# Oracle Banking Trade Finance Process Management Guarantee/SBLC Amendment User Guide



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ORACLE

Oracle Banking Trade Finance Process Management Guarantee/SBLC Amendment User Guide, Release 14.8.0.0.0

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## Preface

- Purpose
- Audience
   This document is intended for the following audience:
- Documentation Accessibility
- Critical Patches
- Diversity and Inclusion
- Structure This manual is organized into the following chapters:
- Related Documents
- Conventions
- Screenshot Disclaimer
- Acronyms and Abbreviations
- Basic Actions
- Symbols and Icons

### Purpose

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

### Audience

This document is intended for the following audience:

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

### **Documentation Accessibility**

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### **Diversity and Inclusion**

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### 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.

### **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

### 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. |



## **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:

| 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                        |

Table 1 Acronyms and Abbreviations

### **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 | <b>Common Action Buttons and its Definitions</b> |
|---------|--|
|---------|--|

| Action Buttons | Description   |
|----------------|---|
| Reject         | On click of Reject, user must select a Reject Reason from a list displayed by the system.   |
|                | Reject Codes are:   |
|                | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> |
|                | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.                    |

| Action Buttons | Description   |  |
|----------------|---|--|
| Refer          | Select a Refer Reason from the values displayed by the system.  |  |
|                | Refer Codes are:  |  |
|                | R1- Documents missing   |  |
|                | R2- Signature Missing   |  |
|                | R3- Input Error   |  |
|                | R4- Insufficient Balance/Limits   |  |
|                | 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.   |  |
|                | This option is used, if there are any pending information yet to be received from applicant.  |  |
| Cancel         | Click <b>Cancel</b> to cancel the transaction input midway without saving any data.   |  |
| Save & Close   | Click <b>Save &amp; Close</b> to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.   |  |
| Next           | Click <b>Next</b> , system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.   |  |
| Submit         | Click <b>Submit</b> to complete the transaction after you specify all the input<br>parameters for a particular process. The task will get moved to next<br>logical stage of the process. If mandatory fields have not been captured,<br>system will display an error message until the mandatory fields data are<br>provided. |  |

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

## 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       |
|-------------|----------------|
| J L         | Minimize       |
| л г         |                |
| r 7         | Maximize       |
| L J         |                |
| ×           | Close          |
| Q           | Perform Search |
| •           | Open a list    |



| Symbol/Icon       | Function   |
|-------------------|--|
|                   | Date Range   |
| $\leftrightarrow$ |  |
|                   |  |
| +                 | Add a new record   |
| <u>+</u>          | No single to the Cost append                             |
| K                 | Navigate to the first record                             |
|                   | Navigate to the last record                              |
| <b>&gt;</b>       |  |
|                   | Navigate to the previous record                          |
|                   |  |
|                   | Navigate to the next record                              |
| 12.21             | Grid view  |
| 88                |  |
|                   | List view  |
|                   |  |
| G                 | Refresh  |
|                   |  |
| +                 | Click this icon to add a new row.                        |
|                   | Click this icon to delete a row, which is already added. |
| -                 |  |
| rttta             | Calendar   |
|                   |  |
|                   | Alerts   |
| ~                 | Unlock Option  |
| E                 |  |
|                   |  |
|                   | View Option  |
| Ð                 |  |
|                   |  |
|                   | Reopen Option  |
| <b>\$</b> \$      |  |
| <b>↓</b>          |  |
|                   |  |

| Table 3 | (Cont.) | Symbols and Icons - | Common |
|---------|---------|---------------------|--------|
|---------|---------|---------------------|--------|



| Symbol/Icon | Function            |
|-------------|---------------------|
| 6           | Open status         |
| D           | Unauthorized status |
| ₽.          | Rejected status     |
| £           | Closed status       |
| D           | Authorized status   |
| ß           | Modification Number |

Table 4 Symbols and Icons - Widget



# 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 Guarantee Amendment

Guarantee Amendment enables the user to amend an already issued guarantee to the Beneficiary or to the Bank designated to Advise the Guarantee Amendment to the Beneficiary or to another Advising Bank.

If the undertaking has been issued through another counter- counter issuing bank or Local Issuing Bank, the amendment would also be passed on through the same set of banks.

This topic contains following subtopics:

- Common Initiation Stage
- Registration
- Data Enrichment
- Multi Level Approval
- Common Initiation Stage
   This topic provides the systematic instructions to initiate the new Guarantee Issuance
   Amendment request.
- Registration

This topic provides the systematic instructions to initiate the Registration stage of Guarantee Issuance Amendment request.

Data Enrichment This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee Advise Internal Amendment request.

- Legal Verification
- Customer Response Draft Confirmation This topic helps you quickly get acquainted with the Customer Acknowledgement process.
- Exceptions This topic helps you quickly get acquainted with the Exceptions process.
- Multi Level Approval This topic helps you quickly get acquainted with the Multi Level Approval process.

### 2.1 Common Initiation Stage

This topic provides the systematic instructions to initiate the new **Guarantee Issuance Amendment** 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.



| Menu Item Search                   | Q | Initiate Task                           |           |
|------------------------------------|---|---|-----------|
| C Trade Finance                    |   | Registration                            |           |
| Administration                     |   | Process Name Branch                     |           |
| Bank Guarantee Advise              |   | Guarantee Amendment                     | de Fina 🔻 |
| Bank Guarantee Issuance            |   |   | Proceed C |
| Buyers Credit                      |   |   |           |
| Common Group Message               |   |   |           |
| Enquiry                            |   |   |           |
| Export - Documentary<br>Collection |   |   |           |
| Export - Documentary<br>Credit     |   |   |           |
| Import - Documentary<br>Collection |   | Bill Bill Bill Bill Bill Bill Bill Bill |           |
| Import - Documentary<br>Credit     |   |   |           |

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.           |  |
| 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 Guarantee Issuance Amendment request.

The first stage of Guarantee Amendment process starts from the Registration Stage. During Registration stage, user captures the basic details as well as undertaking details of the amendment application. On submit of the request, the customer will be notified with an acknowledgment letter.

The user has the option to submit, hold, save and hold and cancel the application.



For MT798 message with sub message MT763 when customer initiates a Guarantee Amendment request through SWIFT (Corporate to SWIFT) channel, the MT798 message along with the submessage MT763 containing the request is parsed and based on the STP parameters maintained, can create a Guarantee Amendment Task in OBTFPM. The MT798 message, is routed to the Issuing Bank. Issuing Bank receives the MT798 and creates a task in Guarantee Amendment Process in DE stage in OBTFPM.

The Incoming MT798 message contains 3 sections.

- MT798 Index Message which contains the Sub message type 763
- MT798 Details Message which contains the Sub Message type 767 (MT767 tags with values)
- MT798 Extension Message which contains the Sub Message type 768 (MT708 Extension message tag values) if applicable.

#### Note:

The user can process beneficiary's response to the Guarantee/Standby LC amendment received vide MT798 message through SWIFT.

The OBTFPM user can process MT798 with sub messages MT726-MT759 message received through SWIFT. The OBTFPM verifies the field 21 and 26E (of the MT759 and identifies the Original Contract Reference Number and Amendment Number and invokes the process. The user can cancel the previously received MT798 referenced message which is under process.

The OBTFPM user can process incoming MT798(up to a maximum of 8 messages) with sub messages MT788-MT799 message received through SWIFT and enables the user to cancel the previously received MT798 referenced message which is under process.

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



| 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 |
|---------------------------------------|
| ORACLE                                |
| User Name                             |
| ATEST11                               |
| Password                              |
|                                       |
| Sign In                               |
|                                       |
|                                       |

Figure 2-2 LogIn Screen

- 1. On Home screen, click Trade Finance. Under Trade Finance, click Bank Guarantee Issuance.
- 2. Under Bank Guarantee Issuance, click Guarantee Amendment.



| ORACLE  |                          | (DEFAULTENTITY) | king Trade Financ Q ADMIN01 \<br>22 |
|---|--------------------------|-----------------|-------------------------------------|
| Menu Item Search Q                                  | Dashboard                |                 |                                     |
| < Bank Guarantee Issuance                           |                          |                 | +                                   |
| Guarantee - SBLC Issuance                           | Swift Processing         | ×               |                                     |
| Guarantee Amendment                                 | Date December 14, 2024 📋 |                 |                                     |
| Guarantee Cancellation                              |                          |                 |                                     |
| Guarantee Issuance Amendment<br>Beneficiary Consent |                          |                 |                                     |
| Guarantee Issuance Closure                          | No data to display       |                 |                                     |
| Guarantee Issuance Internal<br>Amendment            |                          |                 |                                     |
| Guarantee SBLC Issuance- Claim<br>Settlement        |                          |                 |                                     |
| Guarantee SBLC Issuance- Claim<br>Update            |                          |                 |                                     |
| Lodge Claim - Guarantee Issued                      |                          |                 |                                     |
|   | No data to display       |                 |                                     |
|   |                          |                 |                                     |
|   |                          |                 |                                     |
|   | O Filtered O Unfiltered  |                 |                                     |

#### Figure 2-3 Guarantee Amendment

#### The Guarantee Amendment screen appears.

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

| Guarantee Amendment  |  | Signat  | tures Documents Remarks Customer Instruction  |
|--|--|---|---|
| Application Details  |  |   |   |
| BLC/Guarantee Number   | Received From Party  | Received From - Customer ID   | Received From - Customer Name   |
| PK2GUIR221106239 Q   | Applicant ·  | 001044 Q  | GOODCARE PLC  |
| ranch  | Priority   | Amendment Number  | Submission Mode   |
| PK2-Oracle Banking Trade Fina 🔫  | Medium 🝷   | 1   | Desk ×  |
| rocess Reference Number  | Amendment Date   | Customer Reference Number   | Related Reference   |
| PK2GTEA000064758   | April 20, 2022   | 3434353464  |   |
|  |  |   | View Guarantee/SBLC Guarantee/SBLC E  |
| SBLC/Guarantee Details   | Terre dille destables  |   |   |
| 2D - Form of Undertaking   | Type of Undertaking<br>BILL - Bill of lading   | Narrative Bill of Lading Guarantee  | Product Code  |
| 2D - Form of Undertaking<br>DGAR - Guarantee   | BILL - Bill of lading  | Bill of Lading Guarantee  | GUIR Q  |
| D - Form of Undertaking<br>DGAR - Guarantee  |  |   |   |
| 2D - Form of Undertaking<br>DGAR - Guarantee<br>oduct Description<br>Guarantee Issuance Reissuance up  | BILL - Bill of lading -  | Bill of Lading Guarantee  Amount In Local Currency  GBP   E100.00   | GUIR Q<br>22A - Purpose of Message<br>Amendment to Undertaking *  |
| 2D - Form of Undertaking<br>DGAR - Guarantee *<br>roduct Description<br>Guarantee Issuance Reissuance up   | BILL - Bill of lading ~<br>328 - Undertaking Amount<br>GBP ~ £100.00   | Bill of Lading Guarantee  | GUIR Q.<br>22A - Purpose of Message   |
| 2D - Form of Undertaking<br>DGAR - Guarantee<br>roduct Description<br>Guarantee Issuance Reissuance up<br>3X - File Identification   | BILL - Bill of lading       32B - Undertaking Amount       GBP     £100.00       23X - Narrative   | Bill of Lading Guarantee C Amount In Local Currency GBP  E100.00 236 - Expiry Type  | GUIR Q<br>22A - Purpose of Message<br>Amendment to Undertaking *<br>31E - Date of Expiny  |
| 2D - Form of Undertaking<br>DGAR - Guarantee<br>roduct Description<br>Guarantee Issuance Reissuance up<br>8X - File Identification   | BILL - Bill of lading     *       328 - Undertaking Amount     GBP     £100.00       25X - Narrative     EXAMPLE   | Bill of Lading Guarantee     C       Amount In Local Currency     GBP     £100.00       Z38 - Expiry Type     FIXD  | GUIR     Q       22A - Purpose of Message     Amendment to Undertaking       Amendment to Undertaking     *       31E - Date of Expiry     Emember 28, 2022   |
| 2D - Form of Undertaking<br>DGAR - Guarantee<br>roduct Description<br>Guarantee Issuance Reissuance up<br>3X - File Identification   | BILL - Bill of lading -<br>328 - Undertaking Amount<br>GBP - £100.00<br>23X - Narretive<br>Extension Required  | Bill of Lading Guarantee C Amount in Local Currency GBP C GBP C E100.00 238 - Expiry Type FXD S356 -Expiry Condition/ Event   | GUIR Q<br>22A - Purpose of Message<br>Amendment to Undertaking *<br>31E - Date of Expiry<br>December 28, 2022<br>40C - Applicable Rules   |
| 2D - Form of Undertaking<br>DGAR - Guarantee<br>orduct Description<br>Guarantee Issuance Reissuance up<br>IX - File Identification   | BILL - Bill of lading       328 - Undertaking Amount       GBP     £100.00       23X - Narretive       Extension Required  | Bill of Lading Guarantee  | GUIR     Q       22A - Purpose of Message     Amendment to Undertaking     *       3IE - Date of Expiny     E       December 28, 2022     E       40C - Applicable Rules     URDG - Uniform rules for dem: *  |
| ID - Form of Undertaking<br>DGAR - Guarantee<br>oduct Description<br>Guarantee Issuance Reissuance up<br>IX - File Identification<br>  | BILL - Bill of lading<br>328 - Undertaking Amount<br>GBP • E100.00<br>23X - Narretive<br>Extension Required<br>Applicant Bank  | Bill of Lading Guarantee     C       Amount in Local Currency     C       GBP     E100.00       238 - Expiry Type     FIXD       FIXD     SSG - Expiry Condition/ Event       Complexity     C  | GUIR     Q       22A - Purpose of Message       Amendment to Undertaking     *       31E - Date of Expiry     *       December 28, 2022     *       40C - Applicable Rules     *       URDG - Uniform rules for dem:     *       Beneficiary  |
| D - Form of Undertaking<br>DGAR - Guarantee<br>oduct Description<br>Guarantee Issuance Reissuance up<br>x - File Identification<br>to Renewal<br>C - Narrative               | BILL - Bill of lading<br>328 - Undertaking Amount<br>GBP C £100.00<br>23X - Narretive<br>Extension Required<br>Applicant Bank  | Bill of Lading Guarantee  | GUIR     Q       22A - Purpose of Message     Amendment to Undertaking       Amendment to Undertaking     •       31E - Date of Expiry     •       December 28, 2022     •       40C - Applicable Rules     •       URDG - Uniform rules for dem:     •       Beneficiary     •       001043     Q     MARKS ANI  |
| 1D - Form of Undertaking<br>DGAR - Guarantee<br>oduct Description<br>Guarantee Issuance Reissuance up<br>x - File Identification<br>   | BILL - Bill of lading         328 - Undertaking Amount         GSP       £100.00         23X - Narretive         Extension Required         Applicant Bank         Advise Through Bank             | Bill of Lading Guarantee     C       Amount In Local Currency     E100.00       Z38 - Expiry Type     E100.00       FIXD     •       356 - Expiry Condition/ Event     C       Applicant     GODCARE       O01044     GODCARE       Counter SBLC/Guarantee Issuing Bank | GUIR     Q       22A - Purpose of Message   |
| D - Form of Undertaking DGAR - Guarantee aduct Description Guarantee Issuance: Reissuance up X - File Identificetion to Renewal C - Narrative Vising Bank 001041 Q WELLS FAR | BILL - Bill of lading       328 - Undertaking Amount       GBP     £100.00       23X - Narrative       Composition       Extension Required       Applicant Bank       Advise Through Bank       Q | Bill of Lading Guarantee     C       Amount in Local Currency     C       CBP     E100.00       238 - Expiry Type     C       FKD     C       356 - Expiry Condition/ Event     C       Applicant     COUDCARE     C       Counter SBLC/Courantee Issuing Bank     C    | GUIR     Q       22A - Purpose of Message     Image: Comparison of Comp |

#### Figure 2-4 Guarantee Amendment - Registration - Application Details

3. On Guarantee Amendment - 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. In case of MT798, Application Details are defaulted to SWIFT.

 Table 2-3
 Guarantee Amendment - Registration - Application Details

| Field                            | Description   |  |
|----------------------------------|---|--|
| SBLC/Guarantee Number            | Specify the undertaking number, the user identification of your external bank account.  |  |
|                                  | Alternatively, click <b>Search</b> to search and select the documentary undertaking number from the look-up.  |  |
| Received From Party              | Read only field.  |  |
|                                  | System will default the party as available in Guarantee.  |  |
| Received From - Customer         | Read only field.  |  |
|                                  | Customer ID will be auto-populated from Guarantee /SBLC Issuance.   |  |
| Received From - Customer<br>Name | Read only field.<br>Name of the customer or applicant will be auto populated based on<br>the selected customer ID.  |  |
| Branch                           | Read only field.  |  |
|                                  | Branch Name will be auto-populated from Guarantee /SBLC Issuance.   |  |
|                                  | Note:<br>Once the request is submitted, branch field is non-<br>editable.   |  |
|                                  |   |  |
| Priority                         | System defaults the priority of the Guarantee amenment request as Essential/Critical/Low/Medium/High. If priority is not maintained for the customer, system will populate 'Medium' as the default priority. User can change the priority populated any time before submit of Registration stage. |  |
| Amendment Number                 | Read only field.  |  |
|                                  | Amendment number will be auto-populated based on the system maintenance.  |  |
|                                  | Amendment number increases by 1 for each amendment.   |  |



| Field                           | Description  |
|---------------------------------|--|
| Submission Mode                 | Read only field.   |
|                                 | The submission mode of Guarantee Amendment request. By default the submission mode will have the value as 'Desk'.  |
|                                 | <ul> <li>Desk - Request received through Desk</li> <li>Fax - Request received through Fax</li> <li>Email - Request received through Email</li> <li>Courier - Request received through Courier</li> </ul> |
| Process Reference               | Read only field.   |
| Number                          | Unique OBTFPM task reference number for the transaction.   |
|                                 | This is auto generated by the system based on process name and branch code.  |
| Amendment Date                  | Read only field.   |
|                                 | By default, the application will display branch's current date.  |
|                                 | User cannot change the date to back date or future date.   |
| Customer Reference<br>Number    | Specify a unique Customer Reference Number which is provided by<br>the applicant/applicant bank.<br>Enables the user to provide a unique Customer Reference Number<br>for the amendment.                 |
| Related Reference               | Read only field.   |
|                                 | Related reference number will be auto-populated based on the system maintenance.   |
| Beneficiary Consent<br>Required | Enable the option, if beneficiary consent required for the amendment made to the fields.<br>Disable the option, if beneficiary consent is not required for the amendments.                               |

#### Table 2-3 (Cont.) Guarantee Amendment - Registration - Application Details

#### **Guarantee Details**

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

| 22D - Form of Undertaking                    | Type of Undertaking            | Narrative                           | Product Code                      |
|--|--------------------------------|-------------------------------------|-----------------------------------|
| DGAR - Guarantee 🔹                           | BILL - Bill of lading *        | Bill of Lading Guarantee            | GUIR Q                            |
| Product Description                          | 32B - Undertaking Amount       | Amount In Local Currency            | 22A - Purpose of Message          |
| Guarantee Issuance Reissuance up             | GBP + £100.00                  | GBP - £100.00                       | Amendment to Undertaking *        |
| 23X - File Identification                    | 23X - Narrative                | 23B - Expiry Type                   | 31E - Date of Expiry              |
| •  | C                              | FIXD                                | December 28, 2022                 |
| Auto Renewal                                 | Extension Required             | 35G -Expiry Condition/ Event        | 40C - Applicable Rules            |
|  |                                | G                                   | URDG - Uniform rules for dema     |
| 40C - Narrative                              | Applicant Bank                 | Applicant                           | Beneficiary                       |
| D  | D                              | 001044 GOODCARE 🔀                   | 001043 Q MARKS ANI 🕻              |
| Advising Bank                                | Advise Through Bank            | Counter SBLC/Guarantee Issuing Bank | Local SBLC/Guarantee Issuing Bank |
| 001041 Q WELLS FAR 🕻                         | Q D                            | D                                   | B                                 |
| 39F - Supplementary Information About Amount | 51- Obligor/ Instructing Party | Obligor Collateral Percentage       | Closure Date                      |
|  | Q D                            | 0                                   | December 28, 2022                 |
| Accountee                                    | Revenue Sharing Percentage     |                                     |                                   |
| B  |                                |                                     |                                   |

4. On Guarantee Amendment - Registration - Guarantee Details screen, specify the fields.



Note:

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

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

| Table 2-4  | Guarantee Amendment - Registration - SBLC/Guarantee Details - Field |
|------------|---|
| Descriptio | n   |

| Field                    | Description   |  |
|--------------------------|---|--|
| Form of Undertaking      | Read only field.  |  |
|                          | Form of Undertaking defaults from Guarantee/ Standby Issuance.  |  |
| Type of Undertaking      | Read only field.<br>Type of undertaking defaults from Guarantee/ Standby Issuance   |  |
| Narrative                | Specify the narrative in this field.<br>This field is enabled if <b>Type of Undertaking</b> field values is <b>OTHR</b> .   |  |
| Product Code             | Read only field.<br>This field displays the product code defaulted from Guarantee/<br>Standby Issuance.   |  |
| Product Description      | Read only field.  |  |
|                          | This field displays the description of the product as per the product code.   |  |
| Undertaking Amount       | System defaults undertaking amount from Guarantee/ Standby<br>Issuance.<br>User can amend the value.  |  |
|                          |   |  |
| Amount In Local Currency | Read only field.<br>System fetches the local currency equivalent value for the transaction<br>amount from back office (with decimal places).  |  |
| Purpose of Message       | Read only field.<br>Purpose of message defaults from Guarantee/ Standby Issuance.   |  |
| File Identification      | Select the type of delivery channel and its associated file name or<br>reference from the available values.<br>The options are:<br>• COUR - Courier delivery<br>• EMAL - Email transfer<br>• FACT - SWIFTNet FileAct<br>• FAXT - Fax transfer<br>• HOST - Host-to-Host<br>• MAIL - Postal Delivery<br>• OTHR - Other delivery channel |  |
| Narrative                | Specify the description in this field, if <b>File Identification</b> field values are <b>COUR</b> or <b>OTHR</b> .  |  |

| Field                  | Description  |
|------------------------|--|
| Ехрігу Туре            | Select the expiry type for guarantee issuance.         By default the system displays the expiry date as maintained in Issuance.         The options are:         • COND - With Expiry         • COND - Without Expiry         • FIXD - Specified expiry date (with/without automatic expansion)         • OPEN - No specific date of expiry |
| Date of Expiry         | Select the expiry date of the Guarantee Issuance.<br>The field is enabled, if <b>Expiry Type</b> is <b>COND</b> and <b>FIXD</b> .  |
| Auto Renewal           | Switch to for auto renewal.<br>This field is enabled if Applicable Rules is URDG - Uniform rules<br>for demand guarantees and Expiry Type is OPEN.   |
| Extension Required     | Switch to if extension is required for guarantee issuance internal amendment.  |
| Expiry Condition/Event | Specify the documentary condition/event that indicates when the local undertaking will cease to be available.<br>The field is enabled, if <b>Expiry Type</b> is <b>COND</b> .  |
| Applicable Rules       | Read only field.<br>This field displays the rules of the Guarantee/ Standby issuance.  |
| Narrative              | Specify the description in this field, if <b>Applicable Rules</b> field values is <b>OTHR</b> .  |
| Applicant Bank         | Read only field.<br>This system defaults the applicant bank name available in<br>Guarantee.  |
| Applicant              | Read only field.<br>This field displays the details of the applicant of the selected<br>SBLC/Guarantee Number.   |
| Beneficiary            | This field displays the beneficiary details of the selected Guarantee/<br>Standby issuance.<br>User can change the beneficiary, if required.   |
| Advising Bank          | This field displays the details of the advising bank.<br>User can change the Advising Bank, if required.   |
|                        | In case the selected Bank is not RMA Compliant, the system prompts the user to use a different advising bank or use non SWIFT Media to transmit the LC and displays error message "RMA arrangement not available, please change the bank or use MAIL Medium".  |

# Table 2-4(Cont.) Guarantee Amendment - Registration - SBLC/Guarantee Details -Field Description

| Field                                     | Description   |
|---|---|
| Advising Bank Reference                   | Specify the advising bank reference number.   |
| Advising Through Bank                     | Specify or click <b>Search</b> icon to search and select the value of advising through bank defaults from Guarantee/ Standby Issuance.  |
| Counter SBLC/Guarantee<br>Issuing Bank    | The value of Counter Guarantee Issuing Bank defaults from Guarantee/ Standby Issuance.  |
|   | This field is enabled, if <b>Purpose of Message</b> is <b>ICCO</b> .  |
|   | Note:<br>If Counter Issuing Bank has value, and in case the<br>selected Bank is not RMA Compliant, the system displays<br>error message "RMA arrangement not available"   |
| Local SBLC/Guarantee<br>Issuing Bank      | The value of Local Guarantee Issuing Bank defaults from Guarantee/<br>Standby Issuance.   |
|   | This field is enabled, if <b>Purpose of Message</b> is <b>ICCO</b> or <b>ISCO</b> .   |
|   | Note:<br>If Local Issuing Bank has value and Counter Issuing Bank<br>has no value, and in case the selected Bank is not RMA<br>Compliant, the system displays error message "RMA<br>arrangement not available".   |
| Supplementary<br>Information About Amount | Specify the supplementary information about amount related to undertaking.  |
| Obligor/ Instructor Party                 | Specify the Local SBLC/Guarantee Issuance bank name or click <b>Search</b> to search and select the name of the obligor from the lookup.  |
| Obligor Collateral<br>Percentage          | Read only field.<br>The value for obligor collateral percentage is defaulted from<br>Guarantee/ Standby Issuance.   |
| Closure Date                              | <ul> <li>This field displays the "Closure Date"defaulted by the system from the previous version of the contract.</li> <li>User can modify the system defaulted Closure Date and system should validate the same for the below conditions,</li> <li>Closure Date must be after the Issue Date.</li> <li>Closure Date must be after the Expiry Date.</li> <li>Closure Date cannot be blank.</li> </ul> |
| Accountee                                 | Read only field.<br>System defaults the accountee name available in Guarantee.  |
| Revenue Sharing<br>Percentage             | Read only field.<br>System populates the values from the "Trade Finance Customer<br>Maintenance" if any, from the Guarantee Contract.   |

## Table 2-4 (Cont.) Guarantee Amendment - Registration - SBLC/Guarantee Details -Field Description

5. Click Submit.

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

| Field                 | Description   |
|-----------------------|---|
| Signatures            | Click the Signature button to verify the signature of the customer/<br>bank if required.<br>The user can view the Customer Number and Name of the signatory,<br>Signature image and the applicable operation instructions if any<br>available in the back-office system.  |
|                       | If more than one signature is available, system should display all the signatures.  |
| Documents             | Upload the documents received.<br>Application displays mandatory documents to be uploaded for<br>Guarantee Issuance.Place holders are also available to upload<br>additional documents submitted by the applicant   |
| Remarks               | Specify any additional information regarding the Guarantee Issuance.<br>This information can be viewed by other users processing the<br>request.  |
| Customer Instruction  | <ul> <li>Click to view/ input the following:</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user</li> </ul>                       |
|                       | can input any Customer Instructions received as part of<br>transaction processing. This section will be enabled only for<br>customer initiated transactions.  |
| View Guarantee/SBLC   | Clicking this button allows the user to view the Guarantee/SBLC details.  |
| Guarantee/SBLC Events | On Clicking this button, system will display the details of guarantee issuance and amendments, if any in chronological sequence.  |
| Hold                  | The details provided will be saved and status will be on hold. User<br>must update the remarks on the reason for holding the task. This<br>option is used, if there are any pending information yet to be received<br>from applicant.   |
| Cancel                | Cancels the Guarantee amendment 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.<br>This option will not submit the request.  |
|                       |   |
| Submit                | Click Submit, system will trigger acknowledgment to the customer<br>and give confirmation message for successful submission. The task<br>will move to next logical stage of Guarantee Amendment.<br>If mandatory fields have not been captured, system will display an<br>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.  |

#### Table 2-5 Guarantee Amendment - Registration - Action Buttons - Field Description

• Document Linkage

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

 OBTFPM- OBDX Bidirectional flow This topic provides the systematic instructions to initiate the OBTFPM- OBDX Bidirectional flow.

### 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.

| ocument Status <sub>Select</sub><br>All | •                |   |
|---|------------------|---|
| Letter of Credit                        | Letter of Credit | ) |
| Pro-forma Invoice                       | Application Form |   |
| •                                       | <b>^</b>         | - |
| <u>↑</u>                                |                  | J |
|   |                  |   |
|   |                  |   |
|   |                  |   |
|   |                  |   |

2. Click the Add Additional Documents button/ link.



| Document Type                      | Document Code        |
|------------------------------------|----------------------|
| Letter of Credit 🔹                 | Insurance Policy     |
| Document Title                     | Document Description |
| Required Remarks                   | Document Expiry Date |
|                                    |                      |
|                                    |                      |
| Drop files here or click to select | Link Document        |
| Selected files:                    |                      |
|                                    |                      |

| 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.



| Customer Id               |                |                | D                | ocumen | it ld            |                      |   |                     |    |
|---------------------------|----------------|----------------|------------------|--------|------------------|----------------------|---|---------------------|----|
| 001044                    |                |                |                  |        |                  |                      |   |                     |    |
| Document Type             |                |                |                  | ocumen | t Code           |                      | _ |                     |    |
| Letter of Credit          |                | •              |                  | Insura | nce Policy       |                      | • |                     |    |
| Fetch<br>Link<br>Document | Document<br>Id | Customer<br>Id | Document<br>Type | ¢      | Document<br>Code | \$<br>Upload<br>Date | ٥ | Reference<br>Number | \$ |
| No data to displa         | y.             |                |                  |        |                  |                      |   |                     |    |
| Page 1 (0 o               | f 0 items)  <  | < 1 → >        | I                |        |                  |                      |   |                     |    |

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.

|                               |                  |                | Do               | ocument ld       |                   |                     |
|-------------------------------|------------------|----------------|------------------|------------------|-------------------|---------------------|
| 001044                        |                  |                |                  |                  |                   |                     |
| ocument Type                  |                  |                | Do               | ocument Code     |                   |                     |
| Letter of Cred                | it               | -              | 1                | Insurance Policy | -                 |                     |
| Fetch                         |                  |                |                  |                  |                   |                     |
|                               |                  |                |                  |                  |                   |                     |
| Link<br>Document <sup>©</sup> | Document 🔶<br>Id | Customer<br>Id | Document<br>Type | Document<br>Code | Upload Date 💲     | Reference<br>Number |
| Link                          | 616              | 001044         | fdff             | INSURANCE        | December 6, 2023  | PK2ELCU000003399    |
| Link                          | 116              | 001044         |                  | INSURANCE        | November 3, 2023  | PK2ILCD000001238    |
| Link                          | 144              | 001044         |                  | INSURANCE        | November 6, 2023  | PK2IILD000001312    |
| Link                          | 162              | 001044         |                  | INSURANCE        | November 9, 2023  | PK2ELCC000001424    |
| Link                          | 684              | 001044         | CVCVC            | INSURANCE        | December 11, 2023 | PK2IELD000004034    |

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.

| Document Id                  | Document Title          |
|------------------------------|-------------------------|
| 2464                         | ddf                     |
| Application Reference Number | Entity Reference Number |
| PK2ILCI000053389             | PK2ILCI000053389        |
| Document Type Id             | Document Description    |
| TFPM_DOCTYPE001              | dfdfdf                  |
| Remarks                      | Document Expiry Date    |
| ffdfd                        |                         |
| Drop files her               | e or click to select    |
|                              |                         |



1

### 2.2.2 OBTFPM- OBDX Bidirectional flow

This topic provides the systematic instructions to initiate the OBTFPM- OBDX Bidirectional flow.

As a part of Digital Experience, customers can initiate Trade Finance Transactions from online channels and the respective task will be available in OBTFPM for further handling. Oracle Banking Trade Finance Process Management (OBTFPM) user, for task received from online channel, raise clarification and receive response from the customer.

1. Customer initiates the Trade Finance transaction in Online channel (OBDX) and upload the necessary documents.

| cument Status <sub>Select</sub><br>All           | •                                    |                   |  |
|--|--------------------------------------|-------------------|--|
| Letter of Credit<br>Collateral – Deposit Receipt | Letter of Credit<br>Insurance Policy | Pro-forma Invoice |  |
| Ļ  | Ţ.                                   | Ĺ                 |  |
| Letter of Credit                                 | Letter of Credit                     |                   |  |

- 2. The task created will land in the Scrutiny stage of OBTFPM for handling by Trade expert for reviewing and identifying mismatch/incomplete data.
- In the Scrutiny, Data Enrichment or Approval the bank user may require clarification from customer, OBTFPM user clicks Request Clarification button to request for online clarification from customer.



| (2ILCA000001         | dment Scrutiny                    | / :: Applica | ition I | No:-  |           | Ication Details Docu  |             |  | mer Instruction   | 1     |
|----------------------|-----------------------------------|--------------|---------|---|-----------|---|-------------|--|---|-------|
| lain Details         | Main Details                      |              |         |   |           |   | Incoming Me | essage View LC   | Signatures  | Scree |
| vailability Shipment | <ul> <li>Application E</li> </ul> |              |         |   |           |   |             |  |   | Seree |
| ayment Details       | 20 - Documentary Cr               |              |         | Received From Party   |           | Received From - Cus   | stomer ID   | Received From -  | Customer Name   |       |
| mendment Details     | PK2ILSR21125AT                    |              |         | Applicant   | •         | 001044  | Q           | GOODCARE   |   |       |
| dditional Fields     |                                   |              |         |   |           |   |             |  |   |       |
|                      | Branch                            |              | ÷.      | Amendment No  |           | Process Reference N<br>PK2ILCA00000   |             | Priority   |   |       |
| dditional Details    |                                   |              |         |   |           | PRZIECA00000  | 1341        | Mediam   |   |       |
| ummary               | Submission Mode                   |              |         | Application Date  |           | Customer Reference  | Number      | User Reference N   |   |       |
|                      | Desk                              |              | *       | April 20, 2022  |           |   |             | PK2ILSR21125   | δάτρι   |       |
|                      | Beneficiary Consent               |              |         |   |           |   |             |  |   |       |
|                      | Beneficiary Consent               |              |         |   |           | Product Code  |             |  |   |       |
|                      | Beneficiary Consent               |              |         | LC Type<br>Sight  | Ţ         | Product Code<br>ILSR  |             | Product Descript   |   | ncel  |
|                      | Beneficiary Consent               |              |         | LC Type<br>Sight  | -         | ILSR  |             | Product Descript<br>Import LC Sig  | ion<br>ght Revolving advar                                | ncel  |
|                      | Beneficiary Consent               | RBS PLC      |         | LC Type   | -         |   |             | Product Descript   | tion<br>ght Revolving advar<br>Rules                      | ncel  |
|                      | Beneficiary Consent               | RBS PLC      | G       | LC Type<br>Sight<br>40A - Form of Documenta<br>IRREVOCABLE                                    | ry Credit | ILSR<br>31C - Date of Issue<br>May 5, 2021  |             | Product Descript<br>Import LC Sig<br>40E - Applicable<br>UCP LATEST                        | tion<br>ght Revolving advar<br>Rules                      | nce l |
|                      | Beneficiary Consent               | RBS PLC      | 6       | LC Type<br>Sight<br>40A - Form of Documenta   | ry Credit | ILSR<br>31C - Date of Issue   |             | Product Descript<br>Import LC Sig<br>40E - Applicable                                      | tion<br>ght Revolving advar<br>Rules                      | •     |
|                      | Beneficiary Consent               | RBSPLC       |         | LC Type<br>Sight<br>40A - Form of Documenta<br>IRREVOCABLE<br>31D - Place of Expiry<br>LONDON | ry Credit | ILSR<br>31C - Date of Issue<br>May 5, 2021<br>51A - Applicant Bank                        | <           | Product Descript<br>Import LC Sig<br>40E - Applicable<br>UCP LATEST<br>Applicant<br>001044 | ion<br>ght Revolving advar<br>Rules<br>VERSION<br>GOODCAR | •     |
|                      | Beneficiary Consent               |              | Ħ       | LC Type<br>Sight<br>40A - Form of Documenta<br>IRREVOCABLE<br>31D - Place of Expiry           | ry Credit | ILSR<br>31C - Date of Issue<br>May 5, 2021  | <           | Product Descript<br>Import LC Sig<br>40E - Applicable<br>UCP LATEST<br>Applicant<br>001044 | tion<br>Rules<br>VERSION                                  | •     |
|                      | Beneficiary Consent               | PK2WALKII    | Ħ       | LC Type<br>Sight<br>40A - Form of Documenta<br>IRREVOCABLE<br>31D - Place of Expiry<br>LONDON | ry Credit | ILSR<br>31C - Date of Issue<br>May 5, 2021<br>51A - Applicant Bank<br>32B - Currency Code | <           | Product Descript<br>Import LC Sig<br>40E - Applicable<br>UCP LATEST<br>Applicant<br>001044 | ion<br>ght Revolving advar<br>Rules<br>VERSION<br>GOODCAR | •     |

- 4. On Registration Application Details screen, specify the fields.
- 5. The **Request Clarification** detailed screen gets displayed, user enters the information and clicks Save , the information should be sent to customer.
- 6. System will alert the OBTFPM user through email of receipt of Clarification for Bi-Directional clarifications sent to OBDX user.
- OBTFPM user should be able to see the details in the View Clarification window and the status will be Clarification Requested. The user can click **Re Clarification** button if required.

|                      | Clarification                     | ٥       | Raised By    | ٥        | Clarification Date | ٥ | Response | ٥ | Response Date | 0 | Response Type | ٥ | Status | \$ |
|----------------------|-----------------------------------|---------|--------------|----------|--------------------|---|----------|---|---------------|---|---------------|---|--------|----|
| lo data to           | display.                          |         |              |          |                    |   |          |   |               |   |               |   |        |    |
| age 1                | (0 of 0 items)                    | K 4     | ( 1 )►       | >        |                    |   |          |   |               |   |               |   |        |    |
|                      |                                   |         |              |          |                    |   |          |   |               |   |               |   |        |    |
| Re Clarifica         | tion Manual L                     | Ipdate  | Withdraw Cla | rificati | on                 |   |          |   |               |   |               |   |        |    |
| Dorforma             | invoice in not up                 |         | ٦            |          | ]                  |   |          |   |               |   |               |   |        |    |
| instead so           | me other docun                    | nent is |              |          |                    |   |          |   |               |   |               |   |        |    |
|                      | as Performa invo                  | oice.   |              |          |                    |   |          |   |               |   |               |   |        |    |
|                      | ete the present                   |         |              |          |                    |   |          |   |               |   |               |   |        |    |
| Please de<br>documen | ete the present<br>and upload the |         |              |          |                    |   |          |   |               |   |               |   |        |    |
| Please de            | and upload the                    |         |              |          |                    |   |          |   |               |   |               |   |        |    |

8. The task goes to Awaiting Customer Clarification state until the response received from the customer.



|   | Menu Item Search         | Q Av  | vaiting | Customer C | larification       |                            |                      |          |                    |
|---|--------------------------|-------|---------|------------|--------------------|----------------------------|----------------------|----------|--------------------|
| Business Process Maintenance     Edit     Import LC Issuance     PK2ILCI000062954     Scrutiny     22-04-20       Completed Tasks       Hold Tasks       My Tasks       Other User tasks       Search | Tasks                    | C     | Refresh | Assign     | R Flow Diagram     |                            |                      |          |                    |
| ompleted Tasks ree Tasks fold Tasks Ay Tasks ther User tasks earch  | waiting Customer Clarifi | ition | ) Edit  | Priority 🗘 | Process Name 🗘     | Process Reference Number 💲 | Application Number 💲 | Stage ≎  | Application Date 💲 |
| ree Tasks<br>Iold Tasks<br>My Tasks<br>Hher User tasks  |                          | nce 🗹 | Edit    | High       | Import LC Issuance | PK2ILCI000062954           | PK2ILCI000062954     | Scrutiny | 22-04-20           |
| iold Tasks<br>Ay Tasks<br>Other User tasks<br>iearch  | ompleted Tasks           |       |         |            |                    |                            |                      |          |                    |
| ty Tasks<br>ther User tasks<br>earch  |                          |       |         |            |                    |                            |                      |          |                    |
| ther User tasks   | old Tasks                |       |         |            |                    |                            |                      |          |                    |
| sarch   | ly Tasks                 |       |         |            |                    |                            |                      |          |                    |
|   |                          |       |         |            |                    |                            |                      |          |                    |
| ubProcess Tasks   |                          |       |         |            |                    |                            |                      |          |                    |
|   | ubProcess Tasks          |       |         |            |                    |                            |                      |          |                    |

#### 9. Click Edit.

**10.** The user can click **Accept Clarification** button, if the query raised has been answered by the customer.

The status should change to **Clarification Accepted** on next the task moves to the next logical stage.

**11.** Bank user checks the Clarification and opens the **Documents** Tab. System displays both the new document uploaded and the metadata for deleted document and the deleted document is displayed in a blurred way. User can open the new document, the deleted document cannot be opened. System should also increment the version number of the documents.

| All                          |                  |                  | 88               |
|------------------------------|------------------|------------------|------------------|
| Letter of Credit             | Letter of Credit | Letter of Credit | Letter of Credit |
| Collateral – Deposit Receipt | Insurance Policy | Import license   | Purchase Order   |
| Ţ                            | ٢                | Ĺ                | Ĺ                |
| Letter of Credit             | Letter of Credit |                  |                  |

 Bi-Directional Flow for Offline Transactions Initiated from OBTFPM This topic provides the systematic instructions to initiate the Bi-Directional Flow for Offline Transactions Initiated from OBTFPM.

#### 2.2.2.1 Bi-Directional Flow for Offline Transactions Initiated from OBTFPM

This topic provides the systematic instructions to initiate the Bi-Directional Flow for Offline Transactions Initiated from OBTFPM.

Offline Transactions means those transactions which are not initiated by OBDX, but are initiated directly by the bank user in OBTFPM upon request received from the customer. **Pre-Conditions:** 

Customer Maintenance details are replicated from OBTF to OBTFPM.



- Task is initiated in OBTFPM, Customer ID is captured/populated and Process Reference Number is generated.
- 1. Customer Maintenance details are replicated from OBTF to OBTFPM.
- In OBTFPM, user clicks Request Clarification, the system checks if the request is initiated from OBDX by validating the value available in the submission mode field is "Online". In case submission mode is "Online", the user can enter the clarification details in "Clarification Required" placeholder.
- 3. In case submission mode is not "Online", the system will validates if the counterparty is a OBDX customer by checking the flag "Trade Finance Portal" in the Customer Maintenance table replicated from OBTF. In this case, the user can submit clarification.
- 4. In case submission mode is not "Online", and if the "Trade Finance Portal" flag is set to 'No' in Customer Maintenance Table, the system should display the error message that 'The customer is not subscribed to Trade Finance Portal'. Once the request is submitted, the Request Clarification functionality would be applicable to offline initiated transactions also.

### 2.3 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee Advise Internal Amendment request.

As part of Data Enrichment, user can amend the various allowed fields, check the limits and other legal and financial risks, the bank is exposed to and either approve or reject or refer the transaction to the customer for changes.

#### 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".

In case of MT798 message, if the User encounters validation error during handling the task, user can put the transaction into hold and seek clarification from the customer in this stage. In DE stage the task is verified and enriched. The user if required can update the editable fields. The fields that have been changed/updated have to be highlighted by the system and the user can check the incoming message place holder for the original value.

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, Tasks.
- 2. Under Tasks, click Free Tasks.



| Menu Item Search Q              | Fre | e Tasks          |                      |                                 |                               |                      |                        |                |
|---------------------------------|-----|------------------|----------------------|---------------------------------|-------------------------------|----------------------|------------------------|----------------|
| K Tasks                         | 0   | Refresh          | quire <b>B</b> a Fle | ow Diagram                      |                               |                      |                        |                |
| Awaiting Customer Clarification |     | Acquire and Edit | Priority 0           | Process Name 🗘                  | Process Reference<br>Number 0 | Application Number 💲 | Stage 🗘                | Application Da |
| Business Process Maintenance    |     | Acquire and Edit | Medium               | Guarantee Advise Internal A     | PK2GTAI000064910              | PK2GTAI000064910     | DataEnrichment         | 22-04-20       |
| Completed Tasks                 |     | Acquire and Edit | Medium               | Export LC Transfer Cancellation | PK2ELCT000064911              | PK2ELCT000064911     | DataEnrichment         | 22-04-20       |
| Free Tasks                      |     | Acquire and Edit |                      | STP Process Allocation          | PK2STPP000064903              | PK2STPP000064903     | Process Identification | 22-04-20       |
| Hold Tasks                      |     | Acquire and Edit |                      | STP Process Allocation          | PK2STPP000064902              | PK2STPP000064902     | Process Identification | 22-04-20       |
|                                 |     | Acquire and Edit | Medium               | Guarantee Advise                | PK2GTEA000052491              | PK2GTEA000052491     | Approval Task Level 1  | 22-04-20       |
| My Tasks                        |     | Acquire and Edit | Medium               | Guarantee Advise                | PK2GTEA000002558              | PK2GTEA000002558     | DataEnrichment         | 22-04-20       |
| Other User tasks                |     | Acquire and Edit | Medium               | Guarantee Advise                | PK2GTEA000061878              | PK2GTEA000061878     | Approval Task Level 1  | 22-04-20       |
| Search                          |     | Acquire and Edit | Medium               | Import Documentary Collecti     | PK2IDCL000064892              | PK2IDCL000064892     | DataEnrichment         | 22-04-20       |
| SubProcess Tasks                |     | Acquire and Edit | Medium               | Import Documentary Collecti     | PK2IDCL000064891              | PK2IDCL000064891     | DataEnrichment         | 22-04-20       |
| Supervisor Tasks                |     | Acquire and Edit | Medium               | Import LC Liquidation           | PK2ILCL000064890              | PK2ILCL000064890     | DataEnrichment         | 22-04-20       |
|                                 |     | Acquire and Edit | Medium               | Import LC Liquidation           | PK2ILCL000064889              | PK2ILCL000064889     | DataEnrichment         | 22-04-20       |
|                                 |     |                  |                      |                                 |                               |                      |                        |                |

Figure 2-5 Free Tasks

The Free Tasks screen displays.

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

| Menu Item Search Q              | Му | Tasks   |            |                 |                |                               |                      |                         |                    |
|---------------------------------|----|---------|------------|-----------------|----------------|-------------------------------|----------------------|-------------------------|--------------------|
| < Tasks                         | 0  | Refresh | Release    | 💮 Escalate      | 문 Delegate     | Ba Flow Diagram               |                      |                         |                    |
| Awaiting Customer Clarification |    | Edit    | Priority 0 | Process N       | lame 🌣         | Process Reference<br>Number 0 | Application Number 0 | Stage 0                 | Application Date 0 |
| Business Process Maintenance    |    | Edit    | Medium     | Guarantee Advis | se Internal Am | PK2GTAI000064910              | PK2GTAI000064910     | DataEnrichment          | 22-04-20           |
| Completed Tasks                 |    | Edit    | Medium     | Guarantee Advis | se Amendmen    | PK2GTEA0000649                | PK2GTEA000064908     | Registration            | 22-04-20           |
| Free Tasks                      |    | Edit    | Medium     | Guarantee SBLC  | Advised -Clai  | PK2GADC000064                 | PK2GADC000064901     | Registration            | 22-04-20           |
| Hold Tasks                      |    | Edit    | Medium     | Guarantee Advis | se Amendmen    | PK2GTEA0000649                | PK2GTEA000064900     | DataEnrichment          | 22-04-20           |
| My Tasks                        |    | Edit    | Medium     | Guarantee Advis | se             | PK2GTEA000054167              | PK2GTEA000054167     | DataEnrichment          | 22-04-20           |
| Other User tasks                |    | Edit    | Medium     | Guarantee Advis | se             | PK2GTEA0000648                | PK2GTEA000064883     | DataEnrichment          | 22-04-20           |
| Search                          |    | Edit    | Medium     | Guarantee Issua | nce Amendm     | PK2GTEI000064871              | PK2GTEI000064871     | DataEnrichment          | 22-04-20           |
| SubProcess Tasks                |    | Edit    | Medium     | Guarantee Issua | nce Internal A | PK2GTEI000064842              | PK2GTEI000064842     | Approval Task Level 1   | 22-04-20           |
| Supervisor Tasks                |    | Edit    | Medium     | Guarantee Cance | ellation       | PK2GTEC000064841              | PK2GTEC000064841     | AmountBlock Exception A | 22-04-20           |
|                                 |    | Edit    | Medium     | Guarantee Issua | nce Closure    | PK2GTEC000064839              | PK2GTEC000064839     | DataEnrichment          | 22-04-20           |
|                                 |    | Edit    | Medium     | Guarantee SBLC  | Issuance-Clai  | PK2GISC000064833              | PK2GISC000064833     | DataEnrichment          | 22-04-20           |
|                                 |    | Edit    | Medium     | Guarantee SBLC  | Issuance -Cla  | PK2GISC000062281              | PK2GISC000062281     | Approval Task Level 1   | 22-04-20           |
|                                 |    | Edit    | Medium     | Guarantee Advis | e Amendmen     | PK2GTEA000064814              | PK2GTEA000064814     | DataEnrichment          | 22-04-20           |

Figure 2-6 My Tasks

Let's look at the details for Data Enrichment stage. The Data Enrichment stage has the following hops for data capture:

Main Details

This topic provides the systematic instructions to initiate the main details of Data Enrichment stage of Guarantee Amendment request.



Sequence B (Continued)

This topic provides the systematic instructions to capture the Sequence B (Continued) details in Data Enrichment stage of Guarantee Amendment process.

- Sequence C This topic provides the systematic instructions to capture the Sequence C details in Data Enrichment stage of Guarantee Amendment process.
- Acknowledgement Details
   This topic provides the systematic instructions to capture the acknowledgement details of
   Data Enrichment stage.
- Additional Fields

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

Amendment Snapshot

This topic provides the systematic instructions to capture the Amendment Snapshot details.

Advices

This topic provides the systematic instructions to capture the advices details of Guarantee Amendment process.

Additional Details

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

Settlement Details

This topic provides the systematic instructions to capture the settlement details of Guarantee Amendment request.

Summary

This topic provides the systematic instructions to view the summary of Guarantee Amendment request.

#### 2.3.1 Main Details

This topic provides the systematic instructions to initiate the main details of Data Enrichment stage of Guarantee Amendment request.

Main details section has two sub section as follows:

- Application Details
- SBLC/ Guarantee Details.

#### **Application Details**

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



|                         | ment DataEnrichment :: Appli                 | cation                                  | Clarificat  | tion Details              | Documents                              | Remarks                     | Overrides                     | Customer          | Instruction    | 1      |
|-------------------------|--|---|-------------|---------------------------|--|-----------------------------|-------------------------------|-------------------|----------------|--------|
| o:- PK2GTEA000          | 064758                                       | Incoming Message                        |             |                           |  | View Undertaking Signatures |                               |                   |                |        |
| ⁄lain                   | Main   |   |             |                           |  |                             |                               |                   |                | Screen |
| Sequence B (Continued)  | ✓ Application Details                        |   |             |                           |  |                             |                               |                   |                |        |
| Sequence C              | SBLC/Guarantee Number                        | Received From Party                     |             | Received From             | n - Customer I                         | D                           | Received From - Customer Name |                   |                |        |
| Acknowledgement Details | PK2GUIR221106239                             | Applicant                               |             | 001044 Q                  |  |                             | GOODCARE PLC                  |                   |                |        |
| Additional Fields       | Branch                                       | Priority                                |             | Amendment I               | Number                                 |                             | Submissio                     | n Mode            |                |        |
| Amendment Snapshot      | PK2-Oracle Banking Trade Fina 👻              | Medium                                  |             | 1                         |  |                             | Desk                          |                   |                | *      |
| Advices                 | Process Reference Number                     | Amendment Date                          |             | Customer Reference Number |  |                             | Related R                     | Related Reference |                |        |
| Additional Details      | PK2GTEA000064758                             | April 20, 2022                          | i           | 34343534                  | 64                                     |                             | PK2GL                         | JIR2211062        | 39             |        |
| Settlement Details      | Beneficiary Consent Required                 |   |             |                           |  |                             |                               |                   |                |        |
|                         |  |   |             |                           |  |                             |                               |                   |                |        |
| Summary                 |  |   |             |                           |  |                             |                               |                   |                |        |
|                         | ✓ SBLC/Guarantee Details                     |   |             |                           |  |                             |                               |                   |                |        |
|                         | 22D - Form of Undertaking                    | Type of Undertaking                     |             | Narrative                 |  |                             | Product C                     | ode               |                |        |
|                         | DGAR - Guarantee                             | BILL - Bill of lading                   | · · · · · · | Bill of Lad               | ing Guarante                           | ee Do                       | GUIR                          |                   |                | Q      |
|                         | Product Description                          | 32B - Undertaking Amount                |             | Amount In Local Currency  |  |                             | 22A - Purpose of Message      |                   |                |        |
|                         | Guarantee Issuance Reissuance up             | GBP 👻                                   | £100.00     | GBP                       | •///////////////////////////////////// | £100.00                     | Amen                          | dment to l        | Undertaking    | -      |
|                         | 23X - File Identification                    | X - File Identification 23X - Narrative |             | 23B - Expiry Type         |  |                             | 31E - Date of Expiry          |                   |                |        |
|                         | -  |   |             | FIXD                      |  |                             | Decemt                        | er 28, 202        | 2              | Ē      |
|                         | Auto Renewal                                 |   |             |                           |  |                             | 40C - App                     | licable Rule      | s              |        |
|                         |  |   |             | D                         |  | URDG                        | - Uniform                     | rules for dem     | ÷ +            |        |
|                         | 40C - Narrative                              | Applicant Bank                          |             | Applicant                 |  |                             | Beneficiar                    | у                 |                |        |
|                         | 5  |   | D           | 001044                    | G                                      | DODCARE D                   | 00104                         | 3 Q               | MARKS AN       | NI D   |
|                         | Advising Bank                                | Advise Through Bank                     |             | Counter SBLC              | /Guarantee Is                          | suing Bank                  | Local SBL                     | C/Guarante        | e Issuing Bank |        |
|                         | 001041 Q WELLS FAR D                         | Q                                       | D           |                           |  | D                           |                               |                   |                | D      |
|                         | 39F - Supplementary Information About Amount | 51- Obligor/ Instructing Party          |             | Obligor Collat            | eral Percentag                         | e                           | Closure D                     | ate               |                |        |
|                         |  | Q                                       | D           |                           |  | 0                           | Decemb                        | er 28, 202        | 2              | 曲      |
|                         |  |   |             |                           |  |                             |                               |                   |                |        |
|                         | Accountee                                    | Revenue Sharing Percentage              |             |                           |  |                             |                               |                   |                |        |

#### Figure 2-7 Data Enrichment - Main Details

#### Note:

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

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

| Table 2-6  | Guarantee Amendment - Registration - Application Details - Field |
|------------|--|
| Descriptio | n  |

| Field                    | Description   |
|--------------------------|---|
| SBLC/Guarantee Number    | Read only field.  |
|                          | This field displays the SBLC/Guarantee number, the user identification of your external bank account. |
| Received From Party      | Read only field.  |
|                          | System will default the party as available in Guarantee.  |
| Received From - Customer | Read only field.  |
| ID                       | Customer ID will be auto-populated from Guarantee /SBLC Issuance.                                     |



| Field                            | Description   |
|----------------------------------|---|
| Received From - Customer<br>Name | Read only field.<br>Name of the customer or applicant will be auto populated based on<br>the customer ID.   |
| Branch                           | Read only field.  |
|                                  | By default, customer's home branch will be displayed based on the customer ID.  |
| Priority                         | System defaults the priority of the Guarantee amenment request as Essential/Critical/Low/Medium/High. If priority is not maintained for the customer, system will populate 'Medium' as the default priority. User can change the priority populated any time before submit of Registration stage. |
| Amendment Number                 | Read only field.  |
|                                  | Amendment number will be auto-populated based on the system maintenance.  |
|                                  | Amendment number increases by 1 for each amendment.   |
| Submission Mode                  | Read only field.  |
|                                  | This field displays the submission mode of Guarantee Amendment request.   |
|                                  | By default the submission mode will have the value as 'Desk'.   |
|                                  | <ul> <li>Desk - Request received through Desk</li> <li>Fax- Request received through Fax</li> <li>Email- Request received through Email</li> <li>Courier - Request received through Courier</li> </ul>  |
| Process Reference                | Read only field.  |
| Number                           | Unique OBTFPM task reference number for the transaction.  |
|                                  | This is auto generated by the system based on process name and branch code.   |
| Amendment Date                   | Read only field.  |
|                                  | The application displays the branch's current date by default, and enables the user to change the date to any back date.  |
| Customer Reference<br>Number     | Specify a unique Customer Reference Number which is provided by the applicant/applicant bank.   |
| Related Reference                | Read only field.  |
|                                  | Related reference number will be auto-populated based on the system maintenance.  |
| Beneficiary Consent<br>Required  | Enable the option, if beneficiary consent required for the amendment made to the fields.<br>Disable the option, if beneficiary consent is not required for the amendments.  |

# Table 2-6 (Cont.) Guarantee Amendment - Registration - Application Details - FieldDescription



#### **Guarantee Details**

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



| ✓ SBLC/Guarantee I  | Details  |  |  |   |   |   |  |  |  |
|---|--|--|--|---|---|---|--|--|--|
| 22D - Form of Undertaking   |  | Type of Undertaking  | Type of Undertaking Narrative  |   |   |   |  |  |  |
| DGAR - Guarantee  | •  | BILL - Bill of lading  | •  | Bill of Lading Gu   | uarantee 🕻  | GUIR  | ٩  |  |  |
| Product Description   |  | 32B - Undertaking Amoun  | nt   | Amount In Local Cur   | rency   | 22A - Purpose of Mes  | sage   |  |  |
| Guarantee Issuance Reissuance up  |  | GBP ~ £100.00  |  | GBP +   | £100.00   | Amendment to  | Undertaking 👻  |  |  |
| 23X - File Identification   |  | 23X - Narrative  |  | 23B - Expiry Type   |   | 31E - Date of Expiry  |  |  |  |
| - Internet |  |  | C  | FIXD  | -   | December 28, 202  | 2 🗒  |  |  |
| Auto Renewal  |  | Extension Required   | 35G -Expiry Condition/ Event   |   |   | 40C - Applicable Rule   | s  |  |  |
| 40C - Narrative   |  |  |  |   | D   | URDG - Uniform  | rules for dema   |  |  |
|   |  | Applicant Bank   |  | Applicant   |   | Beneficiary   |  |  |  |
|   | D  |  | D  | 001044  | GOODCARE 🕻  | 001043 Q  | MARKS ANI  |  |  |
| Advising Bank   |  | Advise Through Bank  |  | Counter SBLC/Guara  | intee Issuing Bank  | Local SBLC/Guarantee Issuing Bank   |  |  |  |
| 001041 Q WELLS FAR D  | Q  | D  |  | D   |   | C   |  |  |  |
| 39F - Supplementary Information About Amount  |  | 51- Obligor/ Instructing Party   |  | Obligor Collateral Pe   | rcentage  | Closure Date  | Closure Date   |  |  |
|   |  | Q  | D  |   | 0   | December 28, 202  | 2 🗒  |  |  |
|   |  | Revenue Sharing Percenta   | age  |   |   |   |  |  |  |
|   | D  |  |  |   |   |   |  |  |  |
|   |  |  |  | Request Clarification   | Reject Refer  | Hold Cancel   | Save & Close   |  |  |
|   | 22D - Form of Undertakin<br>DGAR - Guarantee<br>Product Description<br>Guarantee Issuance<br>23X - File Identification<br>Auto Renewal<br>40C - Narrative<br>Advising Bank<br>001041 Q 1<br>30F - Supplementary Info | Product Description<br>Guarantee Issuance Reissuance up<br>2X - File Identification<br>Auto Renewal<br>40C - Narrative<br>Advising Bank<br>001041 Q WELLS FAR &<br>30F - Supplementary Information About Amount<br>Accountee | 22D - Form of Undertaking     Type of Undertaking       DGAR - Guarantee     BILL - Bill of lading       Product Description     328 - Undertaking Amour       Guarantee Issuance Reissuance up     22X - File Identification       22X - File Identification     23X - Narrative       Auto Renewal     Extension Required       40C - Nerrative     Applicant Bank       Advising Bank     Q       0010d1     Q       39F - Supplementary Information About Amount     Sti- Obligar/ Instructing P       Accountee     Revenue Sharing Percentur | 220 - Form of Undertaking     Type of Undertaking       DGAR - Guarantee     IIIL - Bill of lading       Product Description     IIIL - Bill of lading       Garantee Issuance Reissuance up     232 - Undertaking Anount       ZSX - File Identification     ZSX - Niel Identification       Auto Renewal     ZSX - Narrative       Advising Bank     Advising Bank       001041     WELLS FAR       39F - Supplementary Information About Amount       Accountee       Revenue Sharing Percentage | 220- Form of Undertaking     Type of Undertaking     Narrative       DGAR - Guarantee     BILL - Bill of Lading     Bill of Lading Ca       Product Description     328 - Undertaking Amount     Amount In Local Cur       GGP     E100.00     238 - Boliny Type       22X - File identification     23X - Narrative     238 - Boliny Type       Auto Renewal     Extension Required     356 - Sopiny Condition       40C - Narrative     Applicant Bank     001044       001041     WELLS FAR     51- Obligor / Instructing Party     Obligor Collateral Pe       359F - Supplementary Information About Amount     S1- Obligor/ Instructing Party     Obligor Collateral Pe       Accountee     Revenue Sharing Percentage     Revenue Sharing Percentage     Obligor Collateral Pe | 22D - Form of Undertaking     Type of Undertaking     Narrative       DGAR - Guarantee     BILL - Bill of lading     BILL - Bill of lading       Product Description     22B - Undertaking Amount     BILD - Bill of Lading       GBP     E100.00     23B - Expiry Type       Auto Renewal     Extension Required       Advising Bank     Advise Through Bank       001041     VIELLS FAR       39F - Supplementary Information About Amount       Accountee       Revenue Sharing Percentage | 220 - Form of Undertaking     Type of Undertaking     Narrative     Product Code       DGAR - Guarantee     Bill of lading     Bill of lading     Bill of lading Guarantee     GUIR       Product Description     S28 - Undertaking Amount     Amount In Local Currency     GBP     E100.00       22X - File identification     S2X - Narrative     GBP     E100.00     28 - Expiry Type       Auto Renewal     Extension Required     S6 - Expiry Condition/ Event     40C - Applicable Rule       40C - Narrative     Applicant Bank     O1004     GOODCARE     O10163       50-Obligor / Instructing Party     S1- Obligor Collateral Parcentage     Obligor Collateral Parcentage     Closure Date |  |  |

Note:

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

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

| Field               | Description   |
|---------------------|---|
| Form of Undertaking | Read only field.  |
|                     | This field displays the value for form of undertaking.  |
| Type of Undertaking | Read only field.<br>Type of undertaking defaults from Guarantee/ Standby Issuance   |
| Narrative           | Specify the narrative in this field.<br>This field is enabled if <b>Type of Undertaking</b> field values is <b>OTHR</b> . |
| Product Code        | Read only field.  |
|                     | This field displays the product code.   |
| Product Description | Read only field.  |
|                     | This field displays the description of the product as per the product code.   |

| Table 2-7  | Guarantee Amendment - Registration - Guarantee Details - Field |
|------------|--|
| Descriptio | n  |



| Field                    | Description   |
|--------------------------|---|
| Undertaking Amount       | This field defaults the undertaking number available in the guarantee. SBLC.  |
|                          | User can change the undertaking amount.   |
| Amount In Local Currency | Read only field.  |
|                          | This field displays the Local currency and amount value.<br>System fetches the local currency equivalent value for the LC<br>amount from back office (with decimal places). |
| Purpose of Message       | Read only field.<br>System dafaults the purpose of message as enetered in<br>Regesitration stage.<br>The values are:  |
|                          | <ul> <li>ISSU - Issue of Undertaking:</li> <li>ICCO - Issuance of counter-counter-undertaking:</li> </ul>   |
|                          | ISCO - Issuance of counter undertaking:   |
| File Identification      | Select the type of delivery channel and its associated file name or<br>reference from the available values.<br>The options are:<br>• COUR - Courier delivery                |
|                          | EMAL - Email transfer   |
|                          | FACT - SWIFTNet FileAct   |
|                          | • FAXT - Fax transfer   |
|                          | HOST - Host-to-Host   |
|                          | MAIL - Postal Delivery  |
|                          | OTHR - Other delivery channel   |
|                          | User can change the value of File Identification.   |
| Narrative                | This field displays the description entered in Registration stage, if any.  |
|                          | User can change the value of narrative, if value of <b>File Identification</b> is <b>OTHR</b> .   |
| Expiry Type              | System dafaults the expiry type from guarantee issuance.<br>This field indicates whether undertaking has specified expiry date or<br>is open-ended.                         |
|                          | The options are:<br>• COND - With Expiry  |
|                          | COND - Without Expiry   |
|                          | <ul> <li>FIXD - Specified expiry date (with/without automatic expansion)</li> <li>OPEN - No specific date of expiry</li> </ul>  |
|                          | User can change the value of Expiry Type.   |
| Date of Expiry           | Select the expiry date of the Guarantee Issuance.<br>The field is enabled, if <b>Expiry Type</b> is <b>COND</b> and <b>FIXD</b> .   |

# Table 2-7 (Cont.) Guarantee Amendment - Registration - Guarantee Details - FieldDescription
| Field                  | Description   |  |  |  |  |  |
|------------------------|---|--|--|--|--|--|
| Auto Renewal           | Switch to for auto renewal.<br>This field is enabled if Applicable Rules is URDG - Uniform rules<br>for demand guarantees and Expiry Type is OPEN.  |  |  |  |  |  |
| Extension Required     | Switch to if extension is required for guarantee issuance internal amendment.   |  |  |  |  |  |
| Expiry Condition/Event | System dafaults the documentary condition/event that indicates when the local undertaking will cease to be available.   |  |  |  |  |  |
|                        | User can change the expiry condition/event, if the value of <b>Expiry Type</b> is <b>COND</b> .   |  |  |  |  |  |
| Applicable Rules       | <ul> <li>Read only field.</li> <li>System dafaults the applicable rules for guarantee issuance. The value can be:</li> <li>URDG - Uniform rules for demand guarantees</li> <li>UCPR - Uniform customs and Practices</li> <li>ISPR - International standby Practices</li> <li>NONE - Not subject to any rules</li> <li>OTHR</li> </ul>               |  |  |  |  |  |
| Narrative              | Read only field.         This field displays the description entered in Registration stage, if any.         This field is enabled, if Applicable Rules field values is OTHR.  |  |  |  |  |  |
| Applicant Bank         | Read only field.<br>This system defaults the applicant bank name available in<br>Guarantee.   |  |  |  |  |  |
| Applicant              | Read only field.<br>This field displays the details of the applicant of the selected SBLC/Guarantee Number.   |  |  |  |  |  |
| Beneficiary            | System dafaults the beneficiary whose favor the undertaking (or counter-undertaking) is issued from the Regeistration stage.<br>If beneficiary is not a customer of the bank, then choose WALKIN customer id and provide the beneficiary details. If beneficiary is a customer and KYC status is not valid, then system will display alert message. |  |  |  |  |  |
|                        | User can change the beneficiary.  |  |  |  |  |  |

# Table 2-7 (Cont.) Guarantee Amendment - Registration - Guarantee Details - FieldDescription

| Field                                     | Description  |  |  |  |
|---|--|--|--|--|
| Advising Bank                             | This field displays the details of the advising bank.  |  |  |  |
|   | User can change the Advising Bank, if required.  |  |  |  |
|   | Note:<br>In case the selected Bank is not RMA Compliant, the<br>system prompts the user to use a different advising bank<br>or use non SWIFT Media to transmit the LC and displays<br>error message "RMA arrangement not available, please<br>change the bank or use MAIL Medium".   |  |  |  |
| Advising Bank Reference                   | Specify the advising bank reference number.  |  |  |  |
| Advising Through Bank                     | The value of advising through bank defaults from Guarantee/<br>Standby Issuance.   |  |  |  |
|   | User can change the Advising through bank, if required.  |  |  |  |
| Counter SBLC/Guarantee<br>Issuing Bank    | System dafaults the Counter Guarantee Issuance bank name from the Registration stage.  |  |  |  |
| Local SBLC/Guarantee<br>Issuing Bank      | System dafaults the Local SBLC/Guarantee Issuance bank name from the Registration stage.   |  |  |  |
| Supplementary<br>Information About Amount | Specify the supplementary information about amount related to undertaking.   |  |  |  |
| Obligor/ Instructor Party                 | Specify the Local SBLC/Guarantee Issuance bank name or click <b>Search</b> to search and select the name of the obligor from the look  |  |  |  |
| Obligor Collateral<br>Percentage          | Read only field.<br>The value for obligor collateral percentage is defaulted from<br>Guarantee/ Standby Issuance.  |  |  |  |
| Closure Date                              | <ul> <li>This field displays the Closure Date defaulted by the system from the previous version of the contract.</li> <li>User can modify the system defaulted Closure Date and system should validate the same for the below conditions,</li> <li>Closure Date must be after the Issue Date.</li> <li>Closure Date must be after the Expiry Date.</li> <li>Closure Date cannot be blank.</li> </ul> |  |  |  |
| Accountee                                 | Read only field.<br>System defaults the accountee name available in Guarantee.   |  |  |  |
| Revenue Sharing<br>Percentage             | Read only field.<br>System populates the values from the "Trade Finance Customer<br>Maintenance" if any, from the Guarantee Contract.  |  |  |  |

# Table 2-7 (Cont.) Guarantee Amendment - Registration - Guarantee Details - FieldDescription

Audit

| Application No.<br>PK2GTEA000065147 |         |              | Branch Code<br>PK2 |                          | Initiated Date |                          |          | Initiated By |   |         |   |
|-------------------------------------|---------|--------------|--------------------|--------------------------|----------------|--------------------------|----------|--------------|---|---------|---|
|                                     |         |              |                    |                          | 4/20/2022      |                          | LAXMAN01 |              |   |         |   |
| rocess Na                           | me      |              |                    |                          |                |                          |          |              |   |         |   |
| Guaran                              | tee Ame | endment      |                    |                          |                |                          |          |              |   |         |   |
| S.No                                | ٥       | Stage Name   | ٥                  | Pickup Time              | ٥              | Completed Time           | Comple   | eted By      | ٥ | Outcome | ; |
| 1                                   |         | Registration |                    | Dec 20, 2024, 6:33:17 PM |                | Dec 20, 2024, 7:29:11 PM | LAXM     | AN01         |   | PROCEED |   |

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

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

Table 2-8 Audit - Field Description

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



| Field                 | Description  |  |  |  |  |
|-----------------------|--|--|--|--|--|
| Documents             | Click to View/Upload the required document.  |  |  |  |  |
|                       | <ul> <li>Application displays the mandatory and optional documents.<br/>The user can view and input/view application details<br/>simultaneously.</li> <li>When a user clicks on the uploaded document, Document<br/>window get opened and on clicking the view icon of the<br/>uploaded document, Application screen should get split into<br/>two. The one side of the document allows to view and on the<br/>other side allows to input/view the details in the application</li> </ul> |  |  |  |  |
| Remarks               | Specify any additional information regarding the Guarantee issuance<br>This information can be viewed by other users processing the<br>request.  |  |  |  |  |
|                       | 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  | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>                     |  |  |  |  |
| Incoming Message      | This button displays the multiple messages (MT760 + up to 7 MT767<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |  |  |  |  |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |  |  |  |  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |  |  |  |  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |  |  |  |  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |  |  |  |  |
| Signatures            | Click the Signature button to verify the signature of the customer/<br>bank if required.<br>The user can view the Customer Number and Name of the signatory<br>Signature image and the applicable operation instructions if any<br>available in the back-office system.  |  |  |  |  |
|                       | If more than one signature is available, system should display all the signatures.   |  |  |  |  |
| Request Clarification | Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.  |  |  |  |  |

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



| Field        | Description  |  |  |  |
|--------------|--|--|--|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |  |  |  |
|              | Reject Codes are:  |  |  |  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |  |  |  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |  |  |  |
| Refer        | Select a Refer Reason from the values displayed by the system.   |  |  |  |
|              | Refer Codes are:   |  |  |  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |  |  |  |
| 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       | 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.   |  |  |  |
| Next         | On click of Next, system validates if all the mandatory fields have<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |  |  |  |

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

# 2.3.2 Sequence B (Continued)

This topic provides the systematic instructions to capture the Sequence B (Continued) details in Data Enrichment stage of Guarantee Amendment process.

This section lists the amendments made to the issued guarantee. The hop has following four sections:

- Preferences
- Delivery of Original Undertaking
- Others
- Liability Change Schedule
- 1. On Data Enrichment Sequence B (Continued) screen, specify the fields.



| Guarantee Amend         | ment DataEnrichment                           | :: Ap  | plication                      | L     | larifica | tion Details | Documents          | Remarks       | Overrides      | Custom    | ner Instruction |        | ÷×    |
|-------------------------|---|--------|--------------------------------|-------|----------|--------------|--------------------|---------------|----------------|-----------|-----------------|--------|-------|
| lo:- PK2GTEA000         | 064758  |        |                                |       |          |              | Inc                | oming Message | View Und       | ertaking  | Signatures      | ]      | - 1   |
| Main                    | Sequence B (Continued)                        |        |                                |       |          |              |                    |               |                |           |                 | Screen | 1(2/1 |
| Sequence B (Continued)  | ✓ Preferences                                 |        |                                |       |          |              |                    |               |                |           |                 |        |       |
| Sequence C              | 77U - Other Amendments To Underta             | king   |                                |       |          |              |                    |               |                |           |                 |        |       |
| Acknowledgement Details | GUARANTEE                                     | D      |                                |       |          |              |                    |               |                |           |                 |        |       |
| Additional Fields       | <ul> <li>Delivery of Original Unde</li> </ul> | rtakin | a                              |       |          |              |                    |               |                |           |                 |        |       |
| Amendment Snapshot      | 24E - Delivery of Original Amendmen           |        | 5<br>24E - Narrative           |       |          | 24G - Deliv  | ery to/ Collection | by            | 24G - 1        | Narrative |                 |        |       |
| Advices                 |   | •      |                                |       | C        | 5            |                    | •             |                |           |                 | D      |       |
| Additional Details      |   |        |                                |       |          |              |                    |               |                |           | saman nu        |        |       |
| Settlement Details      | ✓ Others                                      |        |                                |       |          |              |                    |               |                |           |                 |        |       |
| Summary                 | 72Z - Sender to Receiver Information          |        | 21T - Customer Business Refere | ence  |          | 21S - Bank   | Business Referen   | ce            |                |           |                 |        |       |
|                         | Q   | C      |                                | Q D   |          |              |                    | Q [2          |                |           |                 |        |       |
|                         | ✓ Liability Change Schedule                   |        |                                |       |          |              |                    |               |                |           |                 |        |       |
|                         | Liability Change Type                         |        | Additional Details             |       |          | Standard T   | ype                |               |                |           |                 |        |       |
|                         |   | •      |                                | Ca    |          |              |                    | •             |                |           |                 |        |       |
|                         |   |        |                                |       |          |              |                    |               |                |           |                 |        |       |
|                         | Sequence Number                               | ٥      | Scheduled Date                 | Amoun |          | ٥            | Percentage         | 0             | Liability Type |           | 0               | Action | c     |
|                         | No data to display.                           |        |                                |       |          |              |                    |               |                |           |                 |        |       |
|                         | Page 1 (0 of 0 items)                         |        |                                |       |          |              |                    |               |                |           |                 |        |       |
| udit                    |   | 1      |                                | Reque | t Clarif | lication     | Reject R           | efer Hold     | Cancel         | Sav       | e & Close       | Back   | N     |

### Figure 2-9 Data Enrichment - Sequence B (Continued)

Note:

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

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

 Table 2-10
 Sequence B (Continued) - Field Description

| Field                               | Description  |  |  |  |
|-------------------------------------|--|--|--|--|
| Preferences                         | Specify the Preferences details.   |  |  |  |
| Other Amendments To<br>Undertaking  | The field displays the content from MT767 and all the applicable MT<br>775.<br>The user can change the value of other amendments To Undertaking<br>details.  |  |  |  |
| Delivery of Original<br>Undertaking | Specify the <b>Delivery of Original Undertaking</b> details.   |  |  |  |
| Delivery of Original<br>Amendment   | <ul> <li>Select the delivery mode by which the original local undertaking is to be delivered from the drop-down.</li> <li>The options are:</li> <li>COLL - By Collection</li> <li>COUR - By Courier (e.g. Fedex, DHL, UPS)</li> <li>MAIL - By Mail</li> <li>MESS - By Messenger - Hand-deliver</li> <li>OTHR - Other method</li> <li>REGM - By Registered Mail or Airmail</li> <li>Additional Information may be present if Code has the value COUR or OTHR, otherwise it is not allowed.</li> </ul> |  |  |  |
| Narrative                           | Specify the narrative, if <b>Delivery of Original Amendment</b> has the value <b>COUR</b> or <b>OTHR</b> .   |  |  |  |



| Field                             | Description  |  |  |  |
|-----------------------------------|--|--|--|--|
| Delivery to/ Collection by        | Select the value to whom the original local undertaking is to be<br>delivered or by whom the original local undertaking is to be collected<br>from the drop-down.<br>The options are:<br>BENE – Beneficiary  |  |  |  |
|                                   | OTHR - Specified Address   |  |  |  |
| Narrative                         | Specify the narrative, if any.<br>This field is mandatory if <b>Delivery to/ Collection by</b> field value is<br><b>OTHR</b>   |  |  |  |
| Others                            | Specify the <b>Others</b> details.   |  |  |  |
| Sender to Receiver<br>Information | Click <b>Search</b> to search and select the additional information for receiver from the look-up.   |  |  |  |
| Customer Business<br>Reference    | Click <b>Search</b> to search and select the customer business reference from the look-up.   |  |  |  |
| Bank Business Reference           | Click <b>Search</b> to search and select the bank business reference from the look-up.   |  |  |  |
| Liability Change Schedule         | Specify the <b>Liability Change Schedule</b> details.<br>In this section, user can enter the details of increase or decrease of<br>liability on a pre-scheduled date as applicable.  |  |  |  |
| Liability Change Type             | Read only field.<br>Displays the liability change type.  |  |  |  |
| Additional Details                | Specify the additional details, if any.  |  |  |  |
| Standard Type                     | <ul> <li>Select whether liability change is standard or non-standard.</li> <li>The options are: <ul> <li>Standard</li> <li>Non-standard</li> </ul> </li> <li>This field is disable if, Liability Change Type has the value Event Based.</li> </ul> |  |  |  |
| Liability Type                    | Select whether increase or decrease of liability or both are involve<br>The options are:<br>Increased<br>Decreased<br>Both   |  |  |  |
| Schedule Grid                     | Specify the Schedule Grid details.   |  |  |  |
| Sequence Number                   | Displays the serial number of the liability change.  |  |  |  |
| Scheduled Date                    | The date on which liability change to happen.  |  |  |  |
| Amount                            | The liability amount that should be increased or decreased on the liability change date.   |  |  |  |
| Percentage                        | The amount of liability to be changed or percentage of liability to be changed.  |  |  |  |
| Liability Type                    | Indicates the type of liablity   |  |  |  |
| Action                            | Click Edit icon to edit the schedule record.<br>Click Delete icon to delete the schedule record.   |  |  |  |

### Table 2-10 (Cont.) Sequence B (Continued) - Field Description

2. Click Next.

The task will move to next data segment.

| Field                 | Description  |
|-----------------------|--|
| Clarification Details | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.  |
| Documents             | Click to View/Upload the required document.  |
|                       | Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.  |
|                       | When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the<br>uploaded document, Application screen should get split into<br>two. The one side of the document allows to view and on the<br>other side allows to input/view the details in the application  |
| Remarks               | Specify any additional information regarding the Guarantee<br>amendment. This information can be viewed by other users<br>processing the request.  |
|                       | 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  | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT761<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798<br>message (788-799) in this placeholder in Header of the process-task   |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |
| Signatures            | <ul> <li>Click the Signature button to verify the signature of the customer/<br/>bank if required.</li> <li>The user can view the Customer Number and Name of the signatory<br/>Signature image and the applicable operation instructions if any<br/>available in the back-office system.</li> </ul>   |
|                       | If more than one signature is available, system should display all the signatures.   |
| Request Clarification | Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.  |

# Table 2-11 Sequence B (Continued) - Action Buttons - Field Description



| Field        | Description  |
|--------------|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|              | Reject Codes are:  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer        | Select a Refer Reason from the values displayed by the system.   |
|              | Refer Codes are:   |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
| 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       | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-11 (Cont.) Sequence B (Continued) - Action Buttons - Field Description

# 2.3.3 Sequence C

This topic provides the systematic instructions to capture the Sequence C details in Data Enrichment stage of Guarantee Amendment process.

The fields listed under this section are same as the fields listed under the Amendment of Guarantee/SBLC Issued – Sequence C and allow the user to amend them. In case of requests received from online channels (Internet Banking), the details will be populated directly in the screen.

The hop has following three sections:

- Preferences
- Underlying Transaction Details
- Delivery of Original Undertaking

1. On Data Enrichment - Sequence C screen, specify the fields.

| Guarantee Amendment DataEnrichment :: Application<br>No:- PK2GTEA000064758 |                     |                       | plication               | Clarifi | cation Details Docu  | Incoming Message | Overrides Customer Inst | gnatures                              |
|--|---------------------|-----------------------|-------------------------|---------|----------------------|------------------|-------------------------|---------------------------------------|
| Main   | Sequence 0          |                       |                         |         |                      |                  |                         | Screen(3/10                           |
| Sequence B (Continued)   | ✓ Preference        | s                     |                         |         |                      |                  |                         |                                       |
| Sequence C   | Beneficiary         |                       | 32B - Currency Code, Ar | nount   | 23B - Expiry Type    |                  | 31E - Date of Expiry    |                                       |
| Acknowledgement Details  | 001043              | MARKS ANI             | GBP 👻                   | £100.00 |                      | -                |                         | i i i i i i i i i i i i i i i i i i i |
| Additional Fields  | 35G -Expiry Condit  | tion/ Event           |                         |         |                      |                  |                         |                                       |
| Amendment Snapshot   |                     | D                     |                         |         |                      |                  |                         |                                       |
| Advices  | ✓ Underlying        | Transaction Details   |                         |         |                      |                  |                         |                                       |
| Additional Details   | 77L - Other Amen    | dments To Undertaking |                         |         |                      |                  |                         |                                       |
| Settlement Details   |                     | D                     |                         |         |                      |                  |                         |                                       |
| Summary  | ✓ Delivery of       | Original Undertaking  |                         |         |                      |                  |                         |                                       |
|  | 24E - Delivery of O | riginal Amendment     | 24E - Narrative         |         | 24G - Delivery to/ C | ollection by     | 24G - Narrative         |                                       |
|  |                     |                       |                         | C       |                      | •                |                         | D                                     |

Figure 2-10 Data Enrichment - Sequence C

Note:

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

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

Table 2-12 Sequence C - Field Description

| Field       | Description  |  |  |  |  |  |
|-------------|--|--|--|--|--|--|
| Preferences | Specify the Preferences details.   |  |  |  |  |  |
| Beneficiary | This field displays the beneficiary details of the guarantee.  |  |  |  |  |  |
|             | Note:<br>In case of Online requests, the details are auto-populated<br>and user cannot change the value. |  |  |  |  |  |



| Field                               | Description  |
|-------------------------------------|--|
| Currency Code, Amount               | System defaults the currency code and amount from Amendment of Guarantee/SBLC Issued – Sequence B and allow as a read only field.  |
|                                     | Note:<br>In case of Online requests, the details are auto-populated<br>and user cannot change the value.   |
| Expiry Type                         | System dafaults the expiry type from Amendment of Guarantee/<br>SBLC Issued – Sequence B.  |
|                                     | Note:<br>In case of Online requests, the details are auto-populated<br>and user cannot change the value.   |
| Date of Expiry                      | The date of expiry of the Guarantee Issuance. The date of expiry cannot be greater than the expiry date mentioned in Amendment of Guarantee/SBLC Issued – Sequence B and earlier than the application dated. |
|                                     | Note:<br>In case of Online requests, the details are auto-populated<br>and user cannot change the value.   |
| Expiry Condition/Event              | System defaults expiry condition/ event from Amendment of Guarantee/SBLC Issued.   |
|                                     | Note:<br>In case of Online requests, the details are auto-populated<br>and user cannot change the value.   |
| Underlying Transaction<br>Details   | Specify the Underlying Transaction Details based on the description of following table:  |
| Other Amendments To<br>Undertaking  | System defaults the amend values in this field.<br>The field displays the content from MT767 and all the applicable MT<br>775.   |
| Delivery of Original<br>Undertaking | Specify the Delivery of Original Undertaking details.  |

# Table 2-12 (Cont.) Sequence C - Field Description



| Field                               | Description  |  |  |  |
|-------------------------------------|--|--|--|--|
| Delivery of Original<br>Undertaking | Read only field.<br>The delivery mode by which the original local undertaking is to be<br>delivered.   |  |  |  |
|                                     | The options are:   |  |  |  |
|                                     | COLL - By Collection   |  |  |  |
|                                     | COUR - By Courier (e.g. Fedex, DHL, UPS)   |  |  |  |
|                                     | MAIL - By Mail   |  |  |  |
|                                     | MESS - By Messenger - Hand-deliver   |  |  |  |
|                                     | OTHR - Other method  |  |  |  |
|                                     | REGM - By Registered Mail or Airmail   |  |  |  |
|                                     | Additional Information may be present if Code has the value COUR or OTHR, otherwise it is not allowed.   |  |  |  |
| Narrative                           | Specify the narrative, if <b>Delivery of Original Amendment</b> has the value <b>COUR</b> or <b>OTHR</b> .   |  |  |  |
| Delivery to/ Collection by          | Read only field.<br>The value to whom the original local undertaking is to be delivered or<br>by whom the original local undertaking is to be collected. |  |  |  |
|                                     | The options are:   |  |  |  |
|                                     | BENE – Beneficiary   |  |  |  |
|                                     | OTHR - Specified Address   |  |  |  |
| Narrative                           | Specify the narrative, if <b>Delivery to/ Collection by</b> has the value <b>OTHR</b> .  |  |  |  |

# Table 2-12 (Cont.) Sequence C - Field Description

#### 2. Click Next.

The task will move to next data segment.

| Field                 | Description  |
|-----------------------|--|
| Clarification Details | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.  |
| Documents             | <ul> <li>Click to View/Upload the required document.</li> <li>Application displays the mandatory and optional documents.</li> <li>The user can view and input/view application details simultaneously.</li> <li>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</li> </ul> |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.<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.  |



| Field                 | Description  |  |  |  |  |  |
|-----------------------|--|--|--|--|--|--|
| Customer Instruction  | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |  |  |  |  |  |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.  |  |  |  |  |  |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |  |  |  |  |  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |  |  |  |  |  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |  |  |  |  |  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |  |  |  |  |  |
| Signatures            | Click the Signature button to verify the signature of the customer/<br>bank if required.<br>The user can view the Customer Number and Name of the signatory<br>Signature image and the applicable operation instructions if any<br>available in the back-office system.  |  |  |  |  |  |
|                       | If more than one signature is available, system should display all the signatures.   |  |  |  |  |  |
| Request Clarification | Clicking this button allows the user to submit the request for<br>clarification to the "Trade Finance Portal" for the transactions that are<br>initiated offline.  |  |  |  |  |  |
| Reject                | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |  |  |  |  |  |
|                       | Reject Codes are:  |  |  |  |  |  |
|                       | R1- Documents missing  |  |  |  |  |  |
|                       | R2- Signature Missing  |  |  |  |  |  |
|                       | <ul> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> </ul>   |  |  |  |  |  |
|                       | <ul> <li>R5 - Others</li> </ul>  |  |  |  |  |  |
|                       | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |  |  |  |  |  |
| Refer                 | Select a Refer Reason from the values displayed by the system.   |  |  |  |  |  |
|                       | Refer Codes are:   |  |  |  |  |  |
|                       | R1- Documents missing  |  |  |  |  |  |
|                       | R2- Signature Missing  |  |  |  |  |  |
|                       | R3- Input Error  |  |  |  |  |  |
|                       | <ul> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |  |  |  |  |  |

# Table 2-13 (Cont.) Sequence C - 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.   |
|              | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-13 (Cont.) Sequence C - Action Buttons - Field Description

# 2.3.4 Acknowledgement Details

This topic provides the systematic instructions to capture the acknowledgement details of Data Enrichment stage.

At this hop, user can update details for the acknowledgment and response details. This Acknowledgment related section is applicable only for Counter Issuing bank and Local issuing bank.

1. On Acknowledgement Details screen, specify the fields.

| Main                    |   |                           |   |                   |              |       |       |            |        |           |
|-------------------------|---|---------------------------|---|-------------------|--------------|-------|-------|------------|--------|-----------|
|                         | Acknowledgement Details                             |                           |   |                   |              |       |       |            |        | Screen(4  |
| Sequence B (Continued)  | <ul> <li>MT 768 Guarantee Acknowledgment</li> </ul> |                           |   |                   |              |       |       |            |        |           |
| ) Sequence C            | Issuing Bank Reference                              | 25 Account Identification |   | Issuing Bank Date |              |       | 32a A | mount of C | harges |           |
| Acknowledgement Details |   | [                         | ٩ |                   |              | Ē     | GB    | P 🔸        | 4      | £1,000.00 |
| Additional Fields       | 57a - Account with Bank                             | 71 D Charges              |   | 72-Sender to Rece | eiver Inform | ation |       |            |        |           |
| Amendment Snapshot      | ٩   |                           |   |                   |              | Q     |       |            |        |           |
| Advices                 |   |                           |   | D                 |              |       |       |            |        |           |
| Additional Details      |   |                           |   |                   |              |       |       |            |        |           |
| Settlement Details      |   |                           |   |                   |              |       |       |            |        |           |
| Summary                 |   |                           |   |                   |              |       |       |            |        |           |
|                         |   |                           |   |                   |              |       |       |            |        |           |
|                         |   |                           |   |                   |              |       |       |            |        |           |
|                         |   |                           |   |                   |              |       |       |            |        |           |
|                         |   |                           |   |                   |              |       |       |            |        |           |

Figure 2-11 Acknowledgement Details

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



| Field                              | Description  |  |  |  |  |  |
|------------------------------------|--|--|--|--|--|--|
| MT 768 - Acknowledgment Details    |  |  |  |  |  |  |
| (This is applicable in case Bank). | of Counter Guarantee/Counter Counter Guarantee Issuing   |  |  |  |  |  |
| Issuing Bank Reference             | Specify the value for issuing bank reference.  |  |  |  |  |  |
| Account Identification             | Click <b>Search</b> to search and select the account identification from the lookup.<br>Alternatively user can specify the account identification      |  |  |  |  |  |
|                                    | details.   |  |  |  |  |  |
| Date of Acknowledgement            | System defaults the current system date as date of message acknowledgment.   |  |  |  |  |  |
| Amount of Charges                  | Specify the total amount of charges claimed by the advising bank and select the currency code.   |  |  |  |  |  |
| Account with Bank                  | Click <b>Search</b> to search and select account with bank details from the lookup. Alternatively user can also specify the account with bank details. |  |  |  |  |  |
| Charges                            | Specify more details about charges, if applicable.   |  |  |  |  |  |
| Sender to Receiver<br>Information  | Click <b>Search</b> to search and select the sender to receiver details, if applicable.  |  |  |  |  |  |

### Table 2-14 Acknowledgement Details - Field Description

#### 2. Click Next.

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

| <b>Table 2-15</b> | Acknowledgement Details - Action Buttons - Field Description |
|-------------------|--|
|-------------------|--|

| Field                 | Description   |
|-----------------------|---|
| Clarification Details | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.   |
| Documents             | Click to View/Upload the required document.<br>Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.<br>When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the<br>uploaded document, Application screen should get split into<br>two. The one side of the document allows to view and on the<br>other side allows to input/view the details in the application |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.<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.   |



| Field                 | Description  |
|-----------------------|--|
| Customer Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT767<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.<br>In case of MT798, the User can click and view the MT798<br>message(784,760/761).   |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |
| Signatures            | Click the Signature button to verify the signature of the customer/<br>bank if required.<br>The user can view the Customer Number and Name of the signatory<br>Signature image and the applicable operation instructions if any<br>available in the back-office system.  |
|                       | If more than one signature is available, system should display all the signatures.   |
| Request Clarification | Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.  |
| Reject                | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|                       | Reject Codes are:  |
|                       | R1- Documents missing  |
|                       | <ul> <li>R2- Signature Missing</li> <li>R3- Input Error</li> </ul>   |
|                       | R4- Insufficient Balance/Limits  |
|                       | R5 - Others  |
|                       | Select a Reject code and give a Reject Description.  |
|                       | 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.   |
|                       | Refer Codes are:   |
|                       | R1- Documents missing  |
|                       | R2- Signature Missing  |
|                       | R3- Input Error  |
|                       | R4- Insufficient Balance/Limits  |

# Table 2-15 (Cont.) Acknowledgement 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.   |
|              | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-15 (Cont.) Acknowledgement Details - Action Buttons - Field Description

# 2.3.5 Additional Fields

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

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

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

| Guarantee Amendment DataEnrichment :: Application<br>No:- PK2GTEA000064758 |                                  | Clarification Details Docum |        | ents Remarks    | Acknowledgement<br>successfully | Acknowledgement details saved |             |
|--|----------------------------------|-----------------------------|--------|-----------------|---------------------------------|-------------------------------|-------------|
|  |                                  |                             |        | Incoming Messag |                                 |                               |             |
| Main   | Additional Fields                |                             |        |                 |                                 |                               | Screen(5/10 |
| Sequence B (Continued)   | ✓ Additional Fields              |                             |        |                 |                                 |                               |             |
| Sequence C   | No Additional fields configured! |                             |        |                 |                                 |                               |             |
| Acknowledgement Details  |                                  |                             |        |                 |                                 |                               |             |
| Additional Fields  |                                  |                             |        |                 |                                 |                               |             |
| Amendment Snapshot   |                                  |                             |        |                 |                                 |                               |             |
| Advices  |                                  |                             |        |                 |                                 |                               |             |
| Additional Details   |                                  |                             |        |                 |                                 |                               |             |
| Settlement Details   |                                  |                             |        |                 |                                 |                               |             |
| Summary  |                                  |                             |        |                 |                                 |                               |             |
|  |                                  |                             |        |                 |                                 |                               |             |
|  |                                  |                             |        |                 |                                 |                               |             |
|  |                                  |                             |        |                 |                                 |                               |             |
|  |                                  |                             |        |                 |                                 |                               |             |
|  |                                  |                             |        |                 |                                 |                               |             |
| Audit  |                                  | Request Clarification       | Reject | Refer He        | old Cancel S                    | Save & Close                  | Back Next   |

Figure 2-12 Additional Fields

2. Click Next.

The task will move to next data segment. For more information refer Amendment Snapshot.

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

| Field                 | Description  |
|-----------------------|--|
| Clarification Details | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.  |
| Documents             | Click to View/Upload the required document.  |
|                       | <ul> <li>Application displays the mandatory and optional documents.<br/>The user can view and input/view application details<br/>simultaneously.</li> <li>When a user clicks on the uploaded document, Document<br/>window get opened and on clicking the view icon of the<br/>uploaded document, Application screen should get split into<br/>two. The one side of the document allows to view and on the<br/>other side allows to input/view the details in the application</li> </ul> |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  |
|                       | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides             | Click to view the overrides accepted by the user.  |
| Customer Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>                     |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT767<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |
| Signatures            | <ul> <li>Click the Signature button to verify the signature of the customer/<br/>bank if required.</li> <li>The user can view the Customer Number and Name of the signatory<br/>Signature image and the applicable operation instructions if any<br/>available in the back-office system.</li> <li>If more than one signature is available, system should display all the</li> </ul>   |
| Request Clarification | Signatures.<br>Clicking this button allows the user to submit the request for<br>clarification to the "Trade Finance Portal" for the transactions that are<br>initiated offline.   |

# Table 2-16 Additional Fields - Action Buttons - Field Description



| Field        | Description  |
|--------------|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|              | Reject Codes are:  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer        | Select a Refer Reason from the values displayed by the system.   |
|              | Refer Codes are:   |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
| 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       | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-16 (Cont.) Additional Fields - Action Buttons - Field Description

# 2.3.6 Amendment Snapshot

This topic provides the systematic instructions to capture the Amendment Snapshot details.

At this step user can view all the fields that are amended with the old values and the amended value of the Guarantee/Standby undertaking.

The screen displays the latest Guarantee /SBLC value before amendment and the new amended value.

1. On Amendment Snapshot screen, specify the fields, if any.

| No:- PK2GTEA000064758     Incoming Message     View Undertaking     Signature       Main     Amendment Snapshot     - Sequence B       Sequence C     - Amended Value     - Value as per Undertaking       Additional Fields     - Amended Value     - Value as per Undertaking       Additional Fields     - Sequence C       Additional Fields     - Sequence C       Additional Fields     - Sequence C       Additional Details     - Field Name     - Amended Value       V Sequence C     - Sequence C       Additional Details     - Field Name     - Amended Value       V Sequence C     - Sequence C       Additional Details     - Field Name     - Amended Value       Value as per Undertaking     - No data to display.       Summary     Page     1       V Page     1       V Party Details     - Value as per Undertaking   | ::×         |
|--|-------------|
| Sequence B (Continued) <ul> <li>Sequence C</li> <li>Acknowledgement Details</li> <li>Acknowledgement Details</li> <li>Additional Details</li> <li>Sequence C</li> <li>Additional Details</li> <li>Field Name</li> <li>C</li> <li>Amended Value</li> <li>C</li> <li>Value as per Undertaking</li> </ul> <ul> <li>Value as per Undertaking</li> <li>Value as</li></ul>   |             |
| Sequence C   Acknowledgement Details   Acknowledgement Details   Additional Details   Sequence C   Additional Details   Settement Details   Settement Details   Settement Details   Settement Details   Page 1 (0 of 0 items)   < < 1 > )   Settement Details   Settement Details   Page 1 (0 of 0 items)   < < 1 > )   Settement Details   Settement Details   Settement Details   Settement Details   Settement Details   V   Page 1 (0 of 0 items)   < < 1 > )  | Screen(6/10 |
| Acknowledgement Details   Acknowledgement Details   Additional Fields   Additional Details   Settlement Details   Settlement Details   Settlement Details   Page 1 (0 of 0 tiems) k 《 1 > >1   Y   Y   Settlement Details   Settlement Details   Page 1 (0 of 0 tiems) k 《 1 > >1   Y  |             |
| Acknowledgement Details     Additional Fields     Additional Details     Additional Details     Settlement Details     Settlement Details     Sammary     Page 1 (0of 0 ltems) K (1) )     V (1) )   | 0           |
| Additional Fields Amendment Snapshot Additional Details Settement Details Summary Page 1 (0 of 0 items)  ( ( 1 ) ) Amended Value Amended Value V Sequence C Additional Details Additiona | •           |
| Amendment Snapshot       Page 1 (0 of 0 litems)   ( ( 1 ) > )          Advices       > Sequence C         Additional Details       Field Name 0 Amended Value 0 Value as per Undertaking         Settlement Details       No data to display.         Summary       Page 1 (0 of 0 litems)   ( ( 1 ) > )         Page 2 ( 1 ) > )       Page 2 ( 1 ) > )   |             |
| Advices <ul> <li>Field Name</li> <li>Amended Value</li> <li>Value as per Undertaking</li> <li>Value as per Undert</li></ul>  |             |
| Addies       Field Name <ul> <li>Amended Value</li> <li>Value as per Undertaking</li> </ul> Settlement Details         No data to display.           Summary         Page 1 (0 of 0 items)   < <ul> <li>I</li> <li>Party Details</li> </ul>  |             |
| Settlement Details No data to display. Summary Page 1 (0 of 0 items) K ( 1 ) )  Party Details  |             |
| Summary Page 1 (0 of 0 items)  < 4 1 >>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>  | 0           |
| Party Details  |             |
|  |             |
|  |             |
|  |             |
|  |             |
|  | +           |
| Party Type © Party ID © Customer Name © Customer Ref No © Address 1 © Address 2 © Country © Status © Vie   | Changes 0   |
| Applicant         001044         GOODCARE PLC         3434353464         12 King         GB         Modify         Vir   |             |
| Page 1 of 1 (1 of 1 items)  < (1 ) > )   |             |
|  |             |

#### Figure 2-13 Amendment Snapshot

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

Table 2-17 Amendment Snapshot - Field Description

| Field                    | Description   |
|--------------------------|---|
| Sequence B               |   |
| Field Name               | Displays the fields that are amended.                             |
| Amended Value            | Displays the Guarantee /SBLC value before amendment.              |
| Value as per Undertaking | Displays the Guarantee /SBLC new amendment value after amendment. |
| Sequence C               |   |
| Field Name               | Displays the fields that are amended.                             |
| Amended Value            | Displays the Guarantee /SBLC value before amendment.              |
| Value as per Undertaking | Displays the Guarantee /SBLC new amendment value after amendment. |

#### 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.

| <b>Table 2-18</b> | Amendment Snapshot - Action Buttons - Field Description |
|-------------------|---|
|-------------------|---|

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



| Field                 | Description  |
|-----------------------|--|
| Documents             | Click to View/Upload the required document.  |
|                       | <ul> <li>Application displays the mandatory and optional documents.<br/>The user can view and input/view application details<br/>simultaneously.</li> <li>When a user clicks on the uploaded document, Document<br/>window get opened and on clicking the view icon of the<br/>uploaded document, Application screen should get split into<br/>two. The one side of the document allows to view and on the<br/>other side allows to input/view the details in the application</li> </ul> |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  |
|                       | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides             | Click to view the overrides accepted by the user.  |
| Customer Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>                     |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT767<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |
| Signatures            | <ul> <li>Click the Signature button to verify the signature of the customer/<br/>bank if required.</li> <li>The user can view the Customer Number and Name of the signatory<br/>Signature image and the applicable operation instructions if any<br/>available in the back-office system.</li> <li>If more than one signature is available, system should display all the</li> </ul>   |
| Request Clarification | Signatures.<br>Clicking this button allows the user to submit the request for<br>clarification to the "Trade Finance Portal" for the transactions that are<br>initiated offline.   |

| Table 2-10 (Cont.) Amendment Shapshot - Action Buttons - Licit Description | Table 2-18 | (Cont.) Amendment Snapshot - Action Buttons - Field Description | 1 |
|--|------------|---|---|
|--|------------|---|---|



| Field        | Description  |
|--------------|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|              | Reject Codes are:  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer        | Select a Refer Reason from the values displayed by the system.   |
|              | Refer Codes are:   |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
| 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       | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-18 (Cont.) Amendment Snapshot - Action Buttons - Field Description

# 2.3.7 Advices

This topic provides the systematic instructions to capture the advices details of Guarantee Amendment process.

This section defaults the advices maintained for the product based on the advices maintained at the Product level.

1. On **Advices** screen, click <sup>6</sup>/<sub>2</sub> on any advice tile to view the advice details.

| Guarantee Amendr        | nent DataEnrichment :: Application  |   | Clarification Details | Documents | Remarks      | Overrides | Custon   | ner Instruction | :: ×        |
|-------------------------|---|---|-----------------------|-----------|--------------|-----------|----------|-----------------|-------------|
| No:- PK2GTEA000         | 061727  |   |                       | Inco      | ming Message | View Unde | ertaking | Signatures      |             |
| Main                    | Advices   |   |                       |           |              |           |          |                 | Screen(7/10 |
| Sequence B (Continued)  | Advice : AMD_IMP_CR   | Advice -  | LC_CASH_COL_ADV       |           | 0            |           |          |                 |             |
| Sequence C              |   |   |                       | 01/       | •            |           |          |                 |             |
| Acknowledgement Details | Advice Name : AMD_IMP_CR<br>Advice Party : APP<br>Party Name : GOODCARE PLC           | Advice Na<br>Advice Pa<br>Party Nan             | rty : APP             | DV        |              |           |          |                 |             |
| Additional Fields       | Suppress Advice : YES   |   | Advice :YES           |           |              |           |          |                 |             |
| Amendment Snapshot      |   |   |                       |           |              |           |          |                 |             |
| Advices                 |   | )   |                       |           |              |           |          |                 |             |
| Additional Details      | Advice : TRADE_ENVELOPE   | Advice :  | GUA_AMD_INSTR         |           | 00           |           |          |                 |             |
| Settlement Details      | Advice Name : TRADE_ENVELOPE<br>Advice Party : APP                                    | Advice Na<br>Advice Pa                          |                       | 2         |              |           |          |                 |             |
| Summary                 | Party Name : GOODCARE PLC<br>Suppress Advice : NO                                     | Party Nan                                       |                       |           |              |           |          |                 |             |
|                         | Advice : GUAR_RELEASE   | Advice :  | PAYMENT_MESSAGE       |           | 0            |           |          |                 |             |
|                         | Advice Name : GUAR_RELEASE<br>Advice Party :<br>Party Name :<br>Suppress Advice : YES | Advice Na<br>Advice Pa<br>Party Nan<br>Suppress | rty :                 | AGE       |              |           |          |                 |             |
| Audit                   |   |   | Request Clarification | Reject Re | fer Hold     | Cancel    | Sav      | ve & Close      | Back N      |

#### Figure 2-14 Advices

#### **Advice Details**

| uppress Adv | Details<br>ice  | Advice Name             | Medium |        | Advice Party |          |
|-------------|-----------------|-------------------------|--------|--------|--------------|----------|
|             |                 | GUARANTEE               | SWIFT  | -      | АВК          |          |
| arty ID     |                 | Party Name              |        |        |              |          |
| 001041      |                 | WELLS FARGO             |        |        |              |          |
| FFT Code    | FFT Description |                         |        |        |              | Action 0 |
| FREEVP      | FFT Description |                         |        |        | ß            | Action ≎ |
|             | TESTING FFT     |                         |        |        | ß            |          |
| FREEVP      | TESTING FFT     | Instruction Description |        | Edit ¢ |              | ∥⊡       |

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

#### Table 2-19 Advice Details

| Field           | Description   |
|-----------------|---|
| Suppress Advice | Enable this option to suppress the advice.<br>Disable this option if suppress advice is not required. |



| Medium       The medium         Advice Party       The medium         User can u       User can u         Party ID       Value be de         User can u       User can u         Party Name       Read only fi         FTT Code       Specify the Click plus ic         FTT Code       Click Search         FFT Description       FFT description | dvice name.<br>n of advices is defaulted from the system.<br>n of advices is defaulted from the system.<br>update, if required.<br>faulted from Guarantee Advise.<br>update, if required. |
|---|---|
| Medium       The medium         Advice Party       The medium         User can u       User can u         Party ID       Value be de         User can u       User can u         Party Name       Read only fi         FTT Code       Specify the Click plus ic         FTT Code       Click Search         FFT Description       FFT description | n of advices is defaulted from the system.<br>In of advices is defaulted from the system.<br>Inpdate, if required.<br>faulted from Guarantee Advise.<br>Inpdate, if required.             |
| Advice PartyThe medium<br>User can uParty IDValue be de<br>User can uParty NameRead only fi<br>Value be dFTT CodeSpecify the<br>Click plus icFTT CodeClick SearchFFT DescriptionFFT description   | n of advices is defaulted from the system.<br>Ipdate, if required.<br>faulted from Guarantee Advise.<br>Ipdate, if required.  |
| Party ID       User can u         Party ID       Value be de         User can u       User can u         Party Name       Read only fi         Value be d       Value be d         FTT Code       Specify the Click plus ic         FTT Code       Click Search         FFT Description       FFT description                                     | rpdate, if required.<br>faulted from Guarantee Advise.<br>pdate, if required.   |
| Party ID       Value be de         User can u       User can u         Party Name       Read only fi         Value be d       Value be d         FTT Code       Specify the Click plus ic         FTT Code       Click Search         FFT Description       FFT description   | faulted from Guarantee Advise.  |
| Party Name       Read only fi         Value be d         FTT Code       Specify the Click plus ic         FTT Code       Click Search         FFT Description       FFT description   | pdate, if required.   |
| Party Name       Read only fi         Value be d       Value be d         FTT Code       Specify the Click plus ic         FTT Code       Click Search         FFT Description       FFT description  |   |
| FTT Code     Specify the Click plus ic       FTT Code     Click Search       FTT Code     Click Search       FFT Description     FFT description  | ald   |
| FTT Code     Specify the Click plus ic       FTT Code     Click Search       FTT Description     FFT description  | eiu.  |
| Click plus ic         FTT Code       Click Searcl         FFT Description       FFT description   | efaulted from Guarantee Advise.   |
| FTT Code         Click Search           FFT Description         FFT description   | FTT Code details.<br>on to add new FFT code.  |
| FFT Description FFT descrip   |   |
| · · · ·   | h to search and select the FFT Code.  |
|   | tion is populated based on the FFT code selected.   |
|   | on to edit the existing FFT description.  |
| Action Click delete   | icon to remove any existing FFT code.   |
| Click edit id   | con to edit the existing FFT code.  |
| Instructions Click plus ic  | on to add new instruction code.   |
| Instruction Code Click Search   | h to search and select the instruction Code.  |
| Instruction Description Instruction of selected.  | lescription is populated based on the instruction code  |
| Click edit icc  | on to edit the existing instruction description.  |
| Action Click delete   |   |
| Click edit id   | icon to remove any existing instruction code.   |

### Table 2-19 (Cont.) Advice Details

2. Click Next.

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

Table 2-20 Advices - Action Buttons - Field Description

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



| Field                 | Description  |
|-----------------------|--|
| Documents             | Click to View/Upload the required document.  |
|                       | <ul> <li>Application displays the mandatory and optional documents.<br/>The user can view and input/view application details<br/>simultaneously.</li> <li>When a user clicks on the uploaded document, Document<br/>window get opened and on clicking the view icon of the<br/>uploaded document, Application screen should get split into<br/>two. The one side of the document allows to view and on the<br/>other side allows to input/view the details in the application</li> </ul> |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  |
|                       | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides             | Click to view the overrides accepted by the user.  |
| Customer Instruction  | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>                     |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT767<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |
| Signatures            | <ul> <li>Click the Signature button to verify the signature of the customer/<br/>bank if required.</li> <li>The user can view the Customer Number and Name of the signatory<br/>Signature image and the applicable operation instructions if any<br/>available in the back-office system.</li> <li>If more than one signature is available, system should display all the</li> </ul>   |
|                       | signatures.  |
| Request Clarification | Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.  |

# Table 2-20 (Cont.) Advices - Action Buttons - Field Description

| Field        | Description  |
|--------------|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|              | Reject Codes are:  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer        | Select a Refer Reason from the values displayed by the system.   |
|              | Refer Codes are:   |
|              | <ul><li>R1- Documents missing</li><li>R2- Signature Missing</li></ul>  |
|              | <ul> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
| 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       | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-20 (Cont.) Advices - Action Buttons - Field Description

# 2.3.8 Additional Details

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

In the Additional details section, Guarantee /Standby amendment can have impact on the Limits and Collaterals section.

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

For non-financial and narrative field amendments, the Limits and Collaterals screen will be read only. User cannot make changes.

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

| Guarantee Amendr        | ment DataEnrichment :: Applie                                   | cation               |   | Clarification Deta | ils Docume              | ents Remarks     | Overrides | Custon   | ner Instruction | :: ×       |
|-------------------------|---|----------------------|---|--------------------|-------------------------|------------------|-----------|----------|-----------------|------------|
| No:- PK2GTEA000         | 005391  |                      |   |                    |                         | Incoming Message | View Und  | ertaking | Signatures      | ,, X       |
| Main                    | Additional Details  |                      |   |                    |                         |                  |           |          |                 | Screen(8/1 |
| Sequence B (Continued)  | Limit & Collateral  | Charge Detail        |   | 8                  | Preview Me              | ssage            | 000       |          |                 |            |
| Sequence C              |   |                      |   |                    |                         | -                | 0         |          |                 |            |
| Acknowledgement Details | Contribution Currency:<br>Contribution Amount :<br>Limit Status | Charge<br>Commission | : |                    | Language<br>Preview Mes | : Eng<br>sage :- |           |          |                 |            |
| Additional Fields       | Collateral Currency : GBP<br>Collateral Contributior:           | Tax<br>Block Status  | : |                    |                         |                  |           |          |                 |            |
| Amendment Snapshot      | Collateral Status : Not Verified<br>Deposit Linkage Curre:      |                      |   |                    |                         |                  |           |          |                 |            |
| Advices                 | Deposit Linkage Amou:   | harrent              |   |                    |                         |                  |           |          |                 |            |
| Additional Details      |   |                      |   |                    |                         |                  |           |          |                 |            |
| Settlement Details      |   |                      |   |                    |                         |                  |           |          |                 |            |
| Summary                 |   |                      |   |                    |                         |                  |           |          |                 |            |
|                         |   |                      |   |                    |                         |                  |           |          |                 |            |
|                         |   |                      |   |                    |                         |                  |           |          |                 |            |
|                         |   |                      |   |                    |                         |                  |           |          |                 |            |
|                         |   |                      |   |                    |                         |                  |           |          |                 |            |
|                         |   |                      |   |                    |                         |                  |           |          |                 |            |

#### Figure 2-15 Additional Details

#### Limits and Collaterals

There is change in limits, if the below fields were amendment.

- Increase in Amount
- Increase in Expiry Date

The additional details are displayed as tile. The tiles displays a list of important fields with values. User will be able to drill down from tiles into respective data segments. User can select the tile, an update the respective details.

#### Figure 2-16 Limits and Collaterals

| D O                                 | Linkage<br>Type       | Liability<br>Number                      | C Line I<br>Ref N | d/Linkage<br>o   | Line<br>Serial | ٥                   | Contrib<br>% | ution 🗘                | Contribu<br>Currence |                         |                      | Amount to<br>Earmark | ٥                     | Limit Check<br>Response | ٥                   | Respon<br>Messag |      | ٥      | View |
|-------------------------------------|-----------------------|--|-------------------|------------------|----------------|---------------------|--------------|------------------------|----------------------|-------------------------|----------------------|----------------------|-----------------------|-------------------------|---------------------|------------------|------|--------|------|
| No data to displ                    | lay.                  |  |                   |                  |                |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        |      |
|                                     |                       |  |                   |                  |                |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        | ,    |
|                                     |                       |  |                   |                  |                |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        |      |
| ash Collatera<br>Dilateral Percenta |                       |  |                   | Collateral       | Currency       | / and amo           | unt          |                        |                      |                         | Exchan               | ge Rate              |                       |                         |                     |                  |      |        |      |
| 20.0                                | ~                     | ^  |                   | GBP              | v              |                     | £            | 22.00                  |                      |                         | 1.0                  |                      |                       |                         |                     |                  |      |        |      |
|                                     |                       |  |                   |                  |                |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        | +    |
| iequence 0<br>lumber                | Settlement<br>Account | <ul> <li>Settleme<br/>Account</li> </ul> |                   | Exchange<br>Rate |                | ollateral<br>plit % | ٥            | Contribution<br>Amount | 0                    | Contribut<br>in Accourt | ion Amo<br>nt Curren | ount<br>cy ≎         | Account E<br>Check Re | Balance<br>sponse       | Response<br>Message | ٥                | Edit | Delete | 0    |
|                                     |                       |  |                   |                  | 1              | 00                  |              |                        | 22                   |                         |                      |                      | VN                    |                         |                     |                  | 1    | 団      |      |
|                                     |                       |  |                   |                  | -              |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        | •    |
| Deposit Lin                         | kage Details          |  |                   |                  |                |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        |      |
|                                     |                       |  |                   |                  |                |                     |              |                        |                      |                         |                      |                      |                       |                         |                     |                  |      |        | +    |
|                                     |                       |  |                   |                  |                |                     | ncy ≎        |                        |                      | Transactio              |                      |                      |                       | nount(Transact          |                     |                  |      | Delete |      |

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.

| Customer ld                       |   | Linkage Type           |                  |   |
|-----------------------------------|---|------------------------|------------------|---|
| 001044                            | Q | Facility               | •                | ] |
| Contribution %                    |   | Liability Number       |                  |   |
| 100.0 🗸                           | ^ | 001044                 | Q                |   |
| Contribution Currency             |   | Line Id/Linkage Ref No |                  |   |
| USD                               |   | 001044_US              | Q                |   |
| Limit/Liability Currency          |   | Limits Description     |                  |   |
|                                   |   |                        |                  |   |
| USD                               |   |                        |                  |   |
|                                   |   | Amount to Earmark      |                  |   |
|                                   |   | Amount to Earmark      | \$10.00          | ] |
| Limit Check Response<br>Available |   | Amount to Earmark      | \$10.00          | ] |
| Limit Check Response              |   | Limit Available Amount | \$10.00          | ] |
| Limit Check Response<br>Available |   | Limit Available Amount | \$999,378,010.18 | ] |

Figure 2-17 Limit Details

| Total Collateral Amount          |         | Collateral Amount to be Collected |        |  |  |  |
|----------------------------------|---------|-----------------------------------|--------|--|--|--|
|                                  | £20.00  |                                   | £20.00 |  |  |  |
| Sequence Number                  |         | Collateral Split %                |        |  |  |  |
| 1.0                              |         | 100.0                             | ~ ^    |  |  |  |
| Collateral Contrubution Amount   |         | Settlement Account                |        |  |  |  |
|                                  | £20.00  | PK20010440016                     | Q      |  |  |  |
| Settlement Account Currency      |         | Exchange Rate                     |        |  |  |  |
| GBP                              |         | 1.0                               |        |  |  |  |
| Contribution Amount in Account C | urrency | Account Available Amount          | t      |  |  |  |
|                                  | £20.00  |                                   |        |  |  |  |
| Response                         |         | Response Message                  |        |  |  |  |
| VN                               |         |                                   |        |  |  |  |
| Verify                           |         |                                   |        |  |  |  |
|                                  |         |                                   |        |  |  |  |

Figure 2-18 Collateral Details



| Customer Id              |                   | Deposit Account       |              |       |
|--------------------------|-------------------|-----------------------|--------------|-------|
| 001044                   | Q                 | PK2CDP122110000       | 03 Q         |       |
| Deposit Branch           |                   | Deposit Available Amo | unt          |       |
| PK2                      |                   | GBP 📼                 | £63,880.34   |       |
| Deposit Maturity Date    |                   | Exchange Rate         |              |       |
| April 20, 2023           |                   | 1                     |              |       |
| Deposit Available In Tra | nsaction Currency | Linkage Percentage %  |              |       |
| GBP 💌                    | 63,880.34         | 67.0                  | ~ ^          |       |
| Linkage Amount(Transa    | ction Currency)   |                       |              |       |
| GBP 💌                    | £67.00            |                       |              |       |
| GRA .                    | £67.00            |                       |              |       |
|                          |                   |                       | Save & Close | Close |

Figure 2-19 Deposit Linkage Details

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

| <b>Table 2-21</b> | Limit Details | - Field Description |
|-------------------|---------------|---------------------|
|-------------------|---------------|---------------------|

| Field         | Description   |
|---------------|---|
| Limit Details | Specify the limit details based on the description of following table.<br>Below fields are displayed on the Limit Details pop-up screen, if the<br>user clicks plus icon. |
|               | Click plus icon to add new limit details.   |
| 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:  |
|               | Facility  |
|               | Liability   |
|               | By default Linkage Type should be <b>Facility</b> .   |

| 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.  |
|                          | 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.  |
|                          | Note:  |
|                          | The collateral % maintained for the customer is defaulted<br>into the Collateral Details screen. If collateral % is not<br>maintained for the customer, then system should default<br>the collateral % maintained for the product. User can<br>modify the defaulted collateral percentage, in which case<br>system should display a override message "Defaulted<br>Collateral Percentage modified.   |
| Liability Number         | Click <b>Search</b> to search and select the Liability Number from the look<br>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 <b>Search</b> to search and select from the various lines available<br>and mapped under the customer id gets listed in the drop-down.<br>LINE ID-DESCRIPTION will be available for selection along with Line<br>ID. When you click on 'verify', the system will return value if the limit<br>check was successful or Limit not Available. If limit check fails, the<br>outstanding limit after the transaction value will be shown in the limit<br>outstanding amount.<br>The user can click the Line Id link to view the limit details. |
|                          | Note:<br>User can also select expired Line ID from the lookup and<br>on clicking the verify button, system should default "The<br>Earmarking cannot be performed as the Line ID is<br>Expired" in the "Response Message" field.  |
|                          | 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 <b>Liability Number</b> .   |
| 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<br>service call response.   |
|                          | The value in this field appears, if you click the <b>Verify</b> button.  |
| Amount to Earmark        | Amount to Earmark amount will default based on the contribution %. User can change the value.  |
| Expiry Date              | This field displays the date up to which the Line is valid.  |

# Table 2-21 (Cont.) Limit Details - Field Description



| Field                                | Description  |
|--------------------------------------|--|
| 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 <b>Verify</b> button.             |
| Response Message                     | This field displays the detailed response message.<br>The value in this field appears, if you click the <b>Verify</b> button.  |
| ELCM Reference Number                | This field displays the ELCM reference number.   |
| Limit Details grid                   | Below fields appear in the <b>Limit Details</b> grid along with the above fields.  |
| Line Serial                          | Displays the serial of the various lines available and mapped under<br>the customer id.<br>This field appears on the Limits grid.  |
| Edit                                 | Click the link to edit the Limit Details.  |
| Cash Collateral Details              | Specify the Cash Collateral details.   |
| Collateral Percentage                | System populates the Collateral % maintained in the Customer /<br>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>System validates for the Override Limit and the Stop limit if defaulted<br>exchange rate is modified.   |
| 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<br>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<br>Collected | Read only field.<br>This field displays the collateral amount yet to be collected as part of<br>the collateral split.  |
| Sequence Number                      | Read only field.<br>The sequence number is auto populated with the value, generated by<br>the system.  |
| Collateral Split %                   | Specify the collateral split% to be collected against the selected settlement account.   |
| Collateral Contribution<br>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 <b>Search</b> to search and select the settlement account for the collateral.  |
| Settlement Account<br>Currency       | Read only field.<br>This field displays the settlement account currency defaulted by the system.   |

Table 2-21 (Cont.) Limit Details - Field Description



| Field                                      | Description   |
|--|---|
| Exchange Rate                              | Read only field.<br>This field displays the exchange rate, if the settlement account<br>currency is different from the collateral currency.   |
| Contribution Amount in<br>Account Currency | Read only field.<br>This field displays the contribution amount in the settlement account<br>currency as defaulted by the system.   |
| Account Available Amount                   | Read only field.<br>System populates the account available amount on clicking the<br><b>Verify</b> button.  |
| Response                                   | Read only field.<br>System populates the response on clicking the <b>Verify</b> button.   |
| Response Message                           | Read only field.<br>System populates the response message on clicking the <b>Verify</b><br>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<br>grid            | Below fields appear in the <b>Cash Collateral Details</b> grid along with the above fields.   |
| Collateral %                               | Specify the percentage of collateral to be linked to this transaction. If<br>the value is more than 100% system will display an alert message.<br>The collateral % maintained for the customer is defaulted into the<br>Collateral Details screen. If collateral % is not maintained for the<br>customer, then system should default the collateral % maintained for<br>the product. User can modify the defaulted collateral percentage, in<br>which case system should display a override message "Defaulted<br>Collateral Percentage modified. |
| Contribution Amount                        | This field displays the collateral contribution amount.<br>The collateral % maintained for the customer is defaulted into the<br>Collateral Details screen. If collateral % is not maintained for the<br>customer, then system should default the collateral % maintained for<br>the product. User can modify the defaulted collateral percentage, in<br>which case system should display a override message "Defaulted<br>Collateral Percentage modified.  |
| Account Balance Check<br>Response          | Read only field.<br>System populates the Account Balance Check Response on clicking<br>the <b>Verify</b> button.  |
| Edit                                       | Click edit link to edit the collateral details.   |
| Account Available Amount                   | This field displays the account available amount which will be auto-<br>populated based on the settlement account selection.  |
| Deposit Linkage Details                    | Specify the Deposit Linkage details.<br>In this section which the deposit linkage details is captured.  |
|  | System should allow the user to Link one or more existing Deposits<br>as a contribution to secure underlying transactions. On Submit of DE<br>stage, system will create Linkage of the Deposit/modification of<br>existing Linkage by calling Back-office system (DDA) system directly  |
|  | Click + plus icon to add new Deposit Linkage details.   |
| Deposit Linkage Details<br>pop-up screen   | Below fields are displayed on the <b>Deposit Linkage Details</b> pop-up screen, if the user clicks plus icon.   |

| Table 2-21 (Co | ont.) Limit Details | - Field Description |
|----------------|---------------------|---------------------|
|----------------|---------------------|---------------------|



| Field  | Description  |
|--|--|
| Customer ID                                  | This field displays the applicant's/applicant bank customer ID defaulted from the application.   |
|  | User can change the customer ID.   |
| Deposit Account                              | Click <b>Search</b> to search and select deposit for linkage from the list of all the customer Deposits.<br>All the Deposits of the customer should be listed in the List of Values 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.  |
| Exchange Rate                                | This field displays the latest exchange rate for deposit linkage.<br>This will be picked up from the exchange rate maintenance from the<br>common core.  |
| Deposit Available In<br>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<br>(Transaction Currency)     | This field displays the transaction amount, user can change the value.   |
| Edit   | Click edit link to edit the deposit linkage details.   |

Table 2-21 (Cont.) Limit Details - Field Description

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

#### **Charge Details**

This section displays charge details. 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.

The system also default the Charges/Commission Party maintained for the customer as per defined Class Maintenance in OBTF. System simulates the Charges, Commission and Tax details from the Back office.

|   | Details                                  |   |  |   |                      |          |                   |       |       |                               |           |         |                         |  |                          |         |
|---|--|---|--|---|----------------------|----------|-------------------|-------|-------|-------------------------------|-----------|---------|-------------------------|--|--------------------------|---------|
| Component   | Rate                                     | Mod. Rate                                   | ссү  | Amo                                     | unt M                | Modified | Defer V           | Waive | Split | Charge Pa                     | ty        |         | Set                     | ttl. Account                               | t O                      | Amend   |
| ASBLC_COMM  |  |   | G<br>₿€  |   | £150.00              |          |                   |       |       | GOODC                         | ARE PLC   |         |                         |  |                          | Yes     |
| Page 1 of 1   |  | ns)  < 4                                    | 1 →  | >                                       |                      |          |                   |       |       |                               |           |         |                         |  |                          |         |
| <ul> <li>Charge Deta</li> </ul>   |  |   |  |   |                      |          |                   |       |       |                               |           |         |                         |  |                          |         |
| Component   | Tag currency                             | Tag Amour<br>5000                           |  | CY<br>S. A                              | Amount               | Modified | Billing           | Defer | Waive | Split                         | Charge Pa | ARE PLC |                         |  | Settl. Account           | \$      |
| LCSWIFTIS   | GBP                                      | 5000  |  | G<br>G<br>G<br>⊕                        | £97.0                |          |                   |       |       |                               |           | ARE PLC |                         |  | PK20010440<br>PK20010440 |         |
| OTHBNKC 🚊   | GBP                                      | 5000  |  | 3 ₹<br>3 €                              | £47.0                |          |                   |       |       |                               |           | ARE PLC |                         |  | PK20010440               |         |
| HG ∓  |  |   | 1  | 3 7                                     | 2 1110               | •        |                   |       |       |                               |           |         |                         |  | 11200101110              |         |
|   | (1-3 of 3 i                              | ems)  < 4                                   | 1 >  | >                                       |                      |          |                   |       |       |                               |           |         |                         |  | Save & C                 | lose Cl |
| Tax Details   | (1-3 of 3 i<br>Туј                       |   |  | > <br>e Date                            | 1                    | ¢        |                   | Amou  |       |                               | lling     | Defer   | Settl. A                |  |                          | lose Cl |
| Tax Details   | Туј                                      | e<br>ITHHOLDIN(                             | ≎ Valu<br>Apri   | e Date<br>1 20, 2                       | 2022                 | ¢        | GBP               | Amou  | £4    | 00.00                         |           |         | PK200                   | 01044001                                   | 7                        |         |
| • Tax Details   | Tyj<br>W                                 | e<br>ITHHOLDIN(                             | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> </ul>               | e Date<br>1 20, 2<br>1 20, 2            | 2022<br>2022         | ¢        | GBP               | Amou  | £4    | 00.00 (<br>£3.76 (            |           |         | PK200                   | 01044001<br>01044001                       | 7                        |         |
| Tax Details   | Tyj<br>W                                 | e<br>ITHHOLDIN(                             | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> </ul>               | e Date<br>1 20, 2                       | 2022<br>2022         | ¢        | GBP               | Amou  | £4    | 00.00 (<br>£3.76 (            |           |         | PK200                   | 01044001                                   | 7                        |         |
| Tax Details<br>component<br>LCTAX<br>LCTAX1<br>LCTAX2   | Tyr<br>W<br>W                            | e<br>ITHHOLDIN(                             | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> </ul>               | e Date<br>1 20, 2<br>1 20, 2            | 2022<br>2022         | 0        | GBP               | Amou  | £4    | 00.00 (<br>£3.76 (            |           |         | PK200                   | 01044001<br>01044001                       | 7                        |         |
| Tax Details<br>component<br>LCTAX<br>LCTAX1<br>LCTAX2   | Tyr<br>W<br>W                            | e<br>ITHHOLDIN(<br>ITHHOLDIN(<br>ITHHOLDIN( | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> </ul>               | e Date<br>1 20, 2<br>1 20, 2            | 2022<br>2022         | ¢        | GBP               | Amou  | £4    | 00.00 (<br>£3.76 (<br>£7.50 ( |           |         | PK200                   | 01044001<br>01044001                       | 7 7 7                    |         |
| • Tax Details   | Tyr<br>M<br>W<br>V<br>V                  | e<br>ITHHOLDIN(<br>ITHHOLDIN(<br>ITHHOLDIN( | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> <li>Apri</li> </ul> | e Date<br>1 20, 2<br>1 20, 2            | 2022<br>2022         | ¢        | GBP               |       | £4    | 00.00 (<br>£3.76 (<br>£7.50 ( |           |         | РК200<br>РК200<br>РК200 | 01044001<br>01044001<br>01044001           | 7 7 7                    |         |
| Tax Details<br>component<br>LCTAX<br>LCTAX1<br>LCTAX2<br>LCTAX2<br>Split Settlemme<br>elect<br>vo data to display | Ty<br>W<br>W<br>W<br>ent                 | e<br>ITHHOLDINK<br>ITHHOLDINK<br>C          | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> <li>Apri</li> </ul> | e Date<br>1 20, 2<br>1 20, 2            | 2022<br>2022         | \$       | GBP               |       | £4    | 00.00 (<br>£3.76 (<br>£7.50 ( |           |         | РК200<br>РК200<br>РК200 | 01044001<br>01044001<br>01044001           | 7 7 7                    |         |
| Tax Details<br>omponent<br>LCTAX<br>LCTAX2<br>LCTAX2<br>LCTAX2<br>Split Settlemm<br>elect<br>ko data to displaya  | Tyr<br>v<br>v<br>ent<br>v.<br>f 0 items) | e<br>ITHHOLDIN(<br>ITHHOLDIN(<br>ITHHOLDIN( | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> <li>Apri</li> </ul> | e Date<br>1 20, 2<br>1 20, 2            | 2022<br>2022         | ¢        | GBP               |       | £4    | 00.00 (<br>£3.76 (<br>£7.50 ( |           |         | РК200<br>РК200<br>РК200 | 01044001<br>01044001<br>01044001           | 7 7 7                    |         |
| Tax Details<br>omponent<br>LCTAX LCTAX  | Tyr<br>v<br>v<br>ent<br>v.<br>f 0 items) | e<br>ITHHOLDINK<br>ITHHOLDINK<br>C          | <ul> <li>Valu</li> <li>Apri</li> <li>Apri</li> <li>Apri</li> </ul> | e Date<br>1 20, 2<br>1 20, 2<br>1 20, 2 | 2022<br>2022<br>2022 |          | GBP<br>GBP<br>GBP |       | £4    | 00.00 (<br>£3.76 (<br>£7.50 ( |           |         | РК200<br>РК200<br>РК200 | 01044001<br>01044001<br>01044001<br>Amount | 7                        | \$      |

### **Split Settlement Details**



| Component           | Amount                                 |
|---------------------|--|
| AILSN_COM1_LIQD_S01 | 122.5                                  |
| Customer            | GL Account                             |
| 001044-APP          | <ul> <li>■</li> </ul>                  |
| Account             | Account Currency                       |
| PK20010440017       | Q GBP                                  |
| Branch              | Percentage                             |
| РК2                 | 50.00                                  |
| Exchange Rate       | Original Exchange Rate                 |
| 1                   | 1                                      |
| Party Type          | Negotiation Reference                  |
| APP                 |  |
| AR-AP Tracking      | Loan/Finance Account                   |
|                     | Ν                                      |
| Negotiation Rate    |  |
|                     |  |
|                     | Save & Close Close Fetch Exchange Rate |

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

 Table 2-22
 Charge Details - Field Description

| Field              | Description  |
|--------------------|--|
| Commission Details | This section displays the commission details.  |
| Component          | This field displays the commission component.  |
| Component          | This field displays the commission component.  |
| Rate               | This field displays the rate that is defaulted from product.<br>The commission rate, if available in Back Office defaults in OBTFPM.<br>The user is able to change the rate.             |
|                    | If flat commission is applicable, then commission amount defaulted<br>from back office is modifiable by the user. Rate field will be blank and<br>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.   |


| Field              | Description   |  |  |  |
|--------------------|---|--|--|--|
| 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<br>The user is able to change the rate, but not the commission amount<br>directly. The amount gets modified based on the rate changed and<br>the new amount is calculated in back office based on the new rate<br>and is populated in OBTFPM.   |  |  |  |
|                    | If flat commission is applicable, then commission amount defaulted<br>from back office is modifiable by the user. Rate field will be blank and<br>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<br>be marked for Billing or Defer.<br>If the defaulted Commission is changed to defer or billing or waive,<br>system must capture the user details and the modification details in<br>the 'Remarks' place holder.   |  |  |  |
| Split              | The user can split the Commission by enabling/ disabling the flag as per the requirement.   |  |  |  |
| Charge Party       | Charge party is 'Applicant' by default. User can change the value to Beneficiary.   |  |  |  |
| Settlement Account | Select the settlement account.  |  |  |  |
| Amend              | The value is auto-populated as the commission can be amended or not.  |  |  |  |
| 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            | <ul> <li>If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.</li> <li>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.</li> <li>The user can not enable/disable the option, if it is de-selected by default.</li> </ul> |  |  |  |
|                    | default.<br>This field is disabled, if 'Defer' toggle is enabled.   |  |  |  |

## Table 2-22 (Cont.) Charge Details - Field Description



| Field              | Description  |
|--------------------|--|
| 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.                             |
|                    | The user can enable/disable the option the check box. On de-<br>selection the user has to click on 'Recalculate' charges button for re-<br>simulation.   |
| Waive              | Enble the toggle, if charges has to be waived.<br>Based on the customer maintenance, the charges should be marked<br>for Billing or for Defer.   |
|                    | This field is disabled, if <b>Defer</b> toggle is enabled.   |
| Split              | The bank User can split the Charges/Commission by enabling/<br>disabling the flag as per the requirement.  |
| 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<br>defaults if maintained at product level. User cannot update tax details<br>and any change in tax amount on account of modification of charges<br>commission will be available on click of Re-Calculate button or on<br>hand off to back-end system. |
| Component          | This field displays the tax component.   |
| Туре               | This field displays the type of tax component.   |
| Value Date         | This field displays the value date of tax component.   |
| Currency           | This field displays the currency in which the tax have to be collected.<br>The tax currency is the same as the commission.   |
| Amount             | This field displays the tax amount based on the percentage of commission maintained.<br>You can edit the tax amount, if applicable.  |
| Billing            | If taxes are handled by separate billing engine, then by selecting<br>billing the details to be available for billing engine for further<br>processing.<br>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.<br>The user can enable/disable the option the check box. On deselection the user has to click on 'Recalculate' charges button for resimulation.  |
| Settlement Account | System defaults the settlement account.<br>The user can modify the settlement account.   |
| Split Settlement   | This section displays the <b>Split Settlement</b> details.<br>Once the user clicks on the Recalculate button to fetch the Split<br>Settlement details from Backoffice, new section "Split Settlement" wil<br>appear below the 'Tax' section. The default parties in Split row should<br>be fetched from OBTF.  |
| Component          | The split component type eligible for Split .  |
| Currency           | The currency of split settlement.  |

## Table 2-22 (Cont.) Charge Details - Field Description



| Field                    | Description  |
|--------------------------|--|
| Amount                   | The amount of split settlement.  |
| Split Settlement Details | This section displays the <b>Split Settlement Details</b> details.<br>Split Settlement details section appears from Back office, when the<br>user clicks on the Recalculate button.    |
| Seqence                  | The sequence number is auto populated with the value, generated by the system.   |
| Component                | The split component type eligible for Split.   |
| Amount                   | The system splits the respective Charge/Commission amount<br>automatically between counter party and third party with 50% value<br>by default.<br>The bank user can modify the amount. |
|                          | More than two splits are not allowed.  |
| Customer                 | Indicates the ID of the Customer in Split Settlement Details section.  |
| Account                  | The system defaults the settlement account.<br>User can modify the settlement account. System initiates a call to<br>common core tables within OBTFPM to select the account.           |
| Account Currency         | This field defaults the currency of the account.   |
| Branch                   | Indicates the branch of the customer where transaction is getting processed.   |
| Percentage               | The system splits the respective Charge/Commission percentage automatically between counter party and third party with 50% value by default.<br>More than two splits are not allowed.  |
|                          | The bank user can modify the amount.   |
|                          | The system should validate that the total percentage of each component doesn't exceed 100 and the total amount of each component doesn't exceed total component amount.                |
| Exchange Rate            | System populates the exchange rate maintained.   |
| Original Exchange Rate   | System displays the Original Exchange Rate as simulated in split settlement details section.   |
| Party Type               | System displays the party type in split settlement details section.  |
| Negotiation Reference    | Specify the negotiation reference number.  |
| AR-AP Tracking           | Indicates to defer the charge/ commission in Split Settlement Details section.<br>The user can modify the AR-AP Tracking flag as per the requirements.                                 |
| Loan/Finance Account     | Displays the loan account.   |
| Negotiation Rate         | Specify the negotiation rate.  |

#### Table 2-22 (Cont.) Charge Details - Field Description

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

#### **Preview Mesage**

The bank user can view a preview of the outgoing SWIFT message and advise simulated from back office.

The OBTFPM user can send the draft of the message to the registered email id of the corporate customer as an attachment containing PDF. The PDF sent to the corporate customer is protected by a password. Password to be generated with first four digits of

### Customer Name and last four digits of Customer Number.

| Preview - SWIFT Message anguage     Message Type     Language     Advice Type     lessage Status     Repair Reason     Message Status     Repair Reason     lessage Status   |   |               |   |               |        |
|--|---|---------------|---|---------------|--------|
| Anguage Message Type Language Advice Type Language Repair Reason Repair  | Preview Message                             |               |   |               |        |
| Itessage Status     Repair Reason        Repair Reason     Repair Reason     Preview Message     Preview Message     Preview Message   | <ul> <li>Preview - SWIFT Message</li> </ul> | 2             | <ul> <li>Preview - Mail Advice</li> </ul> |               |        |
| Iessage Status Repair Reason R | anguage                                     | Message Type  | Language                                  | Advice Type   |        |
| review Message Preview Message   |   | •             | •   | •             |        |
|  | lessage Status                              | Repair Reason | Message Status                            | Repair Reason |        |
|  |   |               |   |               |        |
|  |   |               |   |               |        |
|  | review Message                              |               | Preview Message                           |               |        |
|  |   |               |   |               |        |
|  |   |               |   |               |        |
|  |   |               |   |               |        |
|  |   |               |   |               |        |
|  |   |               |   |               |        |
| Tana 6 Gara  |   |               |   |               |        |
| Tana 6 Gara  |   |               |   |               |        |
| Even & Charle  |   |               |   |               |        |
| Shire & Chara  |   |               |   |               |        |
|  |   |               |   | Save & C      | lose C |

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

 Table 2-23
 Preview Message - Field Description

| Field                 | Description   |
|-----------------------|---|
| Preview SWIFT Message | This section displays the <b>Preview SWIFT Message</b> details.<br>Based on the guarantee amendment captured in the previous<br>screen, the preview message simulated from the back office and the<br>user can view the message.                |
| Language              | Read only field.<br>The language to preview the draft guarantee details.<br>English is set as default language for the preview.   |
| Message Type          | Select the message type from the drop down.   |
| Message Status        | Read only field.<br>Display the message status of draft message of guarantee details.   |
| Repair Reason         | Read only field.<br>Display the message repair reason of draft message of guarantee<br>details.   |
| Preview Message       | This field displays a preview of the draft message.<br>Based on the guarantee text captured in the previous screen,<br>guarantee draft is generated in the back office and is<br>displayed in this screen.                                      |
| Preview - Mail Device | This section displays the <b>Preview - Mail Device</b> details.<br>Based on the guarantee amendment captured in the previous<br>screen, the preview message-mail advice is simulated from the back<br>office and the user can view the message. |
| Language              | Read only field.<br>The language for the advice message.<br>English is set as default language for the preview.   |
| Advice Type           | Select the advice type.   |



| Field                          | Description   |
|--------------------------------|---|
| Field                          | Description   |
| Message Status                 | Read only field.<br>Display the message status of draft message of guarantee details.   |
| Repair Reason                  | Read only field.<br>Display the message repair reason of draft message of guarantee<br>details.   |
| Preview Message                | This field displays a preview of advice.  |
| Draft Confirmation             | This section displays the <b>Draft Confirmation</b> details.<br>If the guarantee amendment message is to be approved by the<br>customer before issue, then the user has to select the option for draft<br>confirmation. |
| Draft Confirmation<br>Required | This toggle enables the user to select if draft confirmation is required<br>or not.<br>Following fields will have values on receipt of customer response.   |
| Customer Response              | User can enter the response received from customer. If the response is received online, the response is auto populated in this field by the system.   |
| Customer Remarks               | Remarks from the customer for the draft.  |
| Response Date                  | Customer Response received date.  |
| Customer Email ID 1            | Default email address of the customer.<br>System fetches the Email ID from Customer Address maintenance in<br>Back office and auto populates the available Email ID.  |
| Customer Email ID 2            | By default this field is blank.<br>User can search and select the Email ID from lookup from the<br>Customer Email Address field of the customer maintenance in Back<br>Office and replicated in OBTFPM.                 |
| Legal Verification             | Specify the Legal Verification details.   |
| Legal Verification<br>Required | Enable the toggle, if the guarantee amendment message has to be verified and approved by Legal department before issue.   |
| Legal Response                 | User can enter the legal response.  |
| Legal Remarks                  | Displays the legal remarks entered by the user.   |
| Verification Date              | Displays the legal verification date.   |

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

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

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

| Field                 | Description  |
|-----------------------|--|
| Documents             | to View/Upload the required document.  |
|                       | Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.<br>When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the<br>uploaded document, Application screen should get split into<br>two. The one side of the document allows to view and on the<br>other side allows to input/view the details in the application       |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  |
|                       | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides             | to view the overrides accepted by the user.  |
| Customer Instructions | <ul> <li>to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT761 to allow parsing of MT 760 along with MT761(up to 7) messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |
| View Undertaking      | ing this button allows the user to view the undertaking details.   |
| Signatures            | <ul> <li>the Signature button to verify the signature of the customer/ bank if required.</li> <li>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.</li> <li>If more than one signature is available, system should display all the</li> </ul>   |
| Request Clarification | signatures.<br>ing this button allows the user to submit the request for clarification t<br>the "Trade Finance Portal" for the transactions that are initiated   |

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



| Field        | Description  |
|--------------|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|              | Reject Codes are:  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer        | Select a Refer Reason from the values displayed by the system.   |
|              | Refer Codes are:   |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
| 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       | 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         | ing on Back button, takes the user to the previous screen.   |
| Next         | On click of Next, system validates if all the mandatory fields have<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

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

## 2.3.9 Settlement Details

This topic provides the systematic instructions to capture the settlement details of Guarantee Amendment request.

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

| No:- PK2GTEA000064758   |                 |            |                |            |                       | Incoming Message   | View Undertaking  | Signatures  | gnatures  |  |
|-------------------------|-----------------|------------|----------------|------------|-----------------------|--------------------|-------------------|-------------|-----------|--|
| Main                    | Settlement Det  | ails       |                |            |                       |                    |                   |             | Screen(9) |  |
| Sequence B (Continued)  |                 |            |                |            |                       |                    |                   |             |           |  |
| Sequence C              |                 |            |                |            |                       |                    |                   |             |           |  |
| Acknowledgement Details | ✓ Settlement De | tails      |                |            |                       |                    |                   |             |           |  |
|                         | Component 0     | Currency O | Debit/Credit 0 | Account 0  | Account Description 0 | Account Currency 0 | Netting Indicator | Current Eve | nt 0      |  |
| Additional Fields       | component       | currency 0 | Debit/Credit   | Account    |                       |                    | -                 | Current Eve | nu v      |  |
| Amendment Snapshot      | AGUIR_COM1_L    | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
| Advices                 | AGUIR_COM1_L    | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
| Additional Details      | AGUIR_COMM      | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
|                         | AGUIR_COMM      | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
| Settlement Details      | ARC1_LIQD       | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
| Summary                 | AVL_SET_LCAMT   | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
|                         | AVL_SET_LCAM    | GBP        | Credit         | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |
|                         | CLAIM_CUST_A    | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | Yes         |           |  |
|                         | CLAIM_CUST_A    | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | Yes         |           |  |
|                         | CLAIM_SETTLE    | GBP        | Credit         | PK20010410 | WELLS FARGO LA        | USD                | No                | Yes         |           |  |
|                         | COLLAMT OSED    | GBP        | Debit          | PK2001044  | GOODCARE PLC          | GBP                | No                | No          |           |  |

#### Figure 2-20 Settlement Details

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

 Table 2-25
 Settlement Details – Field Description

| Field               | Description  |
|---------------------|--|
| Current Event       | Select the check box to populate the settlement details of the current<br>event associated with the task. On De-selecting the check box, the<br>system list all the accounts under the settlement details irrespective<br>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.   |
| 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.   |

2. Click Next.

The task will move to next data segment.

#### Table 2-26 Settlement Details - Action Buttons - Field Description

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



| Field                 | Description  |
|-----------------------|--|
| Documents             | Click to View/Upload the required document.  |
|                       | Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.<br>When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the<br>uploaded document, Application screen should get split into<br>two. The one side of the document allows to view and on the<br>other side allows to input/view the details in the application             |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  |
|                       | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides             | Click to view the overrides accepted by the user.  |
| Customer Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT767<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |
| Signatures            | <ul> <li>Click the Signature button to verify the signature of the customer/<br/>bank if required.</li> <li>The user can view the Customer Number and Name of the signatory<br/>Signature image and the applicable operation instructions if any<br/>available in the back-office system.</li> <li>If more than one signature is available, system should display all the</li> </ul>   |
|                       | signatures.  |
| Request Clarification | Clicking this button allows the user to submit the request for<br>clarification to the "Trade Finance Portal" for the transactions that are<br>initiated offline.  |

## Table 2-26 (Cont.) Settlement Details - Action Buttons - Field Description



| Field        | Description  |
|--------------|--|
| Reject       | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|              | Reject Codes are:  |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|              | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer        | Select a Refer Reason from the values displayed by the system.   |
|              | Refer Codes are:   |
|              | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
| 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       | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment. |

#### Table 2-26 (Cont.) Settlement Details - Action Buttons - Field Description

## 2.3.10 Summary

This topic provides the systematic instructions to view the summary of Guarantee Amendment request.

User can review the summary of details updated in Data Enrichment stage of Guarantee Amendment request.

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

**1.** On **Summary** screen, click  $\stackrel{\circ}{\circ}$  on any tile to view the details.

| Sequence B (Continued)   | Summary  |  | View Undertaking Signature          | es<br>Screen( |
|--------------------------|--|--|-------------------------------------|---------------|
| Sequence B (Continued)   | Summary  |  |                                     |               |
| j sequence b (continued) |  |  |                                     | Screen        |
|                          | Main   | Sequence B (Continued)                   | Sequence C                          |               |
| Sequence C               | SBLC/Guarantee Type : PGDO   | Collection by : BENE                     | Collection by :                     |               |
| Acknowledgement Det      | Submission Mode : Online   | Delivery of Original : COLL<br>Amendment | Delivery of Original :<br>Amendment |               |
| Additional Fields        | Date of Issue : 2022-04-20   | Amenament                                | Amenoment                           |               |
| Amendment Snapshot       |  |  |                                     |               |
| Advices                  |  |  |                                     |               |
| Additional Details       |  |  |                                     |               |
| Settlement Details       |  |  |                                     |               |
| Summary                  | Acknowledgement Details  | Additional Fields                        | Amendment Snapshot                  |               |
|                          | Account Identification :<br>Acknowledgement date :2022-04-20<br>Amount :<br>Currency : | Click here to view Additional : fields   | Click here to see amended : details |               |

#### Figure 2-21 Summary

Tiles Displayed in Summary

- Main Details User can view the application and Guarantee details. User can modify the details if required.
- Sequence B(Continued) User can view the details of the sequence B message if any.
- Sequence C User can view the details of the sequence C message if any.
- Acknowledgement Details User can view the acknowledgement details.
- Additional Fields User can view the details of additional fields, if any.
- Amendment Snapshot User can view the comprehensive fields amended with the previous value and new amended value.
- Advices User can view the advices details.
- Limits and Collaterals User can view limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes User can view the commission, charges and taxes details. User can modify the details if required.
- Preview Messages User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Settlement Details User can view the settlement details.
- 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 party details like beneficiary, advising bank etc.
- 2. Click Submit.

The task will move to next logical stage.

| Table 2-27 | Summary - Action Buttons - Field Description |
|------------|--|
|------------|--|

| Field                 | Description   |
|-----------------------|---|
| Clarification Details | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.   |
| Documents             | Click to View/Upload the required document.   |
|                       | Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.<br>When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the<br>uploaded document, Application screen should get split into<br>two. The one side of the document allows to view and on the<br>other side allows to input/view the details in the application              |
| Remarks               | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.<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 Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>Click to allow parsing of MT 760 along with MT761(up to 7)<br>messages together to create a Guarantee Issuance.   |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).   |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.   |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task   |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.   |



| Field                 | Description   |
|-----------------------|---|
| Signatures            | Click the Signature button to verify the signature of the customer/<br>bank if required.<br>The user can view the Customer Number and Name of the signatory<br>Signature image and the applicable operation instructions if any<br>available in the back-office system. |
|                       | If more than one signature is available, system should display all the signatures.  |
| Request Clarification | Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.   |
| Reject                | On click of Reject, user must select a Reject Reason from a list displayed by the system.   |
|                       | Reject Codes are:   |
|                       | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> </ul>  |
|                       | <ul> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>  |
|                       | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.  |
| Refer                 | Select a Refer Reason from the values displayed by the system.  |
|                       | Refer Codes are:  |
|                       | R1- Documents missing   |
|                       | R2- Signature Missing   |
|                       | R3- Input Error   |
|                       | R4- Insufficient Balance/Limits   |
|                       | 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.  |
|                       | 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<br>been captured. Necessary error and override messages to be<br>displayed. On successful validation, system moves the task to the<br>next data segment.  |

#### Table 2-27 (Cont.) Summary - Action Buttons - Field Description

# 2.4 Legal Verification

The Legal verification stage allows the user to review and approved the guarantee message received under a Guarantee Amendment.

Legal Verification may be required for Guarantee amendment based on guarantee text format (standard vs non-standard) and other factors. In case Legal verification is required, this task is created in the system.

As a legal approver, log in to Oracle Banking Trade Finance Process Management (OBTFPM) system to see the legal verification required tasks for Trade Finance transactions listed in queue. On opening the task, the user views the guarantee text that has to be verified

Legal Verification - Application Details

## 2.4.1 Legal Verification - Application Details

The Legal verification stage allows the user to review and approved the guarantee message received under a Guarantee Amendment.

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

Provide the Application Details based on the description in the following table:

Table 2-28 Application Details - Field Description

| Field                            | Description      |
|----------------------------------|------------------|
| Received from Applicant<br>Bank  | Read only field. |
| Received From - Customer<br>ID   | Read only field. |
| Received From - Customer<br>Name | Read only field. |
| Branch                           | Read only field. |
| Currency Code                    | Read only field. |
| Amount                           | Read only field. |
| Priority                         | Read only field. |
| Submission Mode                  | Read only field. |
| Process Reference Number         | Read only field. |
| Application Date                 | Read only field. |
| Customer Reference<br>Number     | Read only field. |

Draft MessageRead only field.

All fields displayed under Draft Message section, would be read only.

| Language                    | Select the language for the SWIFT message.   |  |
|-----------------------------|--|--|
| Draft Message               | Read only field.   |  |
| Legal Verification          |  |  |
| Legal Verification required | Read only field.   |  |
| Legal Verification Outcome  | <ul> <li>The user can update any of the below response based on vetting the guarantee text</li> <li>Accepted</li> <li>Not accepted - Change and Send for Review Again</li> <li>Not accepted - Change and Proceed</li> <li>Pending</li> </ul> |  |
| Legal Remarks               | Specify the observation/changes/remarks to be done to the guarantee text.  |  |

#### Table 2-28 (Cont.) Application Details - Field Description

| Field             | Description  |
|-------------------|--|
| Verification Date | Specify the date on which the verification was done. The system date will be defaulted and the user can change the same. |

#### **Tiles Displayed in Summary**

- Main Details- User can view the application details and Guarantee/Standby details. User can modify the details if required.
- Party Details User can view the application details and Guarantee/Standby details. User can modify the details if required.
- Guarantee Details User can view the Counter Guarantee details and Guarantee text. User can modify the details if required.
- Limits and Collaterals User can view the limits and collateral details. User can modify the details if required.
- Charges User can view the charge details. User can modify the details if required.
- Compliance User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction checks.
- Draft Confirmation User can view the draft guarantee details, legal verification and customer confirmation details. User can modify the details if required.
- Documents User can view the document details.
- Remarks As a Reject approval user, you will be able to view the remarks captured in the process during earlier stages. User also can see the Reject code with reason for rejection in the Remarks column.

| Field     | Description  |
|-----------|--|
| Documents | Click to View/Upload the required document.  |
|           | Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.<br>When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the uploaded<br>document, Application screen should get split into two. The one<br>side of the document allows to view and on the other side allows<br>to input/view the details in the application |
| Remarks   | Specify any additional information regarding the Guarantee issuance.<br>This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks<br>field in Backend application.   |
| Overrides | Click to view the overrides accepted by the user.  |

Table 2-29 Main Details - Action Buttons - Field Description



| Field                 | Description   |
|-----------------------|---|
| Customer Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>Click to allow parsing of MT 760 along with MT761(up to 7) messages<br>together to create a Guarantee Issuance.<br>In case of MT798, the User can click and view the MT798  |
|                       | message(784,760/761).   |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.   |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task.  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.   |
| Reject                | On click of Reject, user must select a Reject Reason from a list displayed by the system.   |
|                       | Reject Codes are:   |
|                       | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |
|                       | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.  |
| Refer                 | Select a Refer Reason from the values displayed by the system.  |
|                       | Refer Codes are:  |
|                       | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |
| 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                | Cancel the inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.  |
| 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.   |

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



## 2.5 Customer Response - Draft Confirmation

This topic helps you quickly get acquainted with the Customer Acknowledgement process.

In this section, the user can review and handle the customer's response received for the draft confirmation for Guarantee Amendment transactions, which is sent to the customer for their verification and confirmation. The system sends Draft MT767 along with up to seven MT775 messages as attachment to the customer.

The customer response can be received both by online and offline mode. In non-online mode, user receives the response in the branch. Log in into OBTFPM application, and open the task to see customer response pending tasks for trade transactions listed in queue. On opening the task, the user views and update the customer response.

In online mode, the customer would receive a mail notification from the bank with a draft of the Guarantee Amendment. The customer can 'Approve' or 'Reject' post reviewing the draft through mail. The customer response will automatically be updated in OBTFPM. Based on the customer response; the task will move to the next stage or are referred to the previous stage for further update.

The draft mail will be addressed to a primary contact and a secondary contact. On approval or reject, an acknowledgement will be sent to the primary and secondary contacts confirming receipt of response. As the draft mail is sent to more than one recipients, system to follow the below guidelines to register the customer response.

- Approved from Primary Mail, Rejected from Secondary Mail Application already Approved from Primary mail
- Approved from Primary Mail, Approved from Secondary Mail Application already Approved from Primary mail
- Rejected from Primary Mail, Approved from Secondary Mail Application already Rejected from Primary mail
- Rejected from Primary Mail, Rejected from Secondary Mail Application already Rejected from Primary mail
- Approved from Secondary Mail, Approved from Primary Mail Application already Approved from Secondary mail
- Approved from Secondary Mail, Rejected from Primary Mail Application already Approved from Secondary mail
- Rejected from Secondary Mail, Approved from Primary Mail Application already Rejected from Secondary mail
- Rejected from Secondary Mail, Rejected from Primary Mail Application already Rejected from Secondary mail



#### Draft mail to customer

| mail<br>1 Delete<br>Quick<br>Dibya Das; | eam Email<br>eply & Delete<br>Quick S<br>nesh; Dibya Das; E | elete ¥ Create New<br>Quick Steps<br>ya Das; El pss_org_www.<br>ation - GS1XXXXXXXXX    | Done v<br>Create New v<br>s rs rs<br>XXXXXXXXXXXXXXXXXXXXXXXXXXXXX | rs Move | OneNote<br>Actions • Unread •                                     | ad v Up v                                   | ranslate<br>↓ Select → | Zoom Beehive |       | 0 1 Fri 1  |
|---|---|---|--|---------|---|---|------------------------|--------------|-------|--|
| mail<br>1 Delete<br>Quick<br>Dibya Das; | eam Email eply & Delete<br>Quick S<br>nesh; Dibya Das; E    | il Y Done<br>Y Create New<br>Quick Steps<br>ya Das; E pss_org_ww<br>ation - GS1XXXXXXXX | Done v<br>Create New v<br>s rs rs<br>XXXXXXXXXXXXXXXXXXXXXXXXXXXXX | To Move | OneNote<br>Actions • Unread •                                     | rk Categorize Follow Transla<br>ad * Up * * | ranslate<br>↓ Select → | Zoom         |       | () 1 Fri 1   |
| Quick<br>Dibya Das;                     | Quick S<br>mesh; Dibya Das; 🗄                               | Quick Steps<br>ya Das; E pss_org_wwww<br>ation - GS1XXXXXXXXX                           | s r <sub>a</sub>   | rs Move | officad   |   |                        | Zoom Beehive | thive | 0 1 Fri 1  |
|   |   | ation - GS1XXXXXXXX   | 200000000  |         |   |   |                        |              |       | 0 1 Fri 1  |
|   |   | ation - GS1XXXXXXXX   | 200000000  |         |   |   |                        |              |       | ÷  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
| nent refe                               | endment refer   | nt reference- XXXXXX  | e- XXXXXXXXXXXXXX  | XX      |   |   |                        |              |       |  |
| nent rere                               | lenument reren  | in reference- AAAAAA  | .e- ~~~~~  | ~~      |   |   |                        |              |       |  |
|   |   |   |  |         |   |   |                        |              |       |  |
|   |   | 4   |  |         |   |   |                        |              |       |  |
| us to issu                              | 1 for us to issue   | to issue the same.  |  |         |   |   |                        |              |       |  |
|   |   |   | c suntc.   |         |   |   |                        |              |       |  |
|   |   |   | c sunt.  |         |   |   |                        |              |       |  |
|   |   |   | c sunt.  |         |   |   |                        |              |       |  |
|   |   |   | e sunit.   |         |   |   |                        |              |       |  |
|   |   |   | e sunte.   |         |   |   |                        |              |       |  |
|   |   |   | c outif.   |         |   |   |                        |              |       |  |
|   |   |   | e suite.   |         |   |   |                        |              |       |  |
|   |   |   | C SULL   |         |   |   |                        |              |       |  |
|   |   |   | C SULL   |         |   |   |                        |              |       |  |
|   |   |   | e muite.   |         |   |   |                        |              |       |  |
|   |   |   |  |         | hed the draft of Guarantee Amendment reference- XXXXXXXXXXXXXXXXX |   |                        |              |       | hed the draft of Guarantee Amendment reference- XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX |

#### **Response from Customer**

From: Saisujana Ramesh Sent: Thursday, October 17, 2019 3:41 PM To: Saisujana Ramesh <<u>saisujana.ramesh@oracle.com</u>> Subject: Action Required: Guarantee Amendment Draft Confirmation

Dear Bank,

Add comments between the brackets in Remarks section. Do not delete any of the content in the mail.

You can also add attachments to the task by attaching them to this email.

Customer Response: [Approved]

Remarks: [approved this task]

-----Do not edit below this line-----

Application Number: [GS1ILCI000003469] Token: [9c0e60ab635b62ce9f7ac6cca5ad0056f0bb1aadd6337e88cb231d8df57d4f36]

Customer Response - Application Details

## 2.5.1 Customer Response - Application Details

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

Provide the Application Details based on the description in the following table:

#### Table 2-30 Application Details - Field Description

| Field                           | Description      |
|---------------------------------|------------------|
| Received from Applicant<br>Bank | Read only field. |



#### Table 2-30 (Cont.) Application Details - Field Description

| Field                            | Description      |
|----------------------------------|------------------|
| Received From - Customer<br>ID   | Read only field. |
| Received From - Customer<br>Name | Read only field. |
| Branch                           | Read only field. |
| Currency Code                    | Read only field. |
| Amount                           | Read only field. |
| Priority                         | Read only field. |
| Submission Mode                  | Read only field. |
| Process Reference Number         | Read only field. |
| Application Date                 | Read only field. |
| Customer Reference<br>Number     | Read only field. |

#### **Customer Response**

Field description of **Customer Response** is described below:

| Field         | Description                                |
|---------------|--|
| Language      | Select the language for the SWIFT message. |
| Draft Message | Read only field.                           |

#### **Draft Confirmation**

All fields displayed under Draft Confirmation section, would be read only.

| Field                  | Description      |
|------------------------|------------------|
| Draft Message required | Read only field. |

Customer Response - This field will be available for you to update any of the below response based on the customer's reply

- Accepted
- Rejected

For non-online response – User can select customer response from one of the three drop list values mentioned above.

For Online response – Read only Customer Remarks - Capture the remarks of the customer.

Response Date - Non-Online channel – Update the date on which the customer response has been received. Online Channel – Read only

#### **Tiles Displayed in Summary**

- Main Details Read Only. User can view the application details and Guarantee/Standby details. User can modify the details if required.
- Party Details Read Only. User can view the application details and Guarantee/Standby details. User can modify the details if required
- Sequence B: User can view the details of the Sequence B message if available



- Sequence C User can view the details of Sequence C message if available
- · Amendment Details Read Only. User can view the amended field details
- Limits and Collaterals Read Only. User can view the limits and collateral details. User can
  modify the details if required.
- Charges Read Only. User can view the charge details. User can modify the details if required.
- Preview Messages User can view the preview details. User can modify the details if required.
- Settlement Details User can view the settlement details.
- Compliance User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction checks.

Table 2-31 Main Details - Action Buttons - Field Description

| Field                 | Description  |  |  |  |
|-----------------------|--|--|--|--|
| Documents             | Click to View/Upload the required document.  |  |  |  |
|                       | Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.<br>When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the uploaded<br>document, Application screen should get split into two. The one<br>side of the document allows to view and on the other side allows<br>to input/view the details in the application |  |  |  |
| Remarks               | Specify any additional information regarding the Guarantee issuance.<br>This information can be viewed by other users processing the request.  |  |  |  |
|                       | Content from Remarks field should be handed off to Remarks field in Backend application.   |  |  |  |
| Overrides             | Click to view the overrides accepted by the user.  |  |  |  |
| Customer Instructions | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> </ul>  |  |  |  |
|                       | <ul> <li>Transaction Level Instructions – In this section, OBTFPM user<br/>can input any Customer Instructions received as part of transaction<br/>processing. This section will be enabled only for customer initiated<br/>transactions.</li> </ul>   |  |  |  |
| Incoming Messages     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>Click to allow parsing of MT 760 along with MT761(up to 7) messages<br>together to create a Guarantee Issuance.  |  |  |  |
|                       | In case of MT798, the User can click and view the MT798 message(784,760/761).  |  |  |  |
|                       | In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.  |  |  |  |
|                       | In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task.   |  |  |  |
| View Undertaking      | Clicking this button allows the user to view the undertaking details.  |  |  |  |



| Field  | Description   |
|--------|---|
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.   |
|        | Reject Codes are:   |
|        | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |
|        | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.  |
| Refer  | Select a Refer Reason from the values displayed by the system.  |
|        | Refer Codes are:  |
|        | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |
| 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 | Cancel the inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.  |
| Submit | On submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. Task will get moved to next logical stage of Guarantee/SBLC Amendment.<br>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. |

#### Table 2-31 (Cont.) Main Details - Action Buttons - Field Description

## 2.6 Exceptions

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

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

#### Amount Block Exception Approval

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

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

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

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

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

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

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

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

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

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

#### **Amount Bock Exception**

This section will display the amount block exception details.



| Amount Block Exception | Amount B   | lock Exception         |                |               |          |                    |                |  | Screen(1            |
|------------------------|------------|------------------------|----------------|---------------|----------|--------------------|----------------|--|---------------------|
| Summary                |            | lock Exception Details |                |               |          |                    |                |  |                     |
|                        | Type ≎     | Contract Currency 0    | Block Amount 0 | Account 0     | Branch 0 | Account Currency 0 | Block Ref No 0 | Block Status         Block Status    Block Status | lock Status Details |
|                        | Commission | GBP                    | 10.42          | PK20010440017 | PK2      | GBP                |                | Failed   |                     |
|                        | Commission | GBP                    | 20.83          | PK20010440017 | PK2      | GBP                |                | Failed   |                     |
|                        | Commission | GBP                    | 1000           | 152110003     | PK2      | GBP                |                | Not Initiated  |                     |
|                        | Charge     | GBP                    | 50             | PK20010440017 | PK2      | GBP                |                | Failed   |                     |
|                        | Commission | GBP                    | 500            | PK20010440017 | PK2      | GBP                |                | Failed   |                     |
|                        |            |                        |                |               |          |                    |                |  | V More 1-5 of 7 it  |
|                        |            |                        |                |               |          |                    |                |  |                     |
|                        |            |                        |                |               |          |                    |                |  |                     |

### Figure 2-22 Amount Bock Exception

### Summary

## Figure 2-23 Summary

|                        | ment AmountBlock Exception Approval :  | Application No:-   | nents Remarks Overrides Customer Instruction Incoming Message                  | ::>        |
|------------------------|--|--|--|------------|
| K2GTEA0000624          | 125  |  | View Undertaking   |            |
| Amount Block Exception | Summary  |  |  | Screen(2/2 |
| Summary                | Main   | Sequence B (Continued)   | Sequence C   |            |
|                        | SBLC/Guarantee Type : PERF<br>Submission Mode : Desk<br>Date of Issue : 2022-04-20   | Collection by :<br>Delivery of Original :<br>Amendment   | Collection by :<br>Delivery of Original :<br>Amendment                         |            |
|                        | Acknowledgement Details Account Identification :   | Additional Fields  | Amendment Snapshot   |            |
|                        | Acknowledgement date : 2022-04-20<br>Acknowledgement date : 2002-04-20<br>Amount : 100<br>Currency : AED   | fields   | detais   |            |
|                        | Advices  | Limits and Collaterals   | Commission,Charges and Taxes   |            |
|                        | Advice1         :GUA_AMD_INST           Advice2         :AMD_IMP_CR           Advice3         :LC_CASH_COL           Advice4         :TRADE_ENVELO           Advice5         :GUAR_RELEASE | Contribution Currency :<br>Amount to Earmark :<br>Limit Status : Not Verified<br>Collateral Currency : GBP<br>Collateral Contribution. :-60000<br>Collateral Status : Not Verified<br>Deposit Linkage Currency :<br>Deposit Linkage Amount : | Charge :GBP 275.00<br>Commission :GBP 1531.25<br>Tax :<br>Block Status :Failed |            |
|                        | Preview Message  | Settlement Details   | Accounting Details   |            |
|                        | Language : ENG<br>Preview Message :-   | Component :LCSWIFTAMN_L<br>Account Number :PK2001044001<br>Currency :GBP   | Event :AMND<br>AccountNumber :52000002<br>Branch :PK2                          |            |

Tiles Displayed in Summary:



- Main User can view the application details and Guarantee/Standby details. User can
  modify the details if required.
- Sequence B (Continued) User can view the details of the sequence B message if any.
- Sequence C User can view the details of the sequence B message if any.
- Acknowledgement Details User can view the acknowledgement details.
- Additional Fields User can view the details of additional fields, if any.
- Amendment Snapshot User can view the comprehensive fields amended with the previous value and new amended value.
- Advices User can view the advices details.
- Limits and Collaterals User can view and modify limits and collateral details, if required.
- Commission, Charges and Taxes User can view the commission, charges and taxes details. User can modify the details if required.
- Preview Messages User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details. User can drill down to view the legal verification response and confirmation details.
- Settlement Details User can view the settlement 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.

- Documents User can view the document details.
- Remarks User can view the remarks details captured during earlier stages
- Approve: Settlement amount will be funded (outside of this process)
- Allow account to be overdrawn during hand-off

#### **Amount Block Details**

All the data elements shown in the tables below will go in as read-only information to the Amount Block exception System.

Provide the Amount Block Details based on the description in the following table:

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 2-32 Amount Bock Exception - Action Buttons - Field Description

| Field     | Description  |
|-----------|--|
| Documents | View/Upload the required document. User can view the document details. |



| Field                | Description  |
|----------------------|--|
| Remarks              | Specify any additional information regarding the Guarantee. This information can be viewed by other users processing the request.  |
|                      | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides            | Click to view the overrides accepted by the user.  |
| Customer Instruction | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> </ul>              |
|                      | <ul> <li>Transaction Level Instructions – In this section, OBTFPM user<br/>can input any Customer Instructions received as part of transaction<br/>processing. This section will be enabled only for customer initiated<br/>transactions.</li> </ul> |
| Incoming Message     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>In case of MT798, the User can click and view the MT798<br>message(770,700/701).   |
| View Undertaking     | Clicking this button allows the user to view the undertaking details.  |
| 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.   |
| Reject               | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|                      | Reject Codes are:  |
|                      | R1- Documents missing  |
|                      | R2- Signature Missing  |
|                      | <ul> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> </ul>   |
|                      | <ul> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |
|                      | Select a Reject code and give a Reject Description.  |
|                      | This reject reason will be available in the remarks window throughout the process.   |
| 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<br>select a Refer Reason from the values displayed by the system. Refer<br>Codes                               |
|                      | Refer Codes are:   |
|                      | R1- Documents missing  |
|                      | R2- Signature Missing     R3- Input Error  |
|                      | R3- Input Error     R4- Insufficient Balance/Limits  |
|                      | R5 - Others  |
| Approve              | On approve, application must validate for all mandatory field values, and task must move to the next logical stage.  |

## Table 2-32 (Cont.) Amount Bock Exception - Action Buttons - Field Description



#### Table 2-32 (Cont.) Amount Bock Exception - Action Buttons - Field Description

| Field | Description                          |
|-------|--------------------------------------|
| 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 applicant. The transactions that have failed KYC due to non-availability / expired KYC verification will reach KYC exception stage.

| Guarantee Ameno | dment KYC Except    | ional a | oproval :: Applica | ation No:- |                 | Documents | Remarks | Overrides       | Customer Instruction |              |
|-----------------|---------------------|---------|--------------------|------------|-----------------|-----------|---------|-----------------|----------------------|--------------|
| PK2GTEA0000624  |                     | ionar a | pprotei il Applice |            |                 |           |         | ncoming Message | View Undertakin;     | ;; ×         |
| • KYC Exception | KYC Exception       |         |                    |            |                 |           |         |                 |                      | Screen(1/2)  |
| Summary         | ~                   |         |                    |            |                 |           |         |                 |                      |              |
|                 | KYC Details         |         |                    |            |                 |           |         |                 |                      |              |
|                 | Party ID            | ٥       | KYC Status         | ٥          | KYC Verified On |           | 0       | KYC Verified    | Till                 | ٥            |
|                 | No data to display. |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
|                 |                     |         |                    |            |                 |           |         |                 |                      |              |
| Audit           |                     |         |                    |            |                 |           |         | Reject Re       | fer Hold             | Approve Next |

- 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

|               | endment KYC Exceptiona   | ai approvai :: Applic  | ation No:-   | Documents  | Remarks                 | Overrides                          | Customer Instruction                         | Incoming Message | 11.0       |  |
|---------------|--|--|--|--|-------------------------|------------------------------------|--|------------------|------------|--|
| K2GTEA00006   | 52425  |  |  |  |                         |                                    |  | View Undertaking |            |  |
| KYC Exception | Summary  |  |  |  |                         |                                    |  |                  | Screen(2/2 |  |
| Summary       | Main   |  | Sequence B (Continue                                     | ed)  | Sequence C              |                                    |  |                  |            |  |
|               | SBLC/Guarantee Type<br>Submission Mode<br>Date of Issue  | : PERF<br>: Desk<br>: 2022-04-20                                     | Collection by<br>Delivery of Original<br>Amendment       | :  | Delive                  | tion by<br>ry of Original<br>dment | :  |                  |            |  |
|               | Acknowledgement Deta<br>Account Identification<br>Acknowledgement date   | :<br>: 2022-04-20  | Amendment Snapsho<br>Click here to see amende<br>details |  | Advie<br>Advie<br>Advie | e 1<br>e 2                         | : GUA_AMD_IN<br>: AMD_IMP_CI                 | 2                |            |  |
|               | Amount<br>Currency   | : 100<br>: AED   |  |  | Advic<br>Advic<br>Advic | 4                                  | : LC_CASH_CC<br>: TRADE_ENVI<br>: GUAR_RELEA | ELO              |            |  |
|               | Limits and Collaterals   |  | Commission,Charges and Taxes                             |  |                         | Preview Message                    |  |                  |            |  |
|               | Contribution Currency<br>Amount to Earmark<br>Limit Status<br>Collateral Currency<br>Collateral Contribution.<br>Collateral Status<br>Deposit Linkage Currency<br>Deposit Linkage Amount | :<br>:<br>: Not Verified<br>: GBP<br>: -60000<br>: Not Verified<br>: | Charge<br>Commission<br>Tax<br>Block Status              | : GBP 275.00<br>: GBP 1,531.25<br>:<br>: Not Initiated | Langu<br>Previe         | age<br>w Message                   | : ENG<br>:-                                  |                  |            |  |
|               | Settlement Details   |  | Accounting Details                                       |  |                         |                                    |  |                  |            |  |
|               | Component<br>Account Number<br>Currency  | : LCSWIFTAMN_L<br>: PK2001044001<br>: GBP                            | Event<br>AccountNumber<br>Branch                         | : AMND<br>: 520000002<br>: PK2                         |                         |                                    |  |                  |            |  |

#### Figure 2-24 Know Your Customer (KYC) Exception

Tiles Displayed in Summary:

- Main User can view the application details and Guarantee/Standby details. User can modify the details if required.
- Sequence B (Continued) User can view the details of the sequence B message if any.
- Sequence C User can view the details of the sequence B message if any.
- Acknowledgement Details User can view the acknowledgement details.
- Amendment Snapshot User can view the comprehensive fields amended with the previous value and new amended value.
- Advices User can view the advices details.
- Limits and Collaterals User can view and modify limits and collateral details, if required.
- Commission, Charges and Taxes User can view the commission, charges and taxes details. User can modify the details if required.
- Preview Messages User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details. User can drill down to view the legal verification response and confirmation details.
- Settlement Details User can view the settlement 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.

- Documents -
- Remarks User can view the remarks details captured during earlier stages
- Approve: Settlement amount will be funded (outside of this process)
- Allow account to be overdrawn during hand-off

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

# Table 2-33Exception - Know Your Customer (KYC) Summary - Action Buttons - FieldDescription

| Field                | Description  |
|----------------------|--|
| Documents            | View/Upload the required document. User can view the document details.   |
| Remarks              | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  |
|                      | Content from Remarks field should be handed off to Remarks field in Backend application.   |
| Overrides            | Click to view the overrides accepted by the user.  |
| Customer Instruction | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> </ul>              |
|                      | <ul> <li>Transaction Level Instructions – In this section, OBTFPM user<br/>can input any Customer Instructions received as part of transaction<br/>processing. This section will be enabled only for customer initiated<br/>transactions.</li> </ul> |
| Incoming Message     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>In case of MT798, the User can click and view the MT798<br>message(770,700/701).   |
| View Undertaking     | Clicking this button allows the user to view the undertaking details.  |
| Reject               | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|                      | Reject Codes are:  |
|                      | R1- Documents missing  |
|                      | R2- Signature Missing  |
|                      | R3- Input Error  |
|                      | R4- Insufficient Balance/Limits  |
|                      | R5 - Others  |
|                      | Select a Reject code and give a Reject Description.  |
|                      | This reject reason will be available in the remarks window throughout the process.   |

| Field   | Description  |
|---------|--|
| Refer   | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are: <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> </ul>   |
|         | <ul><li>R4- Insufficient Balance/Limits</li><li>R5 - Others</li></ul>  |
| Hold    | The details provided will be saved and status will be on hold. User must<br>update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be<br>received from applicant.  |
| 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. |
| Back    | Task moves to previous logical step.   |

# Table 2-33 (Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons -Field Description

#### **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.

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.

#### Summary

Tiles Displayed in Summary:

- Main Details User can view and modify details about application details and guarantee details, if required.
- Guarantee Details User can view and modify Counter Guarantee details and Guarantee details, if required.
- Additional Fields User can view the additional fields.
- Document and Docuents User can view document details.
- Limits and Collaterals User can view and modify limits and collateral details, if required.
- Commission, Charges and Taxes User can view and modify commission, charges and taxes details, if required.
- Preview Message User can view the preview of the simulating message to the remitting bank.
- Parties Details User can view and modify party details like beneficiary, advising bank etc., if required..
- Compliance User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

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

| Field                | Description   |
|----------------------|---|
| Documents            | View/Upload the required document. User can view the document details.  |
| Remarks              | Specify any additional information regarding the collection. This information can be viewed by other users processing the request.  |
|                      | Content from Remarks field should be handed off to Remarks field in Backend application.  |
| Overrides            | Click to view the overrides accepted by the user.   |
| Customer Instruction | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Message     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>In case of MT798, the User can click and view the MT798<br>message(770,700/701).  |

Table 2-34 Exception - Limit Check/Credit - Action Buttons - Field Description



| Field            | Description   |
|------------------|---|
| View Undertaking | Clicking this button allows the user to view the undertaking details.   |
| Reject           | On click of Reject, user must select a Reject Reason from a list displayed by the system.   |
|                  | Reject Codes are:   |
|                  | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> |
|                  | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.                    |
| Refer            | Select a Refer Reason from the values displayed by the system.  |
|                  | Refer Codes are:  |
|                  | <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> |
| 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.  |
| 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.  |

#### Table 2-34 (Cont.) Exception - Limit Check/Credit - Action Buttons - Field Description

# 2.7 Multi Level Approval

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

The Approval user can approve a Guarantee Amendment Transaction.

- 1. Log in into OBTFPM application and on Home screen, click, Tasks.
- 2. Under Tasks, click Free Tasks.
- 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.

|             |      | View Signature |    | Documents<br>Remarks |
|-------------|------|----------------|----|----------------------|
| Currency    |      |                |    |                      |
| GBP         |      |                | •  | $\oslash$            |
| Contract Am | ount |                |    |                      |
| GBP         | •    | £150,000.      | 00 | $\odot$              |
|             |      |                |    |                      |
|             |      |                |    |                      |
|             |      |                |    |                      |

Figure 2-25 Approval Re-Key

The 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 and user will not be able to approve the task.

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

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



- 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.

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

## Note:

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

**Approval Summary** 



| Guarantee Amend  | lment Approval Tas  | k Level 1 :: Application No:-  | Documents | Remarks                                     | Overrides    | Customer Instructio                             | n Inco    | oming Message |  |
|--|---|--|-----------|---|--------------|---|-----------|---------------|--|
| PK2GTEA0000624   | 425   |  |           |   |              | View Un   | dertaking | Signatures    |  |
| Main   |   | Sequence B (Continued)   |           | Sequence                                    | c            |   |           |               |  |
| BLC/Guarantee Type<br>ubmission Mode<br>late of Issue  | : PERF<br>: Desk<br>: 2022-04-20  | Collection by :<br>Delivery of Original :<br>Amendment   | Ļ         | Collection b<br>Delivery of (<br>Amendmen   | Driginal     | :   |           | ļ             |  |
| Acknowledgement Detai<br>account Identification<br>acknowledgement date<br>unount<br>unrency | ils<br>:<br>:2022-04-20<br>:100<br>: AED  | Additional Fields<br>Click here to view Additional :<br>fields   | ĺ         |   | nt Snapshot  | :   |           | į             |  |
| Advices  | ainnu <i>Settutuae</i> aaan   | Limits and Collaterals   |           | Commissio                                   | on,Charges a | nd Taxes  |           |               |  |
| kdvice 1<br>kdvice 2<br>kdvice 3<br>kdvice 4<br>kdvice 5                                     | : GUA_AMD_INST<br>: AMD_IMP_CR<br>: LC_CASH_COL<br>: TRADE_ENVELO<br>: GUAR_RELEASE | Contribution Currency :<br>Amount to Earmark :<br>Limit Status : Not Veri<br>Collateral Currency : GBP<br>Collateral Contribution. : 8-00000<br>Collateral Status : Not Veri<br>Deposit Linkage Currency :<br>Deposit Linkage Amount : |           | Charge<br>Commissior<br>Tax<br>Block Status |              | : GBP 275.00<br>: GBP 1,531.25<br>:<br>: Failed |           |               |  |
| Preview Message  |   | Accounting Details   | l         | Exception                                   | (Approval)   |   |           |               |  |
| anguage<br>Preview Message   | : ENG<br>: -  | Event : AMND<br>AccountNumber : PK20010<br>Branch : PK2  | 944001    |   | IT REMARKS   | C : EXCEPTION<br>:-                             |           | ļ             |  |

#### Figure 2-26 Approval Summary

Tiles Displayed in Summary:

- Main User can view the application details and Guarantee/Standby details. User can
  modify the details if required.
- Sequence B (Continued) User can view the details of the sequence B message if any.
- Sequence C User can view the details of the sequence B message if any.
- Acknowledgement Details User can view the acknowledgement details.
- Additional Fields User can view the details of additional fields, if any.
- Amendment Snapshot User can view the comprehensive fields amended with the previous value and new amended value.
- Advices User can view the advices details.
- Limits and Collaterals User can view and modify limits and collateral details, if required.
- Commission, Charges and Taxes User can view the commission, charges and taxes details. User can modify the details if required.
- Preview Messages User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has

the Legal Verification details. User can drill down to view the legal verification response and confirmation details.

- Settlement Details User can view the settlement 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.

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

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

| Table 2-35 | Approval Summary - | Action Buttons - | Field Description |
|------------|--------------------|------------------|-------------------|
|------------|--------------------|------------------|-------------------|

| Field                | Description   |
|----------------------|---|
| Documents            | View/Upload the required document.<br>Application displays the mandatory and optional documents.<br>The user can view and input/view application details<br>simultaneously.   |
|                      | When a user clicks on the uploaded document, Document<br>window get opened and on clicking the view icon of the<br>uploaded document, Application screen should get split into<br>two. The one side of the document allows to view and on the<br>other side allows to input/view the details in the application   |
| Remarks              | Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application.  |
| Overrides            | Click to view the overrides accepted by the user.   |
| Customer Instruction | <ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |
| Incoming Message     | This button displays the multiple messages (MT760 + up to 7 MT761.<br>In case of MT798, the User can click and view the MT798<br>message(770,700/701).  |
| View Undertaking     | Clicking this button allows the user to view the undertaking details.   |

| Field      | Description  |
|------------|--|
| Signatures | Click the Signature button to verify the signature of the customer/<br>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 available, system should display all the signatures.   |
| Cancel     | Cancel the Approval stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.  |
| 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.   |
| Reject     | On click of Reject, user must select a Reject Reason from a list displayed by the system.  |
|            | Reject Codes are:  |
|            | R1- Documents missing  |
|            | R2- Signature Missing  |
|            | <ul> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> </ul>   |
|            | R5 - Others  |
|            | Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window<br>throughout the process.   |
| Refer      | Select a Refer Reason from the values displayed by the system.   |
|            | Refer Codes are:   |
|            | R1- Documents missing  |
|            | R2- Signature Missing  |
|            | R3- Input Error  |
|            | <ul> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>   |
| Approve    | On approve, application must validate for all mandatory field values,<br>and task must move to the next logical stage. If there are more<br>approvers, task will move to the next approver for approval. If there<br>are no more approvers, the transaction is handed off to the back end<br>system for posting. |

## Table 2-35 (Cont.) Approval Summary - Action Buttons - Field Description

8. Click Approve.

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