	This field displays the default currency for the component.
<b>Debit/Credit</b>	This field displays the debit/credit indicators for the components.
<b>Account</b>	This field displays the account details for the components.
<b>Account Description</b>	This field displays the the description of the selected account.
<b>Account Currency</b>	This field displays the currency for all the items based on the account number.
<b>Netting Indicator</b>	This field displays the applicable netting indicator.
<b>Current Event</b>	This field displays the current event.

2. Click any component in the grid.

### Party Details

Table 2-26 Party Details – Field Description

Field	Description
<b>Transfer Type</b>	Select the transfer type from the drop-down list. The options are: <ul style="list-style-type: none"> <li>• <b>Customer Transfer</b></li> <li>• <b>Bank Transfer for own account</b></li> <li>• <b>None</b></li> <li>• <b>Direct Debit Advice</b></li> <li>• <b>Managers Check</b></li> <li>• <b>Customer Transfer with Cover</b></li> <li>• <b>Bank Transfer</b></li> </ul>
<b>Charge Details</b>	Select the charge details for the transaction. The options are: <ul style="list-style-type: none"> <li>• <b>Beneficiary All Charges</b></li> <li>• <b>Remitter Our Charges</b></li> <li>• <b>Remitter All Charges</b></li> </ul>
<b>Netting Indicator</b>	Select the netting indicator for the component. The options are: <ul style="list-style-type: none"> <li>• <b>Yes</b></li> <li>• <b>No</b></li> </ul>
<b>Ordering Customer</b>	Click search icon to search and select the ordering customer from the look up.
<b>Ordering Institution</b>	Click search icon to search and select the ordering institution from the look up.
<b>Senders Correspondent</b>	Click search icon to search and select the senders correspondent from the look up.
<b>Receivers Correspondent</b>	Click search icon to search and select the receivers correspondent from the look up.
<b>Intermediary Institution</b>	Click search icon to search and select the intermediary institution from the look up.
<b>Account with Institution</b>	Click search icon to search and select the account with institution from the look up.
<b>Beneficiary Institution</b>	Click search icon to search and select the beneficiary institution from the look up.
<b>Ultimate Beneficiary</b>	Click search icon to search and select the ultimate beneficiary from the look up.
<b>Intermediary Reimbursement Institution</b>	Click search icon to search and select the intermediary reimbursement institution from the look up.
<b>Receiver</b>	Click search icon to search and select the Receiver from the look up.

### Payment Details

Table 2-27 Payment Details - Field Description

Field	Description
<b>Sender to Receiver 1</b>	Specify the sender to receiver message.
<b>Sender to Receiver 2</b>	Specify the sender to receiver message.
<b>Sender to Receiver 3</b>	Specify the sender to receiver message.
<b>Sender to Receiver 4</b>	Specify the sender to receiver message.
<b>Sender to Receiver 5</b>	Specify the sender to receiver message.

**Table 2-27 (Cont.) Payment Details - Field Description**

Field	Description
Sender to Receiver 6	Specify the sender to receiver message.

**Remittance Information**

**Table 2-28 Remittance Information - Field Description**

Field	Description
Payment Detail 1	Specify the payment details.
Payment Detail 2	Specify the payment details.
Payment Detail 3	Specify the payment details.
Payment Detail 4	Specify the payment details.

3. Click **Next**.

The task will move to next data segment.

**Table 2-29 Settlement Details - Action Buttons - Field Description**


Field	Description
<b>Clarification Details</b>	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p> <div style="border: 1px solid #0070C0; background-color: #E6F2FF; padding: 10px; margin-top: 10px;"> <p> <b>Note:</b> Not applicable for STP of SWIFT MT 765.</p> </div>
<b>Remarks</b>	<p>Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.

Table 2-29 (Cont.) Settlement Details - Action Buttons - Field Description


Field	Description
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Request Clarification</b>	Clicking this button allows the user to submit the request for clarification to the “Trade Finance Portal” for the transactions that are initiated offline.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Back</b>	Clicking on Back button, takes the user to the previous screen.
<b>Next</b>	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

## 2.4.8 Summary

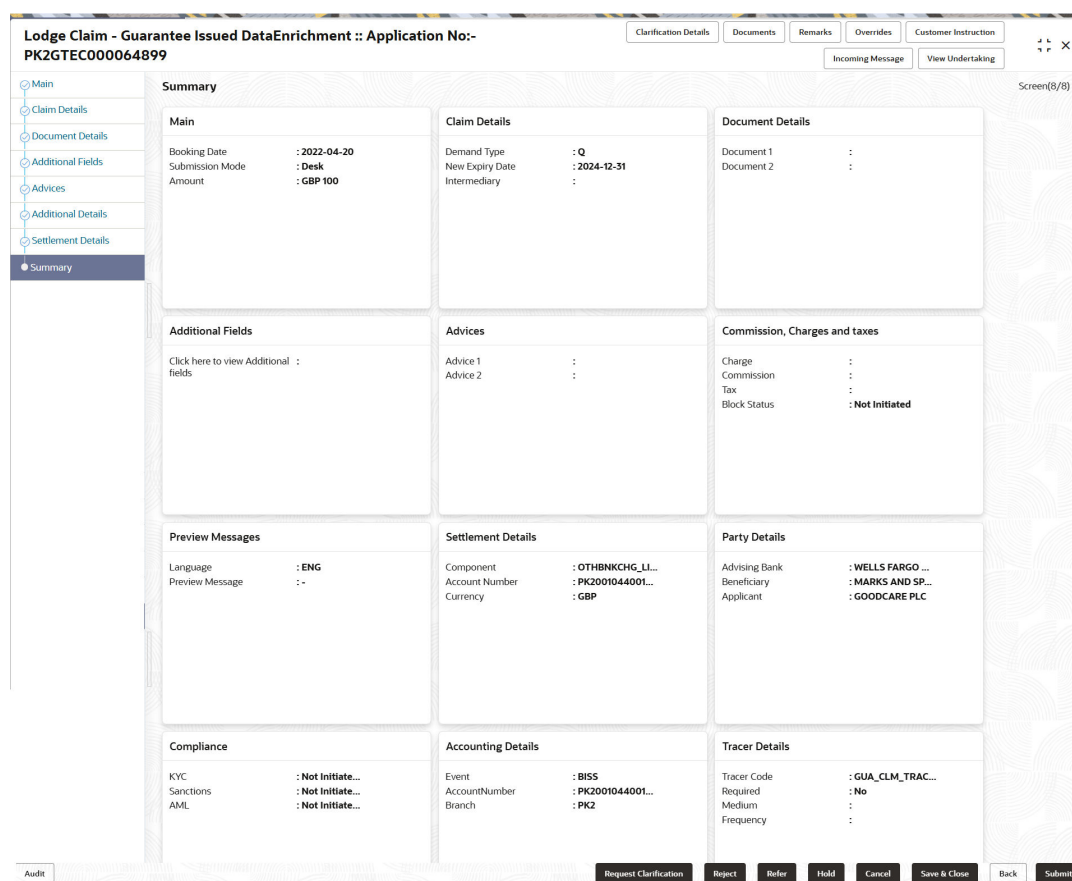
This topic provides the systematic instructions to view the summary of Lodge Claim Guarantee Issued request.

User can review the summary of details updated in Data Enrichment stage of Lodge Claim Guarantee Issued request.

The tiles must display a list of important fields with values. User can drill down from Summary Tiles into respective data segments.

1. On **Summary** screen, click  on any tile to view the details.

**Figure 2-29 Summary**



**Lodge Claim - Guarantee Issued DataEnrichment :: Application No:- PK2GTEC000064899**

Summary

Main	Claim Details	Document Details
Booking Date : 2022-04-20	Demand Type : Q	Document 1 :
Submission Mode : Desk	New Expiry Date : 2024-12-31	Document 2 :
Amount : GBP 100	Intermediary :	

Additional Fields	Advices	Commission, Charges and taxes
Click here to view Additional fields	Advice 1 :	Charge :
	Advice 2 :	Commission :
		Tax :
		Block Status : Not Initiated

Preview Messages	Settlement Details	Party Details
Language : ENG	Component : OTHBNKCHG_LL...	Advising Bank : WELLS FARGO...
Preview Message :-	Account Number : PK2001044001...	Beneficiary : MARKS AND SP...
	Currency : GBP	Applicant : GOODCARE PLC

Compliance	Accounting Details	Tracer Details
KYC : Not Initiate...	Event : BISS	Tracer Code : GUA_CLM_TRAC...
Sanctions : Not Initiate...	AccountNumber : PK2001044001...	Required : No
AML : Not Initiate...	Branch : PK2	Medium :
		Frequency :

Audit

Request Clarification Reject Refer Hold Cancel Save & Close Back Submit

Tiles Displayed in Summary

For more information, refer [Summary](#) hop in **Scrutiny** stage.

2. Click **Submit**.

The task will move to next logical stage.

For more information on action buttons, refer [Table 2-18](#) of **Summary** in **Scrutiny** stage.

## 2.5 Exceptions

This topic helps you quickly get acquainted with the Exceptions process.

The Lodge Claim Guarantee Issued request, before it reaches the approval stage, the application will validate the Amount Block, KYC and AML. If any of these failed in validation will reach exception stage for further clearance for the exceptions.

### **Amount Block Exception Approval**

User can review the amount block exception for Trade Finance requests that failed to create Amount Block in backend system.

Log in into Trade Mid Office (TMO) system amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue.

Log in into Trade Mid Office (TMO) system amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue.

Open the task to view the summary tiles. The tiles should display a list of important fields with values.

The transactions that have failed amount block due to non-availability of amount in respective account will reach the amount block exception stage.

As part of amount block validation, application will check if sufficient balance is available in the account to create the block. On hand-off, system will debit the blocked account to the extent of block and credit charges/ commission account in case of charges block or credit the amount in suspense account for blocks created for collateral.

On Approval, system should not release the Amount Block against each applicable account and system should handoff the "Amount Block Reference Number" to the back office. On successful handoff, back office will make use of these "Amount Block Reference Number" to release the Amount Block done in the mid office (OBTFPM) and should debit the CASA account from the Back office. If multiple accounts are applicable, Amount Block.

Reference for all accounts to be passed to the back office.

Exception is created when sufficient balance is not available for blocking the settlement account and the same can be addressed by the approver in the following ways:

- Approve:
  - Settlement amount will be funded (outside of this process)
  - Allow account to be overdrawn during hand-off
- Refer:
  - Refer Refer back to DE providing alternate settlement account to be used for block.
  - Different collateral to be mapped or utilize lines in place of collateral.
- Reject: Reject the transaction due to non-availability of sufficient balance in settlement account Amount Bock Exception This section will display the amount block exception details.

### **Application Details**

All fields displayed under Application details section, would be read only.

### **Amount Bock Exception**

This section will display the amount block exception details.

## Summary

**Oracle** (DEFAULTNTV) Oracle Banking Trade Finan... Jun 13, 2021 ZARTAB02 subham@gmail.com

Lodge Claim - Guarantee Issued  
Amount/Block Exception Approval :: Application No:- PK2GTEC000017473

Main	Claim Details	Document Details	Additional Fields	Advices
Booking Date : 2021-06-13 Submission Mode : Desk Amount : GBP 100	Demand Type : S New ExpiryDate : Intermediary :	Document 1 : Document 2 :	Click here to view : Additional Fields	Advice 1 : GUA_ACK_ADVL... Advice 2 : GUA_CLAIM_AD... Advice 3 : TRADE_ENVELO...
Limits and Collaterals	Commission,Charges and Taxes	Preview Messages	Settlement Details	Party Details
Contribution Currency : Contribution Amount : Limit Status : Not Verified Collateral Currency : Collateral Contr. : Collateral Status : Not Verified	Charge : GBP 50.00 Commission : Tax : Block Status : Failed	Language : ENG Preview Message : -	Component : OTHBNCCHG.LI... Account Number : PK2001044001... Currency : GBP	Advising Bank : CITIBANK IRE... Applicant : GOODCARE PLC Beneficiary : MARKS AND SR...
Compliance	Accounting Details	Tracer Details		
KYC : Not Initiate... Sanctions : Verified AML : Verified	Event : GCLM AccountNumber : PK2001044001... Branch : PK2	Tracer Code : GUA_CLM_TRAC... Required : No Medium : Frequency :		

Audit Reject Refer Hold Approve Back Next

### Tiles Displayed in Summary:

- Main Details - User can view the application and Guarantee details. User can modify the details if required.
  - Claim Details - User can view the claim details.
  - Documents Details- User can view the Document details.
  - Additional Fields - User can view the additional fields.
  - Limits and Collaterals - User can view limits and collateral details.
  - Commission, Charges and Taxes - User can view the charge details. User can only view but cannot modify the details.
  - Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
  - Settlement Details - User can view the settlement details.
1. Click **Approve**. to approve thw export booking amount bolck exception check.

For more information on Action Buttons, refer to the field description table below.

**Table 2-30 Amount Bock Exception - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	View/Upload the required document.
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.

Table 2-30 (Cont.) Amount Bock Exception - Action Buttons - Field Description

Field	Description
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system. User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Approve</b>	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.
<b>Back</b>	Task moves to previous logical step.

**Exception - Know Your Customer (KYC)**

As part of KYC validation, application will check if necessary KYC documents are available and valid for the applicant. The transactions that have failed KYC due to non-availability / expired KYC verification will reach KYC exception stage.



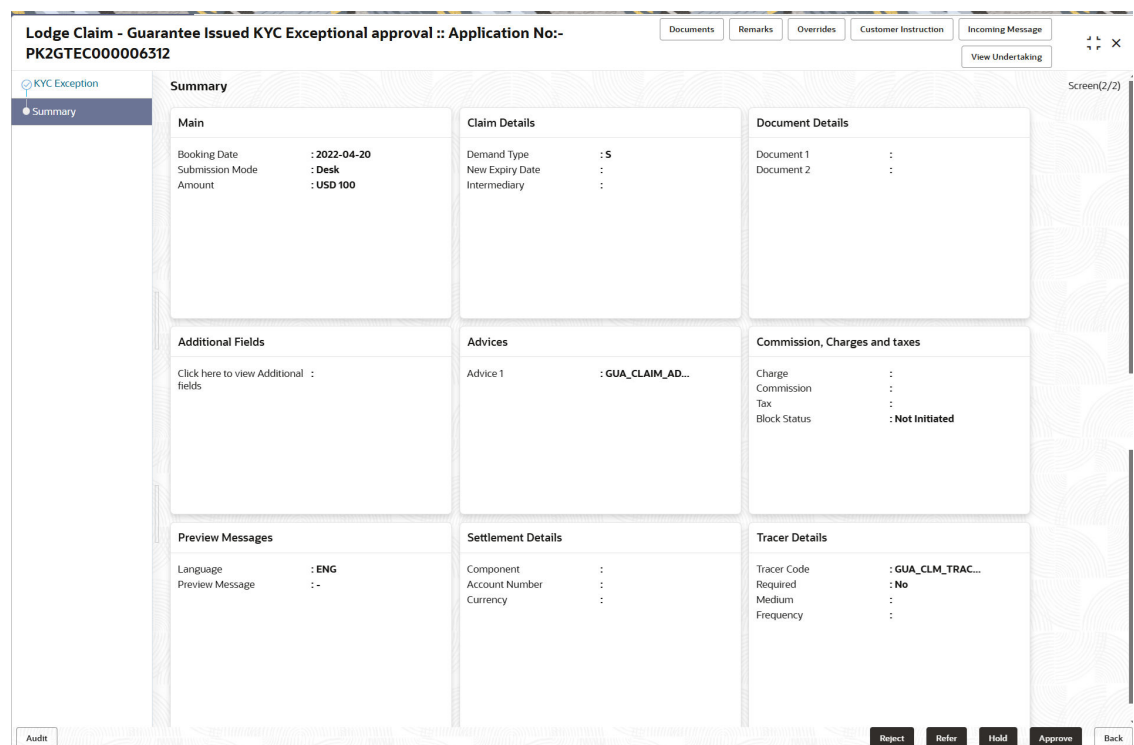
1. Log in into OBTFPM application, KYC exception queue. KYC exception failed tasks for Trade Finance transactions will be listed in your queue.
2. Open the task, to see summary tiles that display a summary of available updated fields with values.  
User can pick up a transaction and do the following actions:

### Approve

- After changing the KYC status in the back end application (outside this process).
- Without changing the KYC status in the back end application.
- Reject (with appropriate reject reason).

### Summary

Figure 2-30 Know Your Customer (KYC) Exception



### Tiles Displayed in Summary:

- Main Details - User can view the application and Guarantee details. User can modify the details if required.
- Claim Details - User can view the claim details.
- Documents Details- User can view the Document details.
- Additional Fields - User can view the additional fields.
- Limits and Collaterals - User can view limits and collateral details.
- Commission, Charges and Taxes - User can view the charge details. User can only view but cannot modify the details.

- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Settlement Details - User can view the settlement details.

For more information on Action Buttons, refer to the field description table below.

**Table 2-31 Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	View/Upload the required document.
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

**Table 2-31 (Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

Field	Description
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system. User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Approve</b>	<p>On approve, application must validate for all mandatory field values, and task must move to the next logical stage.</p>
<b>Back</b>	<p>Task moves to previous logical step.</p>

**Exception - Limit Check/Credit**

The transactions that have failed limit check due to non-availability of limits will be available in limit check exception queue for further handling.

1. Log in into OBTFPM application, limit check exception queue. Limit check exception failed tasks for Trade Finance transactions must be listed in your queue.
2. Click **My Task**. The summary tiles displays summary of important fields with values.

 **Note:**

On Approval of the exception task, system should validate the Limit Availability, Limit Expiry Date in the Limit System and create Earmark in the ELCM system. In case if the Limit is not available or the Limit is expired, then system should display an error message and should not allow the user to approve and proceed.

Limit check Exception approver can do the following actions:

**Approve**

- Limit enhanced in the back end (outside this process).
- Without enhancing limit in the back end.

**Refer**

- Refer back to DE providing alternate limit id to map
- Refer additional collateral to be mapped

**Reject**

The transaction due to non-availability of limits capturing reject reason.

### Limit/Credit Check

This section will display the amount block exception details.

### Summary

Tiles Displayed in Summary:

- Main Details - User can view the application and Guarantee details. User can modify the details if required.
- Claim Details - User can view the claim details.
- Documents Details- User can view the Document details.
- Additional Fields - User can view the additional fields.
- Limits and Collaterals - User can view limits and collateral details.
- Commission, Charges and Taxes - User can view the charge details. User can only view but cannot modify the details.
- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Settlement Details - User can view the settlement details.

For more information on action buttons, refer to the field description table below.

**Table 2-32 Exception - Limit Check/Credit - Action Buttons – Field Description**

Field	Description
<b>Documents</b>	View/Upload the required document.
<b>Remarks</b>	Specify any additional information regarding the Lodge Claim Guarantee Issued. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	Clicking this button allows the user to see the message in case of STP of incoming MT 765.
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.

Table 2-32 (Cont.) Exception - Limit Check/Credit - Action Buttons – Field Description

Field	Description
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system. User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Approve</b>	<p>On approve, application must validate for all mandatory field values, and task must move to the next logical stage.</p>
<b>Back</b>	<p>Task moves to previous logical step.</p>

## 2.6 Multi Level Approval

This topic helps you quickly get acquainted with the Multi Level Approval process.

The Approval user can approve a Lodge Claim Guarantee Issued transaction.

1. Log in into OBTFPM application and on **Home** screen, click, **Task**.
2. Under **Tasks**, click **Free Tasks**.
3. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.
4. The acquired task will be available in **My Tasks** tab. Click **Edit** to approve the task.  
The **Approval Re-Key** pop-up screen appears.

Figure 2-31 Approval Re-Key

**Approval Rekey**

View Signature Documents Remarks

Claim Amount  
USD \$100.00 ✓

Currency  
USD ✓

Refer Close Proceed

The application will request approval for few critical field values as an authorization step. If the values captured match with the values available in the screen, system will allow user to open the transaction screens for further verification. If the re-key values are different from the values captured, then application will display an error message and user will not be able to approve the task.

5. Open the task and re-key some of the critical field values from the request in the **Approval Re-Key** screen.

Some of the fields below will dynamically be available for re-key.:

- Applicant Name
- Beneficiary Name
- Undertaking Currency
- Undertaking Amount
- Expiry Date

Re-key is applicable to the first approver in case of multiple approvers. All approvers will however be able to see the summary tiles and the details in the screen by drill down from tiles.

6. Click **Proceed** to proceed for the approval.

The **Approval Summary** screen appears. The user can view the Summary tiles which displays list of important fields with values.

7. Click each tile to drill down from summary tiles into respective data segments to verify the details of all fields under the data segment.

In case of MT798, on approval the task is handed off to back office system to create a Guarantee contract and generate the required MT760/761 messages.

 **Note:**

The user can simulate/recalculate charge details and during calling the handoff, if handoff is failed with error the OBTFM displays the Handoff failure error during the Approval of the task.

### Approval Summary

**Lodge Claim - Guarantee Issued Approval Task Level 1 :: Application**

No:- PK2GTEC000006312

Documents   Remarks   Overrides   Customer Instruction

Incoming Message   View Undertaking

<p><b>Main</b></p> <p>Booking Date : 2022-04-20 Submission Mode : Desk Amount : USD 100</p>	<p><b>Claim Details</b></p> <p>Demand Type : S New Expiry Date : Intermediary :</p>	<p><b>Document Details</b></p> <p>Document 1 : Document 2 :</p>
<p><b>Additional Fields</b></p> <p>Click here to view Additional : fields</p>	<p><b>Advices</b></p> <p>Advice 1 : GUA_CLAIM_AD...</p>	<p><b>Commission, Charges and taxes</b></p> <p>Charge : Commission : Tax : Block Status : <b>Not Initiated</b></p>
<p><b>Preview Messages</b></p> <p>Language : ENG Preview Message :-</p>	<p><b>Settlement Details</b></p> <p>Component : Account Number : Currency :</p>	<p><b>Party Details</b></p> <p>Applicant : GOODCARE PLC Beneficiary : PKZWALKINI</p>
<p><b>Compliance</b></p> <p>KYC : <b>Not Verified</b> Sanctions : <b>Verified</b> AML : <b>Verified</b></p>	<p><b>Accounting Details</b></p> <p>Event : AccountNumber : Branch :</p>	<p><b>Exception(Approval)</b></p> <p>Sanction,KYC : <b>EXCEPTION</b> PLEASE VISIT REMARKS :- FOR MORE DETAILS</p>

Audit
Reject   Hold   Refer   Cancel   Approve

Tiles Displayed in Summary:

- Main Details - User can view the application and Guarantee details. User can modify the details if required.
- Claim Details - User can view the claim details.
- Documents Details- User can view the Document details.
- Additional Fields - User can view the additional fields.
- Limits and Collaterals - User can view limits and collateral details.

- Commission, Charges and Taxes - User can view the charge details. User can only view but cannot modify the details.
- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Settlement Details - User can view the settlement details.
- Compliance Details - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Accounting Entries - User can view the accounting entries.

 **Note:**

When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message “Value Date is different from Transaction Date for one or more Accounting entries.

For more information on Action Buttons, refer to the field description table below.

**Table 2-33 Approval Summary - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	View/Upload the required document.  Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
<b>Remarks</b>	Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instructions</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	This button displays the multiple messages (MT760 + up to 7 MT761. In case of MT798, the User can click and view the MT798 message(770,700/701).
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.



Table 2-33 (Cont.) Approval Summary - Action Buttons - Field Description

Field	Description
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"><li>• R1- Documents missing</li><li>• R2- Signature Missing</li><li>• R3- Input Error</li><li>• R4- Insufficient Balance/Limits</li><li>• R5 - Others</li></ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"><li>• R1- Documents missing</li><li>• R2- Signature Missing</li><li>• R3- Input Error</li><li>• R4- Insufficient Balance/Limits</li><li>• R5 - Others</li></ul>
<b>Approve</b>	<p>On approve, application must validate for all mandatory field values, and task must move to the next logical stage. If there are more approvers, task will move to the next approver for approval. If there are no more approvers, the transaction is handed off to the back end system for posting.</p>

8. Click **Approve**.

# Glossary

# Index

## A

---

Additional Details, [2-32](#), [2-57](#)  
Additional Details - Action Buttons, [2-32](#)  
Additional Details - Action Buttons - Field Description, [2-57](#)  
Additional Fields, [2-30](#), [2-52](#)  
Advice Details, [2-53](#)  
Advices, [2-53](#)  
Advices - Action Buttons, [2-53](#)  
Amount Bock Exception - Action Buttons, [2-66](#)  
Application Details, [2-16](#), [2-48](#)  
Approval Summary, [2-74](#)  
Approval Summary - Action Buttons, [2-74](#)  
Authorization Re-Key (Non-Online Channel), [2-74](#)

## B

---

Benefits, [1-1](#)

## C

---

Charge Details, [2-32](#), [2-57](#)  
Claim Details, [2-22](#), [2-51](#)  
Claim Details - Action Buttons, [2-51](#)  
Claim Details - Action Buttons - Field Description, [2-22](#)  
Commission Details, [2-32](#), [2-57](#)

## D

---

Data Enrichment, [2-46](#)  
Deposit Linkage Details, [2-32](#)  
Document Details, [2-26](#), [2-51](#)

## E

---

Exception - Amount Block, [2-66](#)  
Exception - Limit Check/Credit - Action Buttons, [2-66](#)  
Exceptions, [2-66](#)

## G

---

Guarantee Details, [2-3](#), [2-16](#)

## K

---

Key Features, [1-1](#)

## L

---

LC Details, [2-48](#)  
Limits and Collaterals, [2-32](#), [2-57](#)

## M

---

Main Details, [2-16](#), [2-48](#)  
Main Details - Action Buttons, [2-48](#)  
Main Details - Action Buttons - Field Description, [2-16](#)  
Multi Level Approval, [2-74](#)

## O

---

Overview, [1-1](#)

## P

---

Preview Message, [2-57](#)

## R

---

Registration, [2-3](#)  
Registration - Action Buttons, [2-3](#)  
Registration - Application Details, [2-3](#)

## S

---

Scrutiny, [2-14](#)  
Scrutiny - Document Details - Action Buttons, [2-26](#)  
Scrutiny - Document Details - Action Buttons - Field Description, [2-51](#)  
Settlement Details, [2-62](#)  
Settlement Details - Action Buttons - Field Description, [2-62](#)  
Summary, [2-43](#), [2-66](#)  
Summary - Action Buttons - Field Description, [2-43](#), [2-66](#)

---

T

Tracer Details, [2-57](#)

---

Tax Details, [2-32](#), [2-57](#)