# Oracle Banking Trade Finance Process Management

## Export LC Cancellation User Guide

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# Preface

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- Critical Patches
- Diversity and Inclusion
- Structure
  This manual is organized into the following chapters:
- Conventions
- Related Documents
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- Basic Actions
- Symbols and Icons

## Purpose

This manual is designed to help you quickly get acquainted with the Oracle Banking Trade Finance Process Management **Export LC Cancellation** 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.

- Access to Oracle Support

## Access to Oracle Support

Oracle customer access to and use of Oracle support services will be pursuant to the terms and conditions specified in their Oracle order for the applicable services.

## 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 make sure 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 gives information on the intended audience, structure, and related documents for this User Manual.
- The subsequent chapters provide an overview to the module.

## Conventions

The following text conventions are used in this document:

| Convention | Meaning |
| --- | --- |
| **boldface** | Boldface type indicates graphical user interface elements associated with an action, or terms defined in text. |
| *italic* | 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 |
|---|---|
| OBTFPM | 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 |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

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

| Action Buttons | Description |
|---|---|
| **Refer** | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Click **Cancel** to cancel the transaction input midway without saving any data. |
| **Save & Close** | Click **Save & Close** to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| **Next** | Click **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. |
| **Submit** | Click **Submit** 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

# Export LC Cancellation

This chapter is documented to get familiar with the Export LC Cancellation process of Oracle Banking Trade Finance Process Management.

Export LC Cancellation process enables the user to cancel the LC which had been already advised.

The cancellation require consent from the beneficiary of the LC. In such scenarios, after the processing of cancellation, the cancelled LC is parked awaiting beneficiary consent.

In the following sections, let's look at the details for export LC cancellation process.

This topic contains following subtopics:

- Common Initiation Stage
- Registration
- Data Enrichment
- Exceptions
- Multi Level Approval
- Reject Approval

- Common Initiation Stage
  This topic provides the systematic instructions to initiate the **Export LC Cancellation** request.

- Registration
  This topic provides the systematic instructions to initiate the Registration stage of Export LC Cancellation request.

- Data Enrichment
  This topic provides the systematic instructions to initiate the Data Enrichment stage of Export LC Cancellation 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.

- Reject Approval
  This topic helps you quickly get acquainted with the Reject Approval process.

## 2.1 Common Initiation Stage
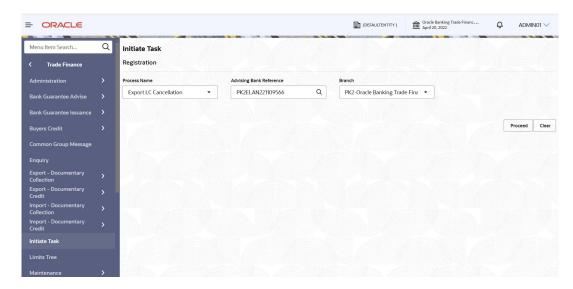
This topic provides the systematic instructions to initiate the **Export LC Cancellation** request.

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 |
|---|---|
| **Process Name** | Select a process name from the drop-down list. |
| **Advising Bank Reference** | Click **Search** to search and select the advising bank reference of the applicant or applicant's bank from the look-up. |
| **Branch** | 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 |
|---|---|
| **Proceed** | Task will get initiated to next logical stage. |
| **Clear** | Click to clear the contents update and enter the values again. |

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

# 2.2 Registration
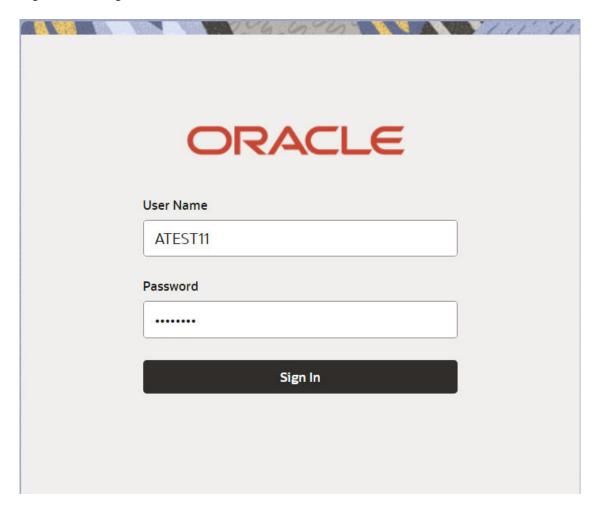
This topic provides the systematic instructions to initiate the Registration stage of Export LC Cancellation request.

If the Letter Of Credit cancellation request is submitted through branch, the Export LC Cancellation process starts from the Registration Stage.
During registration stage, user can capture the basic details of the application and upload the related documents of the applicant. On submit of the request, the request will be available for an LC cancellation expert to handle the request in the next stage.

Specify **User ID** and **Password**, and login to **Home** screen.
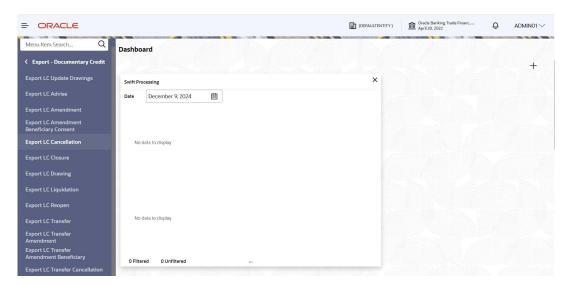
**Figure 2-2    LogIn Screen**



1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Export Documentary Credit**.

2. Under **Export Documentary Credit**, click **Export LC Cancellation**.
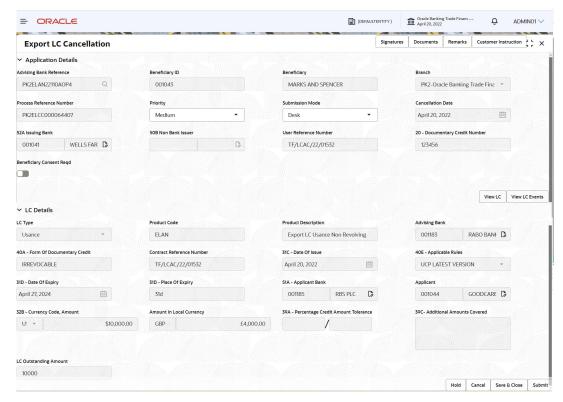
**Figure 2-3    Export LC Cancellation**



The **Export LC Cancellation - Registration** screen appears.

The Export LC Cancellation - Registration stage has two sections Application Details and LC Details. Let's look at the details of Registration screens below:

**Figure 2-4    Export LC Cancellation - Registration - Application Details**



**3.** On **Export LC Cancellation - 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    Export LC Cancellation - Registration - Application Details - Field Description**

| Field | Description |
|---|---|
| **Advising Bank Reference** | Click **Search** to search and select the advising bank reference number from the look-up.<br>Alternatively, specify the advising bank reference number.<br><br>In the look-up serach, user can specify the DCN Reference Number, Applicant, Currency, Amount and User Reference to fetch the Export LC details. Based on the search result, select the applicable Export LC to be canceled. |
| **Beneficiary ID** | Read only field.<br><br>Beneficiary ID is auto-populated based on the selected Export LC from the look-up. |
| **Beneficiary** | Read only field.<br><br>Beneficiary name will be auto-populated based on the selected Export LC from the look-up. |
| **Branch** | Read only field.<br><br>Branch details will be auto-populated based on the selected Export LC from the look-up. |
| **Process Reference Number** | Unique sequence number for the transaction.<br><br>This is auto generated by the system based on process name and branch code. |
| **Priority** | System populates the priority of the customer based on priority maintenance, also enables the user to change the priority as per the requirement.<br><br>Set the priority of the Export LC Cancellation request as Low/Medium/High. If priority is not maintained for a customer, 'Medium' priority will be defaulted. |
| **Submission Mode** | System populates the submission mode of Export LC Cancellation request.<br><br>By default the submission mode will have the value as 'Desk'.<br>• **Desk** - Request received through Desk<br>• **Courier** - Request received through Courier |
| **Cancellation Date** | Read only field.<br><br>By default, the application will display branch's current date. |
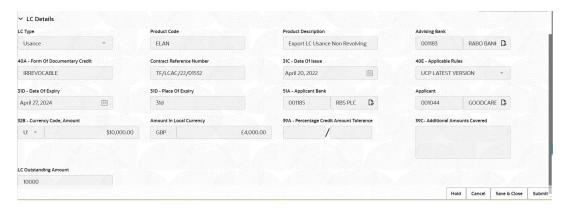
**Table 2-3    (Cont.) Export LC Cancellation - Registration - Application Details - Field Description**

| Field | Description |
|---|---|
| **52A Issuing Bank** | Read only field.<br><br>Issuing Bank details is auto-populated based on the selected Export LC from the look-up. |
| **Non Bank Issuer** | Read only field.<br><br>Non Bank Issuer details is auto-populated based on the selected Export LC from the look-up. |
| **User Reference Number** | Read only field.<br><br>User reference number will be auto-populated by the system based on selected Export LC. |
| **Beneficiary Consent Reqd** | Enable the option, if beneficiary consent is required.<br>Disable the option, if beneficiary consent is not required.<br>By default, the toggle must be 'On' for Export LC Cancellation process. |

**LC Details**
Registration user can provide LC details in this section. Alternately, details can be provided by Data Enrichment user.



4. On **Export LC Cancellation - LC 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    Export LC Cancellation - Registration - LC Details - Field Description**

| Field | Description |
|-------|-------------|
| LC Type | Read only field.<br><br>LC type is auto-populated based on the selected Export LC from the look-up. |
| Product Code | Read only field.<br><br>This field displays the product code of the selected LC. |
| Product Description | Read only field.<br><br>This field displays the description of the product as per the product code. |
| Advising Bank | Read only field.<br>This field displays the advising bank details of the selected LC. |
| 40A/B - Form of Documentary Credit | Read only field.<br><br>This field displays the form of documentary credit details of the selected LC. |
| Contract Reference Number | Read only field.<br>This field displays the form of contract reference number of the selected LC. |
| Date of Issue | Read only field.<br>This field displays the LC issuance date. |
| Applicable Rules | Read only field.<br>This field displays the rules of the selected export LC. |
| Date of Expiry | Read only field.<br>This field displays the expiry date of the selected LC. |
| Place of Expiry | Read only field.<br>This field displays the place of expiry of the selected LC. |
| Applicant Bank | Read only field.<br>This field displays the applicant bank details of the selected LC. |
| Applicant | Read only field.<br>This field displays the details of the applicant of the selected LC. |
| Currency Code, Amount | Read only field.<br>This field displays the details of the currency/amount of the selected LC. |
| Amount In Local Currency | Read only field.<br><br>System fetches the local currency equivalent value for the LC amount from back office (with decimal places). |
| Percentage Credit Amount Tolerance | Read only field.<br><br>This field displays the details of the percentage credit amount tolerance of the selected LC. |
| Additional Amount Covered | Read only field.<br><br>This field displays the details of the additional amount covered of the selected LC. |

**Table 2-4    (Cont.) Export LC Cancellation - Registration - LC Details - Field Description**

| Field | Description |
|---|---|
| **LC Outstanding Amount** | Read only field. This field displays the details of the LC outstanding amount of the selected LC. |

5.  Click **Submit**.

The task will move to next logical stage of Export LC Cancellation.
For more information on action buttons, refer to the field description table below.

**Table 2-5    Export LC Cancellation - Registration - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | Upload the documents received under the Export LC Cancellation. |
| **Remarks** | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users handling the request. |
| **Customer Instruction** | Click to view/ input the following.<br>• **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.<br>• **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. |
| **Signatures** | Click the **Signatures** to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **View LC** | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields. |
| **View LC Events** | Click to view the LC events. |
| **Hold** | 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. |
| **Cancel** | Cancels the Export LC Cancellation task. Details entered will not be saved and the task will be removed |
| **Save & Close** | Save the information provided and holds the task in 'My Task' queue for working later. This option will not submit the request. |

**Table 2-5    (Cont.) Export LC Cancellation - Registration - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Submit** | The task will move to next logical stage of Export LC Cancellation. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. |
| **Checklist** | 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.
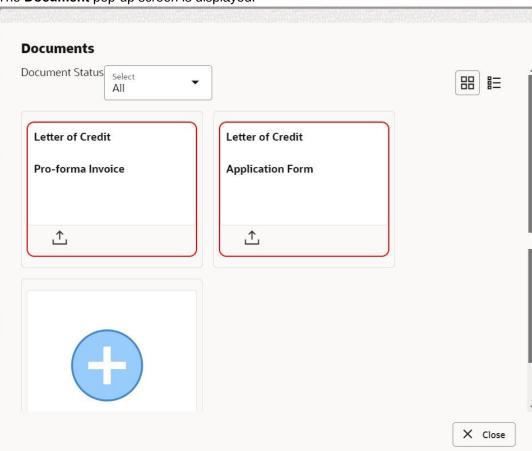
In OBTFPM, system should display Document Ids available in the DMS system. In DMS system, the documents can be Uploaded and stored for future access. Every document stored in DMS will have a unique document id along with other Metadata. The uploaded Document image in the DMS should be available/queried 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**.
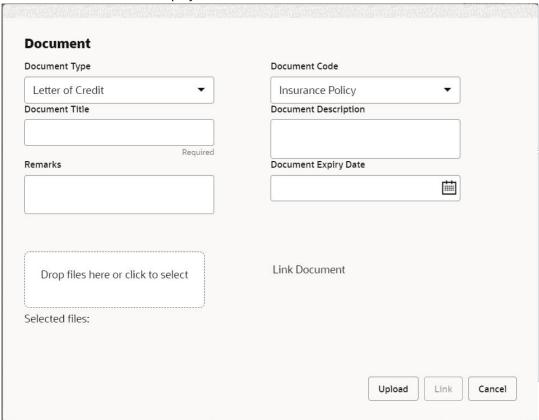
The **Document** pop-up screen is displayed.



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

The **Document** screen is displayed.
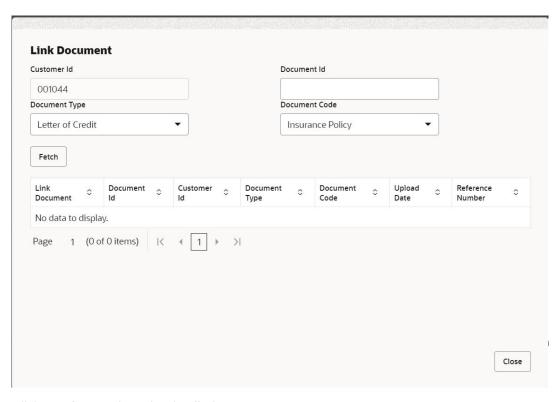


| Field | Description |
|---|---|
| **Document Type** | Select the document type from list.<br>Indicates the document type from metadata. |
| **Document Code** | Select the document Code from list.<br>Indicates the document Code from metadata. |
| **Document Title** | Specify the document title. |
| **Document Description** | Specify the document description. |
| **Remarks** | Specify the remarks. |
| **Document Expiry Date** | Select the document expiry date. |
| **Link Document** | 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.
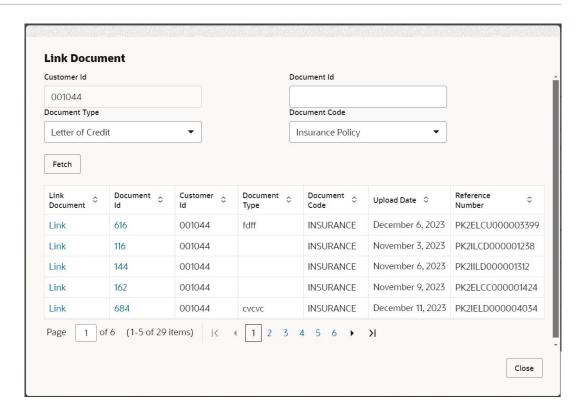
4. Click **Fetch** to retrieve the details from DMS.

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

| Field | Description |
|---|---|
| **Customer ID** | This field displays the transaction Customer ID. |
| **Document ID** | Specify the document ID. |
| **Document Type** | Select the document type from list. |
| **Document Code** | Select the document Code from list. |
| **Search Result** | |
| **Document ID** | This field displays the document ID from metadata. |
| **Customer ID** | This field displays the transaction customer ID. |
| **Document Type** | This field displays the document type from metadata. |
| **Document Code** | This field displays the document code from metadata. |
| **Link Document** | The link to link the existing uploaded documents from DMS to the workflow task. |
| **Upload Date** | The field displays the upload date of the document. |
| **Reference Number** | The field displays the reference number of the document. |
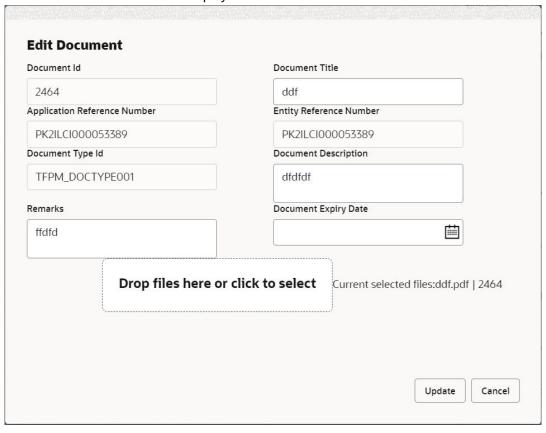
5. Click **Link** to link the particular document required for the current transaction.

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

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

The **Edit Document** screen is displayed.

# 2.3 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Export LC Cancellation request.

A DE User can input new Export LC Cancellation request. As part of data enrichment user can enter/update basic details of the incoming request.
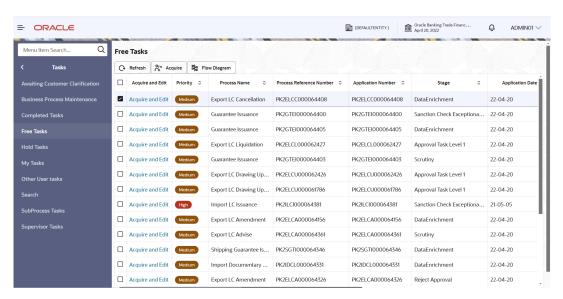
> **Note:**
>
> For expired line of limits, the task moves to "Limit Exception" stage under Free Tasks, on 'Submit' of DE Stage with the reason for exception as "Limit Expired".

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 2-5    Free Task**
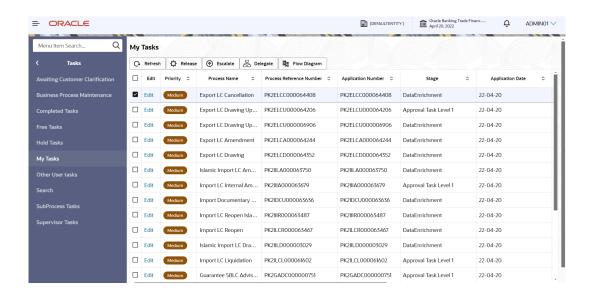


The **Free Task** screen appears.

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 2-6    My Task**

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

- Main Details

- Payment 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 main details of Data Enrichment stage of Export LC Cancellation request.

- Payment Details
  This topic provides the systematic instructions to initiate the Payment in Data Enrichment stage of Export LC Cancellation request.

- 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 Export LC Cancellation process.

- Additional Details
  This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Export LC Cancellation process.

- Settlement Details
  This topic provides the systematic instructions to capture the settlement details of Export LC Cancellation request.

- **Summary**
  This topic provides the systematic instructions to view the summary details in Data Enrichmen stage of Export LC Cancellation request.

## 2.3.1 Main Details

This topic provides the systematic instructions to initiate the main details of Data Enrichment stage of Export LC Cancellation request.

Main details section has two sub section as follows:
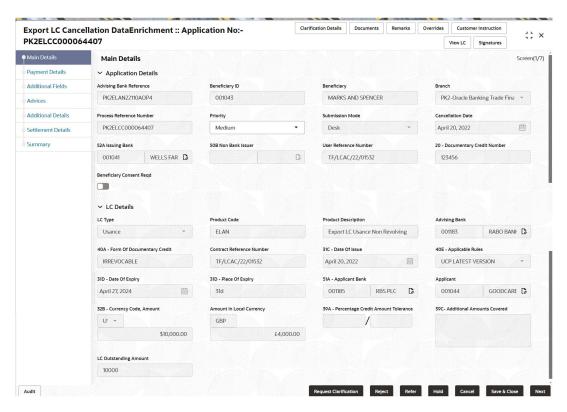
- Application Details
- LC Details.

**Application Details**
All fields displayed under Application Details section, would be read only except for the **Priority** and **Beneficiary Consent Reqd**.

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

**Figure 2-7    Main Details**



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

**Table 2-6    Export LC Cancellation - Main Details - Application Details - Field Description**

| Field | Description |
|---|---|
| **Advising Bank Reference** | Read only field.<br><br>The value is auto-populated from the Registration stage. |
| **Beneficiary ID** | Read only field.<br><br>Beneficiary ID is auto-populated based on the selected Export LC in the Registration stage. |
| **Beneficiary** | Read only field.<br><br>Beneficiary name will be auto-populated based on the selected Export LC in the Registration stage. |
| **Branch** | Read only field.<br><br>Branch details will be auto-populated based on the selected Export LC. |
| **Process Reference Number** | Read only field.<br><br>Unique sequence number for the transaction.<br><br>This is auto generated by the system based on process name and branch code. |
| **Priority** | System populates the priority of the customer based on priority maintenance, also enables the user to change the priority as per the requirement.<br><br>Set the priority of the Export LC Cancellation request as Low/Medium/High. If priority is not maintained for a customer, 'Medium' priority will be defaulted. |
| **Submission Mode** | Read only field.<br><br>System populates the submission mode of Export LC Cancellation request.<br><br>By default the submission mode will have the value as 'Desk'.<br><br>• **Desk** - Request received through Desk<br>• **Courier** - Request received through Courier |
| **Cancellation Date** | By default, the application will display branch's current date. |
| **Issuing Bank** | Read only field.<br>The issuing bank details is auto-populated from the Export LC Cancellation. |
| **Non Bank Issuer** | Read only field.<br><br>Non Bank Issuer details is auto-populated based on the Export LC. |
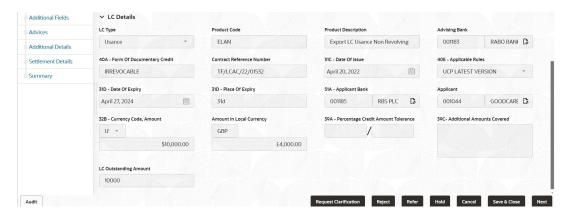
**Table 2-6    (Cont.) Export LC Cancellation - Main Details - Application Details - Field Description**

| Field | Description |
|---|---|
| User Reference Number | Read only field.<br><br>User reference number will be auto-populated by the system based on selected Export LC. |
| Beneficiary Consent Reqd | Enable the option, if beneficiary consent is required.<br>Disable the option, if beneficiary consent is not required.<br>By default, the toggle must be 'On' for Export LC Cancellation process. |

**LC Details**

The fields listed under this section are same as the fields listed under the **LC 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    LC Details**



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

**Table 2-7    Export LC Cancellation - LC Details - Field Description**

| Field | Description |
|---|---|
| LC Type | Read only field.<br><br>This field displays the LC type as selected in Registration stage. |
| Product Code | Read only field.<br><br>This field displays the product code of the selected LC in Registration stage. |
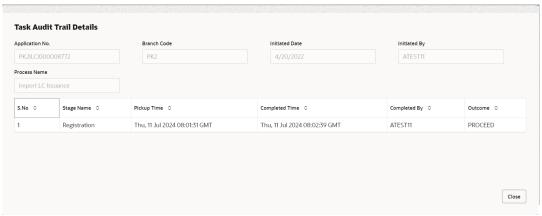
**Table 2-7    (Cont.) Export LC Cancellation - LC Details - Field Description**

| Field | Description |
|---|---|
| Product Description | Read only field.<br><br>This field displays the description of the product as per the product code. |
| Advising Bank | Read only field.<br>This field displays the advising bank details of the selected LC in Registration stage. |
| 40A - Form of Documentary Credit | Read only field.<br>The form of documentary credit details is defaulted from the Registrartion stage. |
| Contract Reference Number | Read only field.<br><br>This is auto generated by the back end system. |
| Date of Issue | Read only field.<br><br>This field displays the date of issue of LC. |
| Applicable Rules | Read only field.<br>This field displays the rules of the selected export LC in Registration stage. |
| Date of Expiry | This field displays the expiry date of the selected Export LC. |
| Place of Expiry | This field displays the place of expiry of the selected Export LC. |
| Applicant Bank | Read only field.<br>Applicant bank details is defaulted from the Registrartion stage. |
| Applicant | Read only field.<br><br>Applicant details is defaulted from the Registrartion stage. |
| Currency Code, Amount | Read only field.<br>This field displays the details of the currency/amount of the selected LC. |
| Amount In Local Currency | Read only field.<br><br>System fetches the local currency equivalent value for the LC amount from back office (with decimal places). |
| Percentage Credit Amount Tolerance | This field displays the percentage credit amount tolerance details of the selected Export LC in Registration stage. |
| Additional Amount Covered | This field displays the details of additional amount covered of the selected LC and user can amend if required. |
| LC Outstanding Amount | Read only field.<br><br>This field displays the details of the LC outstanding amount of the selected LC in Registration stage. |

**Audit**



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 |
|---|---|
| Application No. | This field displays the appliation number of the process. |
| Branch Code | This field displays the branch code. |
| Initiated Date | This field displays the date on which process is initiated. |
| Initiated By | This field displays the user ID of the user who had initiated the process. |
| Process Name | This field displays the name of the process which is initiated. |
| S. No | This field displays the serial number of the audit record. |
| Stage Name | This field displays the current stage of the process. |
| Completed Time | This field displays the time on which the audit of the current stage is completed. |
| Completed By | This field displays the user ID of the user who had completed the audit. |
| Outcome | 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 |
|---|---|
| Documents | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>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. |
| Remarks | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users handling the request. |

Data Enrichment

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

| Field | Description |
|---|---|
| Overrides | Click to view the overrides accepted by the user. |
| Customer Instruction | Click to view/ input the following.<br>• **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.<br>• **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. |
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| Signatures | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| Refer | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| Hold | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancels the Export LC Cancellation task. Details entered will not be saved and the task will be removed |

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

| Field | Description |
|---|---|
| Save & Close | Save the information provided and holds the task in 'My Task' queue for working later.<br><br>This option will not submit the request. |
| Next | 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. |
| Checklist | 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. |

## 2.3.2 Payment Details

This topic provides the systematic instructions to initiate the Payment in Data Enrichment stage of Export LC Cancellation request.

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

**Figure 2-9    Payment Details**



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

**Table 2-10    Payment - Field Description**

| Field | Description |
|---|---|
| **Payment Details** | |
| **Special Payment conditions for beneficiary** | Read-only field.<br>Displays the details of special payment condition to the beneficiary, if any. |
| **Special Payment conditions for receiving bank** | Read-only field.<br>This field specifies special payment conditions applicable to the receiving bank without disclosure to the beneficiary, for example, post-financing request/conditions for receiving bank only. |
| **Period for Presentation** | Read-only field.<br>Displays the the period of presentation.<br><br>The field displays the event name in text along with the number of days in number, if the period of presentation is based on any event other than shipment. |
| **Confirmation Instructions** | Read-only field.<br>Displays the confirmation instruction for the LC.<br><br>The values can be:<br>• CONFIRM<br>• MAY ADD<br>• WITHOUT<br>The system should display the<br>• SWIFT code (if available)<br>• Name and address of the bank |
| **Partial Confirmation Allowed** | Read-only field.<br>Displays whether partial confirmation is allowed. |
| **Silent Confirmation** | Read-only field.Indicates whether silent confirmation is added to an LC already advised to the beneficiary and Confirmation Percentage should default as 100 and Silent Confirmation Amount should display the full LC outstanding value.<br>This field is added only for LC in which Issuing Bank does not request confirmation. |
| **Confirmation %** | Read-only field.<br>Displays the confirmation percentage.<br><br>This field is alternate to **Confirmation Amount** field. |
| **Confirmation Amount** | Read-only field.<br>Displays the confirmation amount. |
| **Requested Confirmation Party Type** | Read-only field.<br>Displays the requested confirmation party type. |
| **Requested Confirmation Party** | Read-only field.<br>Displays the requested confirmation party details. |
| **Confirmation Expiry Date** | Read-only field.<br>Displays the confirmation expiry date. |
| **Reimbursing Bank** | Read-only field.<br>Displays the reimbursing bank details. |
| **Advise Through Bank** | Read-only field.<br>Displays the advise through bank details.<br><br>In case of SWIFT MT707 message, this field is empty. |
| **Instructions to P/A/N Bank** | Read-only field.<br>Displays the instructions to P/A/N Bank. |

**Table 2-10    (Cont.) Payment - Field Description**

| Field | Description |
|---|---|
| **Sender to Receiver Information** | Read-only field.<br>Displays the sender to receiver information. |
| **Charges** | Read-only field.<br>Displays charges details(FFT). |
| **Amendment Charges payable by** | Select the party to pay the amendment charges.<br><br>The options are:<br>• Applicant<br>• Beneficiary<br>• Others |
| **Information to Issuing Bank** | |
| **Sender to Receiver Information** | Click **Search** to search and select the FFT to provide the additional information to receiver. |
| **Narrative** | Click **Search** to search and select the FFT to provide the additional information from the advising bank to the issuing bank. |
| **Issuing Bank Account No** | Click **Search** to search and select the issuing bank account number from the look-up. |
| **Charges to be Claimed** | Select the currency and specify the charges to be claimed. |
| **Charges** | Specify the charge details for advising. |
| **Issuing Bank Date** | Select the issuing bank date from the date picker. |
| **Account with Bank** | Click **Search** to search and select the account to which the charges needs to be paid. |
| **Information to Advise Through Bank** | |
| **Sender to Receiver Information** | Read-only field.<br>Displays the additional information to receiver. |

**2.** Click **Next**.

The task will move to next data segment. For more information refer Additional Fields.

**Table 2-11    Payment Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br><br>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. |
| **Remarks** | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users handling the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |

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

| Field | Description |
|---|---|
| Customer Instruction | Click to view/ input the following.<br>• **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.<br>• **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. |
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| Signatures | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| Refer | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Save & Close | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| Back | On click of Back, task moves to previous logical step. |

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

| Field | Description |
|---|---|
| Next | 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. |
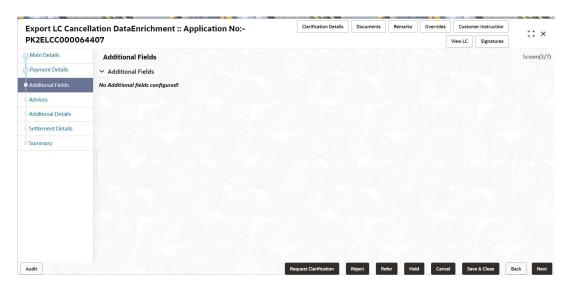
## 2.3.3 Additional Fields

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

Banks can configure these additional fields during implementation.

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

**Figure 2-10    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 to the field description table below.

**Table 2-12    Additional Fields - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Documents | Upload the required 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. |

**Table 2-12    (Cont.) Additional Fields - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Remarks** | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users handling the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following.<br>• **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.<br>• **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. |
| **View LC** | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |

**Table 2-12    (Cont.) Additional Fields - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Save & Close | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| Back | On click of Back, task moves to previous logical step. |
| Next | 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. |
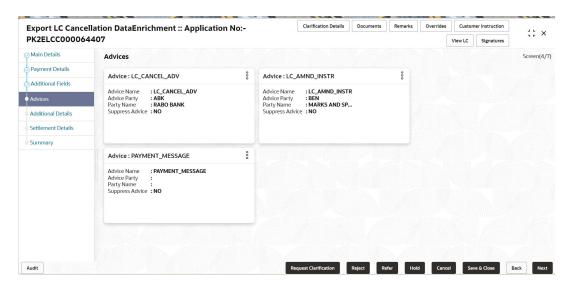
## 2.3.4 Advices

This topic provides the systematic instructions to capture the advices details of Export LC Cancellation process.

Advices menu displays the advices from the back office as tiles. User can edit the fields in the tile, if required. The user can also suppress the Advise, if required
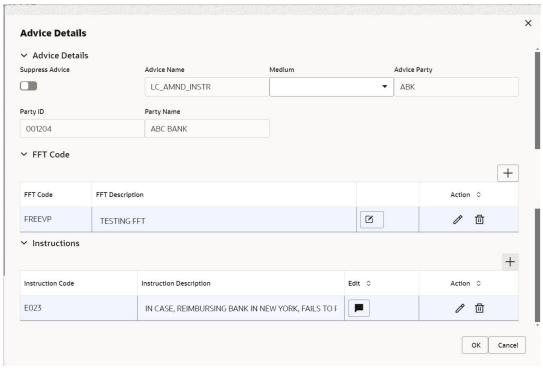
1. On **Advices** screen, click ⦙ on any advice tile to view the advice details.

**Figure 2-11    Advices**

**Advice Details**



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

**Table 2-13    Advice Details**

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

**Table 2-13    (Cont.) Advice Details**

| Field | Description |
|-------|-------------|
| Instruction Code | Click **Search** to search and select the instruction Code. |
| Instruction Description | Instruction description is populated based on the instruction code selected.<br>User can edit the instruction description. |
| [icon] | Click edit icon to edit the existing instruction description. |
| Action | Click delete icon to remove any existing instruction code.<br><br>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 2-14    Advices - Action Buttons - Field Description**

| Field | Description |
|-------|-------------|
| Documents | Click to View/Upload the required document.<br><br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>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. |
| Remarks | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| Overrides | Click to view the overrides accepted by the user. |
| Customer Instruction | Click to view/ input the following<br>• **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.<br>• **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. |
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |

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

| Field | Description |
|---|---|
| Signatures | Click the Signature button to verify the signature of the customer/bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| Refer | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| Hold | The details provided will be saved and status will be on hold. sUser must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Save & Close | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| Back | Clicking on Back button, takes the user to the previous screen. |
| Next | 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. |
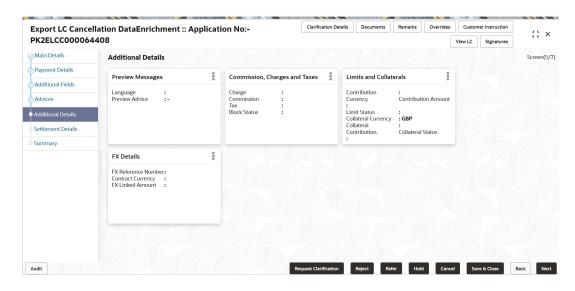
## 2.3.5 Additional Details

This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Export LC Cancellation process.

A Data Enrichment user can verify/input/update the additional details data segment of the Export LC Cancellation request.

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

**Figure 2-12    Additional Details**



**Limits and Collaterals**

Limit availability needs to be checked if involves increase in amount or tolerance or both. This is applicable for confirmation of the unconfirmed LC or increasing the amount or tolerance if already LC is already confirmed.

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.
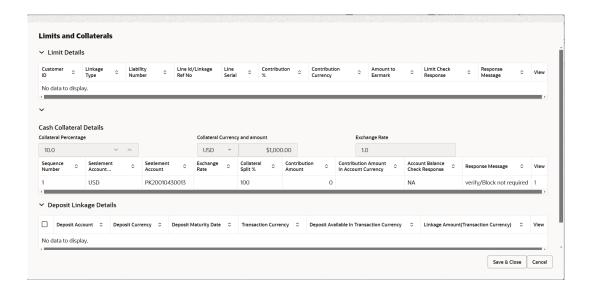
**Figure 2-13    Limit Details**
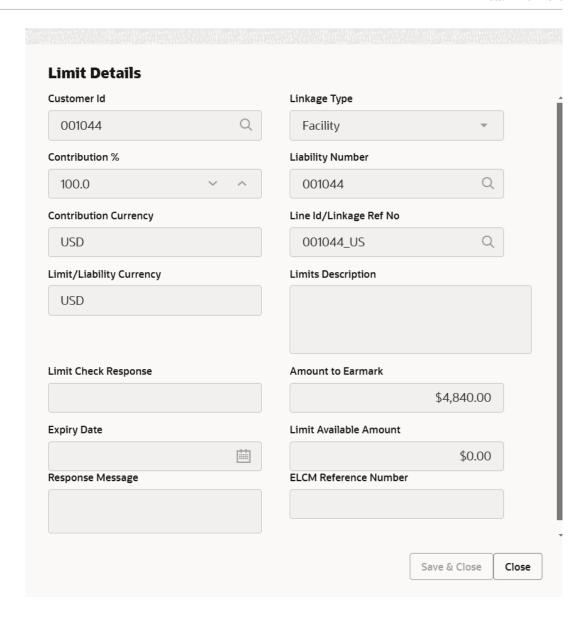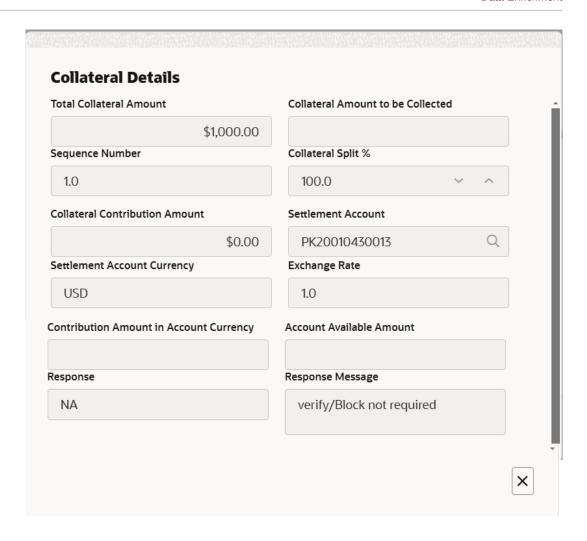
**Figure 2-14    Collateral Details**

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

**Table 2-15    Limit Details - Field Description**

| Field | Description |
|-------|-------------|
| **Limit Details** | Click + plus icon to add new limit details. |
| | Below fields are displayed on the Limit Details pop-up screen, if the user clicks plus icon. |
| **Customer ID** | This field displays the applicant's/applicant bank customer ID defaulted from the application. |
| **Linkage Type** | Select the linkage type.<br>Linkage type can be:<br><br>• **Facility**<br>• **Liability**<br>By default Linkage Type should be **Facility**. |

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

| Field | Description |
|---|---|
| Contribution % | 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.<br><br>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.<br><br>**Note:**<br>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. |
| Liability Number | Click **Search** to search and select the Liability Number from the look-up.<br>The list has all the Liabilities mapped to the customer. |
| Contribution Currency | This field displays the contribution currency. |
| Line ID/Linkage Ref No | Click **Search** 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.<br><br>The user can click the Line Id link to view the limit details.<br><br>**Note:**<br>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.<br><br>This field is disabled and read only, if **Linkage Type** is Liability. |
| Limit/Liability Currency | This field displays the limit currency, when the user select the **Liability Number**. |
| Limits Description | This field displays the limits description. |
| Limit Check Response | This field displays the limit check response.<br>Response can be 'Success' or 'Limit not Available' based on the limit service call response.<br>The value in this field appears, if you click the **Verify** button. |
| Amount to Earmark | Amount to Earmark will be defaulted based on the contribution %. will default based on the contribution %.<br>User can change the value. |

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

| Field | Description |
|---|---|
| Expiry Date | This field displays the date up to which the Line is valid. |
| Limit Available Amount | 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.<br>The value in this field appears, if you click the **Verify** button. |
| Response Message | This field displays the detailed response message.<br>The value in this field appears, if you click the **Verify** button. |
| ELCM Reference Number | This field displays the ELCM reference number. |
| Limit Details grid | Below fields appear in the **Limit Details** grid along with the above fields. |
| Line Serial | Displays the serial of the various lines available and mapped under the customer id.<br>This field appears on the Limits grid. |
| Edit | Click the link to edit the **Limit Details**. |
| Cash Collateral Details | This section displays the **Cash Collateral Details**. |
| Collateral Percentage | System populates the Collateral % maintained in the Customer / Product for the counter party of the contract.<br>User can modify the collateral percentage. |
| Collateral Currency and amount | System populates the contract currency as collateral currency by default.<br>User can modify the collateral Currency and amount. |
| Exchange Rate | System populates the exchange rate maintained.<br>User can modify the collateral Currency and amount.<br><br>System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified. |
| Edit | Click edit link to edit the collateral details. |
| Collateral Details pop-up screen | Click **+** plus icon to add new collateral details.<br>Below fields are displayed on the **Collateral Details** pop-up screen, if the user clicks plus icon. |
| Total Collateral Amount | Read only field.<br>This field displays the total collateral amount provided by the user. |
| Collateral Amount to be Collected | Read only field.<br>This field displays the collateral amount yet to be collected as part of the collateral split. |
| Sequence Number | Read only field.<br>The sequence number is auto populated with the value, generated by the system. |
| Collateral Split % | Specify the collateral split% to be collected against the selected settlement account. |
| Collateral Contribution Amount | Specify the collateral amount to be collected against the selected settlement account.<br>User can either provide the collateral % where the collateral amount will be auto populated or modifying the collateral amount will auto correct the collateral %. |
| Settlement Account | Click **Search** to search and select the settlement account for the collateral. |
| Settlement Account Currency | Read only field.<br>This field displays the settlement account currency defaulted by the system. |

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

| Field | Description |
|---|---|
| Exchange Rate | Read only field.<br>This field displays the exchange rate, if the settlement account currency is different from the collateral currency. |
| Contribution Amount in Account Currency | Read only field.<br>This field displays the contribution amount in the settlement account currency as defaulted by the system. |
| Account Available Amount | Read only field.<br>System populates the account available amount on clicking the **Verify** button. |
| Response | Read only field.<br>System populates the response on clicking the **Verify** button. |
| Response Message | Read only field.<br>System populates the response message on clicking the **Verify** button. |
| Verify | Click to verify the account balance of the Settlement Account. |
| Save & Close | Click to to save and close the record. |
| Cancel | Click to cancel the entry. |
| Cash Collateral Details grid | Below fields appear in the **Cash Collateral Details** grid along with the above fields. |
| Collateral % | 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. |
| Contribution Amount | This field displays the collateral contribution amount.<br>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. |
| Edit | Click edit link to edit the collateral details. |
| Account Available Amount | This field displays the account available amount which will be auto-populated based on the settlement account selection. |
| Deposit Linkage Details | In this section which the deposit linkage details is captured.<br><br>System should allow the user to Link one or more existing Deposits as a contribution to secure underlying transactions. On Submit of DE stage, system will create Linkage of the Deposit/modification of existing Linkage by calling Back-office system (DDA) system directly.<br><br>Click + plus icon to add new Deposit Linkage details. |
| Edit | Click edit link to edit the deposit linkage details. |
| Deposit Linkage Details pop-up screen | Below fields are displayed on the **Deposit Linkage Details** pop-up screen, if the user clicks plus icon. |
| Customer ID | This field displays the applicant's/applicant bank customer ID defaulted from the application.<br>The user can change the customer ID. |

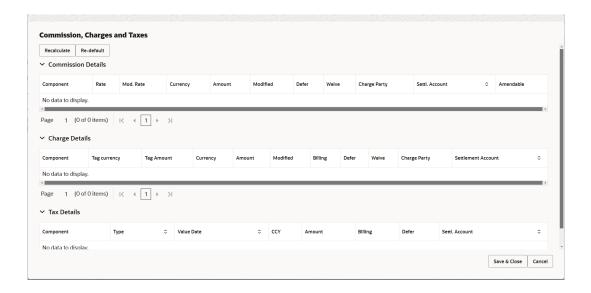**Table 2-15    (Cont.) Limit Details - Field Description**

| Field | Description |
|---|---|
| Deposit Account | Click **Search** to search and select deposit for linkage from the list of all the customer Deposits.<br><br>All the Deposits of the customer should be listed in the LOV search. User should be able to select the deposit for linkage. |
| Deposit Branch | This field displays the deposit branch which will be auto-populated based on the deposit account selection. |
| Deposit Available Amount | This field displays the deposit available amount and currency which will be auto-populated based on the deposit account selection. |
| Deposit Maturity Date | This field displays the maturity date of deposit based on the deposit account selection. |
| Exchange Rate | This field displays the latest exchange rate for deposit linkage. This will be picked up from the exchange rate maintenance from the common core. |
| Deposit Available In Transaction Currency | This field displays the deposit amount available, after exchange rate conversion, if applicable. |
| Linkage Percentage % | Specify the value for linkage percentage. |
| Linkage Amount (Transaction Currency) | This field displays the transaction amount, user can change the value.<br><br>System validates the linking amount with available Deposit balance and should not allow to link more than the available amount. |
| Below fields appear in the **Deposit Details** grid along with the above fields. | |
| Deposit Currency | This field displays the deposit currency. |
| Transaction Currency | This field displays the transaction currency. |

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

**Commission, Charges and Taxes**

This section displays Commission, Charges and Taxes 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.

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

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

| Field | Description |
| --- | --- |
| Commission Details | This section displays the **Commission Details**. |
| Component | This field displays the commission component. |
| Rate | 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. |
| Modified Rate | From the default value, if the rate is changed the value gets updated in this field. |
| Currency | This field displays the currency in which the commission have to be collected. |
| Amount | 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. |
| Modified Amount | From the default value, if the amount is changed, the value gets updated in the modified amount field. |
| Defer | If enabled, charges/commissions has to be deferred and collected at any future step. |
| Waive | 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. |

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

| Field | Description |
|---|---|
| Charge Party | Charge party is 'Applicant' by default. User can change the value to Beneficiary. |
| Settlement Account | Select the settlement account. |
| Charge Details | This section displays the **Charge Details**. |
| Component | This field displays the charge component type. |
| Tag Currency | This field displays the tag currency in which the charges have to be collected. |
| Tag Amount | This field displays the tag amount that is maintained under the product code. |
| Currency | This field displays the currency in which the charges have to be collected. |
| Amount | This field displays the amount that is maintained under the product code. |
| Modified | From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field. |
| Billing | If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.<br>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.<br>The user can not enable/disable the option, if it is de-selected by default.<br>This field is disabled, if 'Defer' toggle is enabled. |
| Defer | If charges have to be deferred and collected at any future step, this check box has to be selected.<br>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.<br>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. |
| Waive | Enble the toggle, if charges has to be waived.<br>Based on the customer maintenance, the charges should be marked for Billing or for Defer.<br>This field is disabled, if **Defer** toggle is enabled. |
| Charge Party | Charge party is applicant by default. User can change the value to beneficiary. |
| Settlement Account | Select the settlement account. |
| Tax Details | This section displays the **Tax Details**.<br>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. |
| Component | This field displays the tax component. |
| Type | This field displays the type of tax component. |
| Value Date | This field displays the value date of tax component. |

**Table 2-16 (Cont.) Charge Details - Field Description**
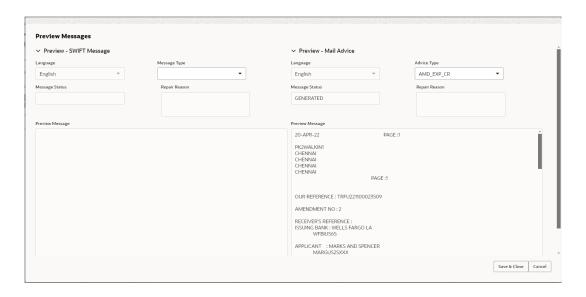
| Field | Description |
|---|---|
| Currency | This field displays the currency in which the tax have to be collected. The tax currency is the same as the commission. |
| Amount | This field displays the tax amount based on the percentage of commission maintained. You can edit the tax amount, if applicable. |
| Billing | 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. |
| Defer | 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. |
| Settlement Account | 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.

**Preview Messages**
The bank user can view a preview of the message and advice simulated from back office which is based on the export LC Cancellation captured in the previous screen.



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

**Table 2-17 Preview Messages - Field Description**

| Field | Description |
|---|---|
| Preview SWIFT Message | This section displays the **Preview SWIFT Message** details. |
| Language | Read only field. English is set as default language for the preview. |

**Table 2-17    (Cont.) Preview Messages - Field Description**

| Field | Description |
|---|---|
| Message Type | Select the message type from the drop down.<br>User can choose to see preview of different message like MT 700, MT 740 and MT 701. |
| Message Status | Read only field.<br>This field displays the message status of draft message of liquidation details. |
| Repair Reason | Read only field.<br>This field displays the message repair reason of draft message of liquidation details. |
| Preview Message | This field displays a preview of the draft message. |
| Preview Mail Device | This section displays the **Preview Mail Device** details. |
| Language | Read only field.<br>English is set as default language for the preview. |
| Advice Type | Select the advice type. |
| Message Status | Read only field.<br>This field displays the message status of draft message of liquidation details. |
| Repair Reason | Read only field.<br>This field displays the message repair reason of draft message of liquidation details. |
| Preview Message | This field displays a preview of the advice. |

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

5. Click **Next**.

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

**Table 2-18    Additional Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Documents | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br><br>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. |
| Remarks | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users handling the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| Overrides | Click to view the overrides accepted by the user. |

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

| Field | Description |
|---|---|
| Customer Instruction | Click to view/ input the following.<br>• **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.<br>• **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. |
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| Signatures | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| Refer | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Save & Close | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| Back | On click of Back, task moves to previous logical step. |

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

| Field | Description |
|---|---|
| Next | 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. |
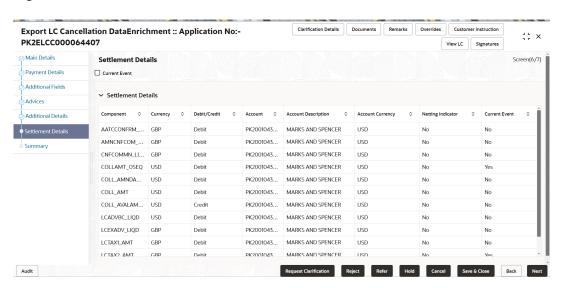
## 2.3.6 Settlement Details

This topic provides the systematic instructions to capture the settlement details of Export LC Cancellation request.

The user can view the settlement details during Export LC Cancellation request.

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

**Figure 2-15    Settlement Details**



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

**Table 2-19    Settlement Details – Field Description**

| Field | Description |
|---|---|
| Current Event | 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 |
| Component | This field displays the components based on the product selected. |
| Currency | This field displays the default currency for the component. |
| Debit/Credit | This field displays the debit/credit indicators for the components. |
| Account | This field displays the account details for the components. |
| Account Description | This field displays the the description of the selected account. |

**Table 2-19    (Cont.) Settlement Details – Field Description**

| Field | Description |
|-------|-------------|
| Account Currency | This field displays the currency for all the items based on the account number. |
| Netting Indicator | This field displays the applicable netting indicator. |
| Current Event | This field displays the current event. |
| Original Exchange Rate | System displays the Original Exchange Rate as simulated in settlement details section from OBTF. |
| Exchange Rate | This exchange rate. |
| Deal Reference Number | This exchange deal reference number. |

2. Click any component in the grid.

**Party Details**

**Table 2-20    Party Details – Field Description**

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

**Table 2-20    (Cont.) Party Details – Field Description**

| Field | Description |
|---|---|
| **Intermediary Reimbursement Institution** | Click search icon to search and select the intermediary reimbursement institution from the look up. |
| **Receiver** | Click search icon to search and select the Receiver from the look up. |

**Payment Details**

**Table 2-21    Payment Details - Field Description**

| Field | Description |
|---|---|
| **Sender to Receiver 1** | Specify the sender to receiver message. |
| **Sender to Receiver 2** | Specify the sender to receiver message. |
| **Sender to Receiver 3** | Specify the sender to receiver message. |
| **Sender to Receiver 4** | Specify the sender to receiver message. |
| **Sender to Receiver 5** | Specify the sender to receiver message. |
| **Sender to Receiver 6** | Specify the sender to receiver message. |

**Remittance Information**

**Table 2-22    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. For more information refer Summary.

**Table 2-23    Settlement Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | 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 |

**Table 2-23    (Cont.) Settlement Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Remarks** | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• 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.<br>• 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. |
| **View LC** | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |

**Table 2-23　(Cont.) Settlement Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Save & Close | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| Back | Click the Back button, to go back to the previous screen. |
| Next | 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. |

## 2.3.7 Summary
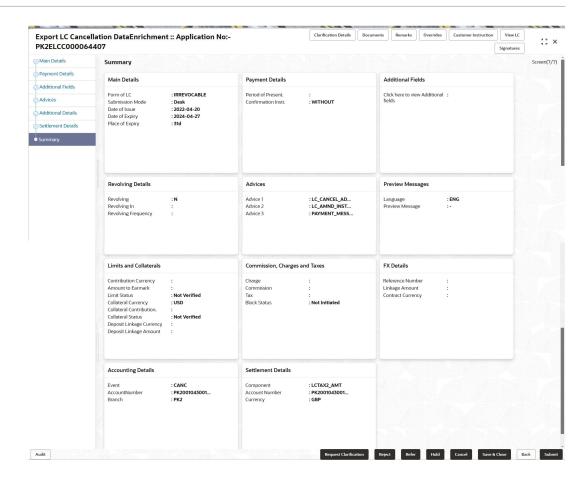
This topic provides the systematic instructions to view the summary details in Data Enrichmen stage of Export LC Cancellation request.

User can review the summary of details updated in Data Enrichment stage of Export LC Cancellation 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 details and LC details.

- Payment Details - User can view all the details related to payments.

- Additional Fields - User can view the details of additional fields.

- Advices - User can view the details of advices.

- Preview Messages - User can view the preview messages.

- Limits and Collaterals - User can view the limits and collateral details.

- Commission, Charges and taxes - User can view the Commission, charges and taxes details.

- Accounting Details - User can view the accounting entries generated by back office system.

> **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.

- Settlement Details - User can view the settlement details.

- Party Details - User can view the details like beneficiary, advising bank etc.

2. Click **Submit**.

The task will move to next logical stage.

**Table 2-24    Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Documents | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br><br>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. |
| Remarks | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users handling the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| Overrides | Click to view the overrides accepted by the user. |
| Customer Instruction | Click to view/ input the following.<br>• **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.<br>• **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. |
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| Signatures | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

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

| Field | Description |
|---|---|
| Refer | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Cancel | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Save & Close | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| Back | On click of Back, task moves to previous logical step. |
| Submit | Task will get moved to next logical stage of Export LC Cancellation.<br><br>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. |

# 2.4 Exceptions

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

The Export LC Cancellation 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**

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. Amount block check will be done for all the parties related to the LC.

The transactions that have failed amount block due to non-availability of amount in respective account will reach the amount block exception stage.
Log in into OBTFPM Application, amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue. Open the task to view summary of important fields with values.

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.

**Summary**

Tiles Displayed in Summary:

- Main Details - User can view the application details and LC details.
- Payment Details - User can view all the details related to payments.
- Additional Fields - User can view the details of additional fields.
- Settlement Details - User can view the settlement details.
- Advices - User can view the details of advices.
- Preview Messages - User can view the preview messages.
- Limits and Collaterals - User can view the limits and collateral details.
- Commission, Charges and taxes - User can view the Commission, charges and taxes details.
- Accounting Details - User can view the accounting entries generated by back office system.

> **✎ 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.

- Party Details - User can view the details like beneficiary, advising bank etc.
- Exception(Approval) - User can view the exception(approval) 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 2-25    Amount Bock Exception - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the required document. |
| **Remarks** | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• **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.<br>• **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. |
| **View LC** | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>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<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |

**Table 2-25    (Cont.) Amount Bock Exception - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Approve | On approve, application must validate for all mandatory field values, and task must move to the next logical stage. |
| Back | 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 customer. 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 2-17    Know Your Customer (KYC) Exception**

Tiles Displayed in Summary:

•   Main Details - User can view the application details and LC details.

•   Payment Details - User can view all the details related to payments.

•   Additional Fields - User can view the details of additional fields.

•   Settlement Details - User can view the settlement details.

•   Advices - User can view the details of advices.

•   Preview Messages - User can view the preview messages.

•   Limits and Collaterals - User can view the limits and collateral details.

•   Commission, Charges and taxes - User can view the Commission, charges and taxes details.

•   Accounting Details - User can view the accounting entries generated by back office system.

> **✎ 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.

• Party Details - User can view the details like beneficiary, advising bank etc.

• Exception(Approval) - User can view the exception(approval) details.

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

**Table 2-26    Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the required document. |
| **Remarks** | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• **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.<br>• **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. |
| **View LC** | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |

**Table 2-26    (Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>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<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| **Approve** | On approve, application must validate for all mandatory field values, and task must move to the next logical stage. |
| **Back** | Task moves to previous logical step. |

**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 details and LC details.

• Payment Details - User can view all the details related to payments.

• Additional Fields - User can view the details of additional fields.

• Settlement Details - User can view the settlement details.

• Advices - User can view the details of advices.

• Preview Messages - User can view the preview messages.

• Limits and Collaterals - User can view the limits and collateral details.

• Commission, Charges and taxes - User can view the Commission, charges and taxes details.

• Accounting Details - User can view the accounting entries generated by back office system.

> **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.

• Party Details - User can view the details like beneficiary, advising bank etc.

• Exception(Approval) - User can view the exception(approval) details.

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

**Table 2-27    Exception - Limit Check/Credit - Action Buttons – Field Description**

| Field | Description |
|---|---|
| Documents | View/Upload the required document. |
| Remarks | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| Overrides | Click to view the overrides accepted by the user. |
| Customer Instruction | Click to view/ input the following<br>• **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.<br>• **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. |
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| Signatures | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

**Table 2-27    (Cont.) Exception - Limit Check/Credit - Action Buttons – Field Description**

| Field | Description |
|---|---|
| **Refer** | 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<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| **Approve** | On approve, application must validate for all mandatory field values, and task must move to the next logical stage. |
| **Back** | Task moves to previous logical step. |

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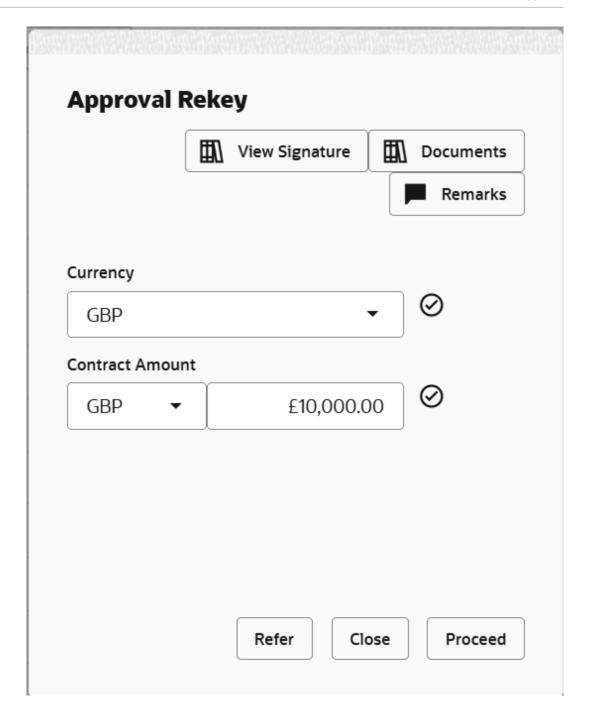
This topic helps you quickly get acquainted with the Multi Level Approval process.

The Approval user can approve a Export LC Cancellation transaction.

1. Log in into OBTFPM application and on **Home** screen, click, **Task**.

2. Under **Task**, click **Free Task**.

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 2-18    Approval Re-Key**

For non online channel, application will request approver 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.

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.:

• Currency

- Contract Amount

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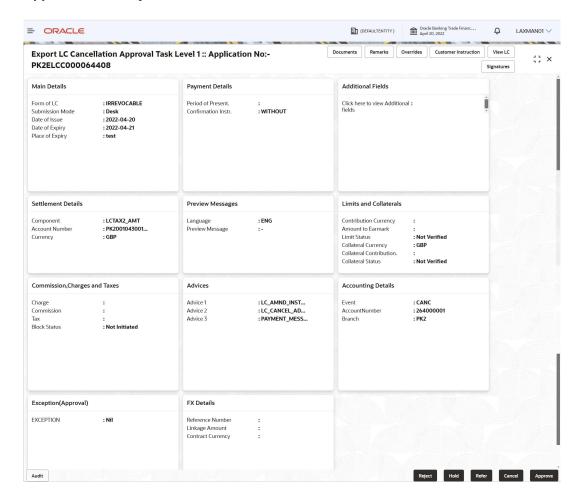
6. Click **Proceed** to proceed for the approval.

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.

> ✎ **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**



Tiles Displayed in Summary:

- Main Details - User can view the application details and LC details.

- Payment Details - User can view all the details related to payments.

- Additional Fields - User can view the details of additional fields.

- Settlement Details - User can view the settlement details.

- Advices - User can view the details of advices.

- Preview Messages - User can view the preview messages.

- Limits and Collaterals - User can view the limits and collateral details.

- Commission, Charges and taxes - User can view the Commission, charges and taxes details.

- Accounting Details - User can view the accounting entries generated by back office system.

> **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.

- Party Details - User can view the details like beneficiary, advising bank etc.

- Exception(Approval) - User can view the exception(approval) details.

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

**Table 2-28    Approval Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| Documents | View/Upload the required document.<br><br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>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 |
| Remarks | Specify any additional information regarding the Export LC Cancellation. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| Overrides | Click to view the overrides accepted by the user. |
| Customer Instruction | Click to view/ input the following<br>• 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.<br>• 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. |

**Table 2-28 (Cont.) Approval Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| View LC | Click **View LC** to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.. |
| Signatures | Click the Signature button to verify the signature of the customer/ bank if required.<br><br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.<br><br>If more than one signature is required, system should display all the signatures. |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| Hold | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| Refer | Select a Refer Reason from the values displayed by the system.<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| Cancel | Cancel the Approval stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| Approve | 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. |

8. Click **Approve**.

## 2.6 Reject Approval

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

As a Reject approver, user can review a transaction rejected and waiting for reject confirmation.

1. Log in into OBTFPM application and on **Home** screen, click, **Task**.

2. Under **Task**, click **Free Task**.

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**.

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

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

   **Summary**

   The data captured during handling of the transaction until the stage when reject is given will be available in the summary tile. Other fields will be blank when verified from summary tile.

   The data segment in which the task was rejected will have the tiles highlighted in a different colour (red).

   • Main Details - User can view the application details and LC details.

   • Payment Details - User can view all the details related to payments.

   • Additional Fields - User can view the details of additional fields.

   • Settlement Details - User can view the settlement details.

   • Advices - User can view the details of advices.

   • Preview Messages - User can view the preview messages.

   • Limits and Collaterals - User can view the limits and collateral details.

   • Commission, Charges and taxes - User can view the Commission, charges and taxes details.

   • Accounting Details - User can view the accounting entries generated by back office system.

   > **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.

   • Party Details - User can view the details like beneficiary, advising bank etc.

   • Exception(Approval) - User can view the exception(approval) details.

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

**Table 2-29    Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Reject Approve** | On click of Reject Approve, the transaction is rejected. |
| **Reject Decline** | On click of Reject Decline, the task moves back to the stage where it was rejected. User can update the reason for reject decline in remarks. |
| **Hold** | User can put the transaction on 'Hold'. Task will remain in Pending state. |
| **Cancel** | Cancel the Reject Approval. |

# Glossary

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