Oracle Banking Trade Finance Process Management Guarantee Issuance User Guide



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Oracle Banking Trade Finance Process Management Guarantee Issuance 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:
- Conventions
- Related Documents
- Screenshot Disclaimer
- Acronyms and Abbreviations
- Basic Actions
- Symbols and Icons

Purpose

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

Audience

This document is intended for the following audience:

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

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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.

Conventions

The following text conventions are used in this document:

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

Related Documents

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

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

Screenshot Disclaimer

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



Acronyms and Abbreviations

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

Abbreviation	Description
ОВТЕРМ	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	Common Action Buttons and its Definitions
---------	--

Action Buttons	Description
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	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.



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 Cancel to cancel the transaction input midway without saving any data.	
Save & Close	Click Save & Close to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.	
Next	Click Next , system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	
Submit	Click Submit to complete the transaction after you specify all the input parameters for a particular process. The task will get moved to next logical stage of the process. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.	

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	
г ٦	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
>	
	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
\$ \$	
↓	

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.



As part of Guarantee Issuance the applicant (importer or customer) approaches a bank and requests the bank to issue a Letter of Credit on their behalf to the beneficiary (exporter).

The various stages involved for issuance of an Guarantee are:

- Receive and verify application and other documents (Non Online Channel) Registration stage
- Input application details
- · Upload of related mandatory and non mandatory documents
- · Verify documents and capture details (Online/Non Online Channels)- Scrutiny stage
- Check balance availability for amount block
- Input/Modify details of the guarantee Data enrichment stage
- Conduct legal checks
- Check for limit availability
- Check for sanctions & KYC status
- Earmark limits/Create amount block for cash margin/charges
- Capture remarks during any stage of transaction for other users to check and act
- Draft guarantee copy for legal verification
- Generate acknowledgement and draft guarantee copy to customer
- Notify customer on any negative statuses during any of the stages to the applicant
- Hand off approved transaction to back office

The Guarantee Issuance transaction uses AI technology and allows the user to:

- 1. Read the Guarantee Application / Guarantee Text document and populate whether the basic details are available or not.
- 2. Displays the inconsistencies in data found across the Guarantee Application presented under the Guarantee Issuance.

Note:

The AI assisted Guarantee Issuance is available only if AI related parameters are enabled and it is configured in the system.

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

This topic contains following sub-topics:

Common Initiation Stage

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



Registration

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

OBTFPM- OBDX Bidirectional flow

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

- 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.
- Scrutiny

This topic provides the systematic instructions to initiate the Scrutiny stage of Guarantee issuance request.

- Data Enrichment This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee issuance request.
- Exceptions This topic helps you quickly get acquainted with the Exceptions process.
- Multi Level Approval This topic helps you quickly get acquainted with the Multi Level Approval process.
- Customer Acknowledgement This topic helps you quickly get acquainted with the Customer Acknowledgement process.
- Customer Reject Advice This topic helps you quickly get acquainted with the Customer - Reject Advice.

2.1 Common Initiation Stage

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

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

 On Home screen, click Trade Finance. Under Trade Finance, click Initiate Task. The Initiate Task screen appears.

Menu Item Search	Q	Initiate Task					
K Trade Finance		Registration					
Administration		Process Name	Customer Id		Branch		
Bank Guarantee Advise		Guarantee Issuance	• 0005753	٩	000-FLEXCUBE UNIVERSAL	. B/ ▼	
Bank Guarantee Issuance							
Buyers Credit							Proceed Cle
Common Group Message							
Enquiry							
Export - Documentary Collection							
Export - Documentary Credit							
mport - Documentary Collection							
Import - Documentary	>						

Figure 2-1 Initiate Task



2. On Initiate Task screen, specify the fields.



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.
Customer ID	Click Search to search and select the required customer ID of the applicant or applicant's bank.
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 request.

The user initiates the transaction from Registration Stage, if the Guarantee Issuance request is given through branch either by fax, email or physical application form, the Guarantee Issuance process starts from the registration stage.

During registration stage, user can capture the basic details of the application, check the signature of the authorised signatories and upload the related documents of the applicant. It also enables the user to capture some additional product related details as an option. On submit of the request, the customer will be notified with an acknowledgment and the request will be available for a Guarantee Issuance expert to handle the request in the next stage.

Guarantee received from Applicant Bank has following three scenarios:

- 1. Guarantee/SBLC received through SWIFT MT 760 in favour of a beneficiary through an Advising Bank and Advise Through Bank.
- Counter Guarantee/SBLC received through MT 760 in favour of a bank to issue Local guarantee/SBLC which in turn can advise the Local Guarantee/SBLC to the Beneficiary through an Advising Bank.
- Counter Counter Guarantee/SBLC received through SWIFT MT 760, in favour a bank to issue Counter Guarantee/SBLC in favor another bank which in turn has to issue a Local Guarantee/SBLC in favour of the beneficiary.

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

	4.6°6	
	RACLE	Ξ
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 SBLC Issuance.

					ä	DEFAULTENTITY (DEFAULT	April 20, 2022	Ĉ	ATEST11 V
Menu Item Search Q	Dashboard									
K Bank Guarantee Issuance										+
Guarantee - SBLC Issuance	Snapshot of My Clients								γ×	
Guarantee Amendment										
Guarantee Cancellation	All 🔆									
Guarantee Issuance Amendment Beneficiary Consent	Time Sensitive Task									
Guarantee Issuance Closure	Time Sensitive Task									
Guarantee Issuance Internal Amendment	High Priority Task									
Guarantee SBLC Issuance- Claim Settlement	Exception Approval									
Guarantee SBLC Issuance- Claim Update	SLA Breach	50	100	150	200	250	300	350		
Lodge Claim - Guarantee Issued	0	50	100		Count	250	500	550		
Louge Claim - Guarantee Issued			High Priority	Task 📕 Exce	ption Approval	SLA Breach				

Figure 2-3 Guarantee - SBLC Issuance



The Guarantee - SBLC - Registration screen appears.

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

Guarantee	- SBLC Issuance			Signatures	Documents Remarks	s Customer Instruction		
 Application De 	tails			2				
Received From Party		Received From - Customer ID	Received From - Customer Name	Paceluad From Customer Name		Branch		
Applicant	-	001044 Q	GOODCARE PLC					
32B - Currency Code, Amount		Priority	Submission Mode		Process Reference Num	PK2-Oracle Banking Trade Fina * Process Reference Number		
GBP ▼ £1,000.00		Medium	Desk	Desk		42		
Application Date		Customer Reference Number	Copy Existing Undertaking		Template Name			
April 20, 2022	Ē			Q		٩		
✓ SBLC/Guarant	ee Details							
22D - Form of Undertaking		Type of Undertaking	Narrative		Product Code			
STBY - Standby L	.C 🔻	Advance Payment Guarantee 🔹		C	VASA	۹		
Product Description		20 - Undertaking Number	User Reference Number		22A - Purpose of Message			
Stand by LC Issuance		VASA221100000501	VASA221100000501		ISCO - Issuance of counter-unc 🔹			
23X - File Identificatio	n	23X - Narrative	30 - Date of Issue		40C - Applicable Rules			
FAXT - Fax transf	er 🔹		April 20, 2022	Ē	UCPR - Uniform customs and F 💌			
40C - Narrative		23B - Expiry Type	Effective Date		Tenor			
	D	COND - Without Expiry 🗸	April 20, 2022					
						•		
31E - Date of Expiry		Auto Renewal	35G -Expiry Condition/ Event		51A - Applicant Bank			
C.C. (55)(0)(1)(1)(1)(2)/2	Ē		XYX			D		
Applicant		Beneficiary	Advising Bank		Counter SBLC/Guarantee Issuing Bank			
001044 Q	GOODCARE 🕻	CIF0184445 Q CIF0184445 D	٩	Co		D		
Local SBLC/Guarantee		39F - Supplementary Information About Amount	Accountee		Amount In Local Curren			
8513877	CIF10143171 D		Q	D	GBP *	£1,000.00		
51- Obligor/ Instructin	g Party	Obligor Collateral Percentage	Auto Close		Closure Date			
Q	D							
Revenue Sharing Perc	entage	Limit verification required	Language Code					
			ENG Q					

Figure 2-4 Guarantee - SBLC Issuance - Registration - Application Details

3. On Guarantee - SBLC Issuance - 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.

Field	Description
Received from Applicant Bank	Guarantee Issuance request can be received either from the applicant or the applicant's bank. Enable the option, if Guarantee Issuance request is received from applicant's bank. Disable the option, if Guarantee Issuance request is received from applicant.
Received From - Customer ID	Specify the Customer ID of the applicant or applicant's bank. Alternatively, click Search to search and select the Customer ID.
Received From - Customer Name	Name of the customer or applicant. This field will be auto populated based on the selected customer ID.
Branch	 Select the branch. By default, customer's home branch will be displayed based on the customer ID and it can be changed, if required. Note: Once the request is submitted, Branch field is noneditable. If the Guarantee Issuance is at Counter Issuing Bank (CIB), Branch to be resolved from CIF. If the Guarantee Issuance is at Local Issuing Bank (LIB), Branch to be resolved from CIF.
Currency Code, Amount	Select the currency code from the drop-down list and tab out. Specify the value of LC (with decimal places) as per currency type. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.
Priority	Priority maintained will be populated as either 'Low or Medium or High or Essential or Critical'. If priority is not maintained for a customer, Medium priority will be defaulted. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is defaulted and user can change its value. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is defaulted and user can change its value.

Table 2-3Guarantee - SBLC Issuance - Registration - Application Details - FieldDescription

Field	Description					
Submission Mode	Select the submission mode of Guarantee Issuance request from the drop-down list.					
	By default the submission mode will have the value as 'Desk'.					
	 Desk - Request received through Desk Fax- Request received through Fax Fax- Request received through Fax 					
	 Email- Request received through Email SWIFT-Non STP - Request received through SWIFT 					
	Courier - Request received through Courier					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and SWIFT.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and SWIFT.					
Process Reference Number	Unique OBTFPM task reference number for the transaction.					
Number	This is auto generated by the system based on process name and branch code.					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and generated by system.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and generated by system.					
Application Date	The application displays the branch's current date by default, and enables the user to change the date to any back date.					
	Note:					
	Future date selection is not allowed.					
Customer Reference Number	Specify a unique Customer Reference Number which is provided by the applicant/applicant bank.					
Copy Existing Undertaking	Specify the existing undertaking number, the system populates the details of the guarantee. Alternatively, click Search to search and select the existing undertaking to be copied, if required.					
	If an existing undertaking is to be copied, the details of the LC is captured here.					

Table 2-3 (Cont.) Guarantee - SBLC Issuance - Registration - Application Details -Field Description

Field	Description
Template Name	Specify the template name if the applicant details are already captured and the data can be reused with the template to reduce the effort. Alternatively, click Search to search and select the Template code.
	The details pertaining to the subsequent screens in scrutiny and data enrichment screens will be persisted and populated when you move to the relevant screens.
	Before populating the screens, application will check if there are any existing values and will display an alert message ' Value exist already in few fields - Do you want to use the template - Yes/No'. If the you click on Yes the existing details will be over-written with the template values
	This is applicable only for the non-online Guarantee Issuance request.

Table 2-3 (Cont.) Guarantee - SBLC Issuance - Registration - Application Details -Field Description

Guarantee Details

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

22D - Form of Undert	aking		Type of Undertaking		Narrative		Product Code		
STBY - Standby	LC	-	Advance Payment Guarantee			Co	VASA	٥	
Product Description			20 - Undertaking Num	ber	User Reference Number		22A - Purpose of Me	22A - Purpose of Message	
Stand by LC Issu	ance		VASA2211000005	501	VASA221100000501		ISCO - Issuance	of counter-unc 💌	
23X - File Identificatio	n		23X - Narrative		30 - Date of Issue		40C - Applicable Rule	es	
FAXT - Fax trans	fer	•		D	April 20, 2022	Ē	UCPR - Uniform	customs and F 💌	
40C - Narrative			23B - Expiry Type		Effective Date		Tenor		
G		COND - Without E	Expiry -	April 20, 2022					
								•	
31E - Date of Expiry			Auto Renewal		35G -Expiry Condition/ Event		51A - Applicant Bank		
		 			ХҮХ			C	
Applicant			Beneficiary		Advising Bank		Counter SBLC/Guarantee Issuing Bank		
001044 Q	GOODCARE	D	CIF0184445 Q	CIF0184445 🕻	Q	D		D	
Local SBLC/Guarante	e Issuing Bank		39F - Supplementary I	nformation About Amount	Accountee Amount In Local Currence		rency		
8513877	CIF10143171	C			Q	D	GBP *	£1,000.00	
51- Obligor/ Instructing Party			Obligor Collateral Percentage		Auto Close		Closure Date		
B,	1111	D							
Q		Revenue Sharing Percentage		Limit verification required					
٩	entage		Limit verification requ	ired	Language Code				

4. On Guarantee Issuance - 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.



Field	Description
Form of Undertaking	 Select the Form of Undertaking from the available options: DGAR - Guarantee STBY - Standby LC
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.
Type of Undertaking	Select the type of undertaking from the following available options. The options are are: • Advance Payment Guarantee • Credit Facilities Guarantee • BILL - Bill of Lading • CUST - Customs • DPAY - Direct Pay • INSU - Insurance • JUDI - Judicial • LEAS - Lease • PAYM - Payment • PERF - Performance • RETN - Retention • SHIP - Shipping • TEND - Tender or Bid • WARR - Warranty/ maintenance • OTHR - Others
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the
	field is Read only and populated from Incoming MT 760.
Narrative	Specify the narrative in this field. This field is enabled if Type of Undertaking field values is OTHR .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.
Product Code	Specify the product code and on tab out system will validate and populate the selected product description. The product codes will be listed based on the selected value in Form of Undertaking. Alternatively, click Search to search and select the product code with code or product description.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), user can enter the product code.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), use can enter the product code.

Table 2-4Guarantee Issuance - Registration - SBLC/Guarantee Details - FieldDescription



Field	Description				
Product Description	Read only field.				
	This field displays the description of the product, auto populated by the application based on the Product Code selected.				
Undertaking Number	Read only field.				
	This field displays the undertaking number available in the guarantee/SBLC.				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), Undertaking Number is generated from Back office System and in incoming MT 760 to be populated against Reference field for party CIB.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), Undertaking Number is generated from Back office System and in incoming MT 760 to be populated against Reference field for party CIB.				
User Reference Number	System defaults the user reference number, depending on the selection of product code.				
	User can change the User Reference Number.				
Purpose of Message	 Select the purpose of message from the drop-down. The values are: ISSU - Issue of Undertaking: In case the Undertaking is sent through SWIFT MT 760, the advising bank has to just advise the Undertaking to the Beneficiary. 				
	In case the Undertaking is advised through Mail Advice, the guarantee can be directly mailed by the Issuing bank to the Beneficiary.				
	 This is applicable for Guarantees/ Local Guarantees and SBLC (Standby LC) ICCO - Issuance of counter-counter-undertaking: Issuance of counter-counter-undertaking and request to issue counter-undertaking. 				
	 The bank receiving the Undertaking (usually through SWIFT MT 760) is required to issue a Counter-undertaking to another bank requesting the third Bank to issue Local Undertaking favoring the Beneficiary. ISCO - Issuance of counter undertaking: Issuance of counter undertaking and request to issue local undertaking 				
	The bank receiving the Undertaking (usually through SWIFT MT 760) is required to issue Local Undertaking to the beneficiary.				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), Purpose of Message is 'ISCO'. If the Guarantee Issuance is at Local Issuing Bank (LIB), Purpose of Message is 'ISSU'.				

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



Field	Description
File Identification	 Select the type of delivery channel and its associated file name or reference from the available values. The options are: COUR - Courier delivery EMAL - Email transfer FACT - SWIFTNet FileAct FAXT - Fax transfer HOST - Host-to-Host MAIL - Postal Delivery OTHR - Other delivery channel If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.
Narrative	Specify the description in this field, if File Identification field values are COUR or OTHR . If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.
Date of Issue	 Read only field. Application defaults the branch's current date as date of issue. User cannot change the defaulted date. Application will populate the Date of Issue field with branch date on approval if date of approval is later than date of Registration. If the Guarantee Issuance is at Counter Issuing Bank (CIB), Date of Issue = Branch Date (Date of Issue in incoming MT 760 should be mapped to Party CIB- Field Date). If the Guarantee Issuance is at Local Issuing Bank (LIB), Date of Issue = Branch Date (Date of Issue in incoming MT 760
Applicable Rules	 should be mapped to Party CIB- Field Date). Select the applicable rules for guarantee issuance. The options are: URDG - Uniform rules for demand guarantees UCPR - Uniform customs and Practices ISPR - International standby Practices ISPR - International standby Practices NONE - Not subject to any rules OTHR If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.

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

Field	Description			
Narrative	Specify the description in this field, if Applicable Rules field values is OTHR .			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Ехрігу Туре	Select the expiry type for guarantee issuance. This field indicates whether undertaking has specified expiry date or is open-ended.			
	The options are: COND - With Expiry			
	 CONU - Without Expiry FIXD - Specified expiry date (with/without automatic expansion) OPEN - No specific date of expiry 			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Effective Date	The effective date is defaulted from guarantee issuance. The user can change the date.			
Tenor	Specify the value for tenor and select the value from the drop-down. The drop down is enabled, if Expiry Type is COND and FIXD .			
Date of Expiry	Select the expiry date of the LC. The expiry date can be equal or greater than the issue date. If the Expiry Date is earlier than the issue date, system will provide an error and if the 'Expiry Date is equal to the Issue Date', system will provide a alert message.			
	The field is enabled, if Expiry Type is COND and FIXD . If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Expiry Condition/Event	Specify the expiry condition/event. This field specifies the documentary condition/event that indicates when the local undertaking will cease to be available.			
	The field is enabled, if Expiry Type is COND and CONU .			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Applicant Bank	This field displays the applicant bank details , if Received From Applicant Bank option is enabled.			
	If request is not received from applicant bank, this field must be blank.			

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



Field	Description
Applicant	This field displays the applicant details based on the details provided in Application Details section.
	Specify the applicant or alternatively, click Search to search and select the applicant from the look-up, if Received From Applicant Bank option is enabled.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Beneficiary	Specify the beneficiary or click Search to search and select the beneficiary in whose favor the undertaking (or counter-undertaking) is issued. 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.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), Customer ID to be resolved from incoming message. If required use Walk-in ID. Bene ID/ name should be made amendable by the user.
Advising Bank	Specify the advising bank name or click Search to search and select the advising bank based on Party ID/Party Name.
	User can also input the party ID and on tab out system will validate and populate the 'Advising Bank' name.
	Note: 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".
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.

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

Field	Description
Counter SBLC/Guarantee Issuing Bank	Specify the Counter Guarantee Issuance bank name or click Search to search and select the Counter Guarantee Issuance Bank bank This field is enabled, if Purpose of Message is ICCO .
	Note: 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.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
Local SBLC/Guarantee Issuing Bank	Specify the Local SBLC/Guarantee Issuance bank name or click Search to search and select the Local SBLC/Guarantee Issuance Bank bank.
	This field is enabled, if Purpose of Message is ICCO or ISCO .
	Note: If Local Issuing Bank has value and Counter Issuing Bank has no value, and in case the selected Bank is not RMA Compliant, the system displays error message "RMA arrangement not available".
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
Supplementary Information About Amount	Specify the additional amounts related to undertaking. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), Customer ID to be resolved from incoming message. If required use Walk-in ID. Bene ID/ name should be made amendable by the user.
Accountee	Specify the accountee or click Search to search and select the accountee.
Amount In Local Currency	Read only field. After the tab out of 'Currency Code, Amount' field, system fetches the local currency equivalent value for the transaction amount from back office (with decimal places).
Obligor/ Instructor Party	Specify the Local SBLC/Guarantee Issuance bank name or click Search to search and select the name of the obligor from the lookup.

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



Field	Description			
Field	Description			
Obligor Collateral Percentage	Specify the value for obligor collateral percentage. This field is mandatory if the field Obligor/ Instructor Party has value.			
Auto Close	Enable the option, if Auto close is required for that transactions. Disable the option, if Auto close is not required for that transactions.			
Closure Date	This field displays the "Closure Date" defaulted by the system, with the value "Expiry Date" + No of Closure days maintained in the respective Product in which the contract has been created. System automatically close the contract on the specified "Closure Date" if "Auto Close" is selected as "Yes" for the specific contract.			
	 User can modify the system defaulted "Closure Date" and system should validate the same for the below conditions, Closure Date must be after the Issue Date. Closure Date must be after the Expiry Date. Closure Date cannot be blank, when the "Auto Close" is 			
	checked.			
Revenue Sharing Percentage	 Read only field. System populates the values from the "Trade Finance Customer Maintenance" if the below conditions are met. Purpose of Message is "ISCO" or "ICCO" CIB or LIB is captured in the Guarantee Contract. 			
	 If CIB and LIB is available in the Guarantee Contract, then system should populate the "Revenue sharing Percentage" maintained against party CIB. 			
	• If LIB is only available without CIB in the Guarantee Contract, then system should populate the "Revenue sharing Percentage" maintained against party LIB.			
	Percentage should be populated after tab out from LIB field.			
Limits verification Required	Enable the option to enable limit check during the process flow of this request. Disable the option to disable limit check during the process flow of this request.			
Language Code	Specify the language code or click Search to search and select the language code from the look-up.			

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

5. Click Submit.

The task will move to next logical stage of Guarantee Issuance. For more information refer Scrutiny.

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

Table 2-5	Guarantee Issuance	- Registration	- Action Buttons	- Field Description
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Field	Description
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.



Field	Description			
Documents	Jpload the documents received. Application displays mandatory documents to be uploaded for Guarantee Issuance.Place holders are also available to upload additional documents submitted by the applicant			
Remarks	Specify any additional information regarding the Guarantee Issuance This information can be viewed by other users processing the equest.			
Customer Instruction	 Click to view/ input the following: 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. 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. 			
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.			
Cancel	Cancels the Guarantee issuance task. Details entered will not be saved and the task will be removed.			
Save & Close	Save the information provided and holds the task in 'My Task' queue for working later. This option will not submit the request.			
Submit	Click Submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. The task will move to next logical stage of Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.			
Checklist	Click to view the list of items that needs to be completed and acknowledge. If mandatory checklist items are not selected, system will display an error on submit.			

Table 2-5 (Cont.) Guarantee Issuance - Registration - Action Buttons - Field Description

Document Linkage

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

2.2.1 Document Linkage

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

The user can link an existing uploaded document in any of the process stages. 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 appears.

Documents			
Document Status All	•		
Letter of Credit Pro-forma Invoice	Letter of Credit Application Form	(+)	
Ţ	±.		
			Close

2. Click the , click Add Additional Documents button/ link.

The **Document** screen appears.

Field	Description
Document Type	Select the document type from list. Indicates the document type from metadata.
Document Code	Select the document Code from list. 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 appears.

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



mport LC Issuance	Document					Customer Instruction	Common Group Messages	
Application Details e eived From Applicant Bank	Document Type * Letter of Credit	¥	Document Code Insurance Policy			iranch *		
rierity *	Document Title *	Link Document						
Low * Dutomer Reference Number	Remarks	Customer Id * 001044 Document Type * Letter of Credit	¥		Document Document Insurance	Code *	v	
LC Details Redving	Drop files here or click to select	Fetch						
d tsing Bank Q. 3 - Reference To Pre-Advice	Selected files: []	Document Id 2400 Page 1 of 1 (Customer Id 001044 I of 1 items) K	Document Type	Document Code	Link Document		
1D - Place of Expiry								
9A - Percentage Credit Amount Tolerance								
urrount in Local Currency								Close

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.

ocuments		
cument Status All	<u>.</u>	
Letter of Credit Pro-forma Invoice	Letter of Credit Application Form	wqwq.png
		Created - 2022-06-28 By - PERI01
<u>£</u>	<u>±</u>	۹ 🕑 🕹
\frown		_
		×c

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

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

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

The **Edit Document** screen is displayed.

Edit Document					
Document Id			Document Title		
2400			wqwq		
Application Referer	nce Number		Entity Reference Numbe	r	
PK2ILCI000019041			PK2ILCI000019041		
Document Type Id			Document Description		
TFPM_DOCTYPE00	01				
Remarks			Document Expiry Date		
			Jun 29, 2022	ttt	
	Drop files here or click to	o select	Current selected files: []		
				Update	Cancel



2.3 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 All	_		
Letter of Credit Collateral – Deposit Receipt	Letter of Credit Insurance Policy	Pro-forma Invoice	
Ţ	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.



-	dment Scrutiny :: Application	on No:-	Clarif	ication Details Docum	ents Remarks	Overrides Customer Instruction			
K2ILCA000001	597				Incoming Me	view LC	Signatures		
lain Details	Main Details						Scre		
vailability Shipment	✓ Application Details								
ayment Details	20 - Documentary Credit Number	Received From Party		Received From - Custo	mer ID	Received From -	Received From - Customer Name		
mendment Details	PK2ILSR21125ATPI	Applicant	-	001044	Q	GOODCARE	PLC		
dditional Fields	Branch	Amendment No		Process Reference Nur	nber	Priority			
dditional Details	-	1		PK2ILCA0000015	97	Medium	Medium		
ummary	Submission Mode		Customer Reference N	umber	User Reference Number				
	Desk	April 20, 2022	i iii			PK2ILSR2112	5ATPI		
	Beneficiary Consent								
	 LC Details Revolving 	LC Type		Product Code		Product Descript			
	✓ LC Details	LC Type Sight	T	Product Code ILSR			tion ght Revolving advance		
	C LC Details Revolving C Advising Bank	Sight 40A - Form of Documentary Cred		ILSR 31C - Date of Issue		Import LC Sig	ght Revolving advance Rules		
	 LC Details Revolving Revolving 	Sight 40A - Form of Documentary Cred	₹ Ht	ILSR		Import LC Sig	ght Revolving advance Rules		
	LC Details Revolving C Advising Bank 001185 Q RBS PLC D Date of Expiry	Sight 40A - Form of Documentary Cred IRREVOCABLE 31D - Place of Expiry		ILSR 31C - Date of Issue		Import LC Sig	ght Revolving advance Rules		
	LC Details Revolving C Advising Bank O01165 Q RBS PLC C	Sight 40A - Form of Documentary Cred IRREVOCABLE 31D - Place of Expiry		ILSR 31C - Date of Issue May 5, 2021		Import LC Sig 40E - Applicable UCP LATEST	ght Revolving advance Rules		
	LC Details Revolving C Advising Bank 001185 Q RBS PLC D Date of Expiry	Sight 40A - Form of Documentary Cred IRREVOCABLE 31D - Place of Expiry		ILSR 31C - Date of Issue May 5, 2021	C.	Import LC Sig 40E - Applicable UCP LATEST Applicant 001044	ght Revolving advance Rules VERSION		
	LC Details Revolving Advising Bank O01185 Q RBS PLC Q Date of Expiry May 31, 2021	Sight 40A - Form of Documentary Cred IRREVOCABLE 31D - Piece of Expiry LONDON Accountee		ILSR 3IC - Date of Issue May 5, 2021 51A - Applicant Bank	C.	Import LC Sig 40E - Applicable UCP LATEST Applicant 001044	ght Revolving advance Rules VERSION GOODCARI		
	LC Details Revolving Advising Bank O01185 Q RBS PLC C Date of Expiry May 31, 2021	Sight 40A - Form of Documentary Cred IRREVOCABLE 31D - Piece of Expiry LONDON Accountee	•	ILSR 31C - Date of Issue May 5, 2021 51A - Applicant Bank 32B - Currency Code, A	Imount £100,000.00	Import LC Sig 40E - Applicable UCP LATEST Applicant 001044	ght Revolving advance Rules VERSION GOODCARI		

- 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 🗘	Raised By	٥	Clarification Date	٥	Response	٥	Response Date	٥	Response Type	٥	Status	٥
lo data to di	splay.												
age 1 ((0 of 0 items) <	4 1 →	>										
Re Clarificatio	n Manual Update	Withdraw Cla	rificati	on									
	voice in not uploaded												
Dorforma in													
instead som	e other document is	·											
instead som uploaded as	e other document is Performa invoice.												
instead som uploaded as Please delet document a	e other document is Performa invoice. e the present nd upload the	, 											
instead som uploaded as Please delet	e other document is Performa invoice. e the present nd upload the	, 											

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



Menu Item Search Q	Aw	aiting	Customer Cl	larification				
Tasks	0	Refresh	Assign	R Flow Diagram				
waiting Customer Clarification		Edit	Priority 🗘	Process Name 🗘	Process Reference Number 💲	Application Number 💲	Stage 🗘	Application Date 💲
		Edit	High	Import LC Issuance	PK2ILCI000062954	PK2ILCI000062954	Scrutiny	22-04-20
Completed Tasks								
lold Tasks								
ly Tasks								
ubProcess Tasks								
Supervisor 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.

Letter of Credit	Letter of Credit	Letter of Credit	Letter of Credit
Collateral – Deposit Receipt	Insurance Policy	Import license	Purchase Order
<u>↑</u>	.↑	<u>↑</u>	<u>↑</u>

2.4 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.
- 2. 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.

2.5 Scrutiny

This topic provides the systematic instructions to initiate the Scrutiny stage of Guarantee issuance request.

On successful completion of Registration of an Guarantee Issuance, the task moves to Scrutiny stage. At this stage the gathered information during Registration are scrutinized. In case of MT798 message, if the User encounters validation error during handling the task, user can put the task on 'Hold' and resume after getting the correct details from the customer (by manually sending a message through common group messages). 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.

Guarantee Issuance request initiated by Customer having SWIFT for corporates (MT798-MT784/MT760/MT761) will be STP and task will be available in Scrutiny stage for further handling by the Bank User.

The Incoming MT798 message contains three sections.

- MT798 Index Message which contains the Sub message type 784
- MT798 Details Message which contains the Sub Message type 760 (MT700 tags with values)
- MT798 Extension Message which contains the Sub Message type 761 (MT761 Extension message tag values) if applicable.

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.

Do the following steps to acquire a task currently at Scrutiny stage:

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



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

ORACLE					DEF	AULTENTITY (DEFAULT	Oracle Banking Trade Financ April 20, 2022	Ĵ ATEST11 ∖
Menu Item Search Q	Free	Tasks						
< Tasks	Q	Refresh	quire \$ \$3 FI	ow Diagram				
Awaiting Customer Clarification		Acquire and Edit	Priority 0	Process Name 🗘	Process Reference Number 0	Application Number 🗘	Stage 🗘	Application Date
Business Process Maintenance		Acquire and Edit	Medium	Guarantee Issuance	PK2GTEI000064742	PK2GTEI000064742	Scrutiny	22-04-20
Completed Tasks		Acquire and Edit	High	Import LC Issuance	PK2ILCI000064741	PK2ILCI000064741	Scrutiny	22-04-20
Free Tasks		Acquire and Edit	High	Import LC Issuance	PK2ILCI000064740	PK2ILCI000064740	Scrutiny	22-04-20
Hold Tasks		Acquire and Edit	High	Import LC Issuance	PK2ILCI000064739	PK2ILCI000064739	Scrutiny	22-04-20
My Tasks		Acquire and Edit	Medium	Islamic Export Docum	PK2IEDL000064733	PK2IEDL000064733	DataEnrichment	22-04-20
Other User tasks		Acquire and Edit	High	Import LC Issuance	PK2ILCI000064722	PK2ILCI000064722	DataEnrichment	22-04-20
Search		Acquire and Edit	Medium	Islamic Export Docum	PK2IEDU000064726	PK2IEDU000064726	DataEnrichment	22-04-20
SubProcess Tasks		Acquire and Edit	Medium	Islamic Export Docum	PK2IEDU000064706	PK2IEDU000064706	Approval Task Level 1	22-04-20
Supervisor Tasks		Acquire and Edit		Import LC Issuance	PK2ILCI000064717	PK2ILCI000064717	Scrutiny	22-04-20
		Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064705	PK2ILCL000064705	DataEnrichment	22-04-20
		Acquire and Edit	Medium	Export Documentary	PK2EDCL000064677	PK2EDCL000064677	Approval Task Level 1	22-04-20
		Acquire and Edit	Medium	Export Documentary	PK2EDCR000063569	PK2EDCR000063569	Approval Task Level 1	22-04-20
		Acquire and Edit	Medium	Export Documentary	PK2EDCU000064697	PK2EDCU000064697	DataEnrichment	22-04-20

Figure 2-5 Free Task

The Free Task screen appears.

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

Menu Item Search Q	Му	Tasks						
۲asks ک	0	Refresh	Release	Escalate B De	legate 🖁 Flow Diagram			
Awaiting Customer Clarification		Edit	Priority 0	Process Name 🗘	Process Reference Number 0	Application Number 0	Stage 0	Application Date 0
Business Process Maintenance		Edit	Medium	Guarantee Issuance	PK2GTEI000064742	PK2GTEI000064742	Scrutiny	22-04-20
Completed Tasks		Edit	Medium	Islamic Export Docum	PK2IEDC000064737	PK2IEDC000064737	Approval Task Level 1	22-04-20
Free Tasks		Edit	Medium	Islamic Export Docum	PK2IEDU000064689	PK2IEDU000064689	Approval Task Level 1	22-04-20
Hold Tasks		Edit	Medium	Islamic Export Docum	PK2IEDL000064643	PK2IEDL000064643	DataEnrichment	22-04-20
My Tasks		Edit	Medium	Export Documentary	PK2EDCB000064574	PK2EDCB000064574	DataEnrichment	22-04-20
Other User tasks		Edit	Medium	Islamic Export LC Clos	PK2IECL000064549	PK2IECL000064549	DataEnrichment	22-04-20
Search		Edit	Medium	Export LC Drawing - Is	PK2IELD000064491	PK2IELD000064491	DataEnrichment	22-04-20
SubProcess Tasks		Edit	Medium	Islamic Export LC Reo	PK2IELR000064457	PK2IELR000064457	DataEnrichment	22-04-20
upervisor Tasks		Edit	Medium	Islamic Export LC Reo	PK2IELR000064448	PK2IELR000064448	AmountBlock Exception A	22-04-20
		Edit	Medium	Export LC Transfer	PK2ELCT000064421	PK2ELCT000064421	Approval Task Level 1	22-04-20
		Edit	Medium	Export LC Transfer	PK2ELCT000064430	PK2ELCT000064430	Registration	22-04-20
		Edit	Medium	Export LC Transfer	PK2ELCT000064428	PK2ELCT000064428	Registration	22-04-20
		Edit	Medium	Export LC Drawing Up	PK2ELCU000063760	PK2ELCU000063760	DataEnrichment	22-04-20

Figure 2-6 My Task

The Scrutiny stage has the following hops for data capture:



Chapter 2 Scrutiny

- Main Details
- Guarantee Preferences
- Local Guarantee
- Additional Details
- Summary

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

• Main Details

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

- Guarantee Preferences This topic provides the systematic instructions to capture the Guarantee preference details in Scrutiny tage.
- Local Guarantee This topic provides the systematic instructions to capture the local guarantee details of Scrutiny stage.
- Additional Details This topic provides the systematic instructions to capture the additional details
- Summary

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

2.5.1 Main Details

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

Main details section has two sub section as follows:

- Application Details
- Guarantee Details.

Application Details

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



Guarantee Issuan		pplicatio	1 NO:-		AI Summary	- annica	tion Details	Documents	Remarks	Overrides	castonine	er Instruction	11 >
PK2GTEI0000647	42									Incoming Me	ssage	Signatures	
Main	Main												Screen(1/
Guarantee Preferences	 Application De 	tails											
Local Guarantee	Received From Party			Received From - Custo	omer ID		Received Fro	om - Customer N	ame	Branch			
Additional Details	Applicant		-	001044		Q	GOODC	ARE PLC		PK2-0	Dracle Bai	nking Trade Fin	* 5I
Summary	32B - Currency Code, A	Amount		Priority			Submission Mode		Process Reference Number				
	GBP *	£1,000	0.00	Medium		•	Desk			PK2G	TEI00000	64742	
	Application Date			Customer Reference N	lumber		Copy Existin	g Undertaking		Template	Name		
	April 20, 2022		<u>iii</u>						Q				Q
	View/Use Template												
	View Guarantee/SB	LC Use											
	✓ SBLC/Guarante	ee Details											
	22D - Form of Underta	aking		Type of Undertaking			Narrative			Product 0	Code		
	STBY - Standby L		+	Advance Paymen	t Guarantee	•			D	VASA			Q
	Product Description			20 - Undertaking Num	ing Number		User Reference Number		22A - Purpose of Message				
	Stand by LC Issuance			VASA2211000005	221100000501		VASA221100000501		ISCO - Issuance of counter-unc		nc •		
	23X - File Identificatio	n		23X - Narrative			30 - Date of	Issue		40C - Apj	plicable Ru	iles	
	FAXT - Fax transf	er	•			C	April 20, 2	022	Ē	UCPR	- Uniform	m customs and	F 🔹
	40C - Narrative			23B - Expiry Type			Effective Da	te		Tenor			
			C	COND - Without	Expiry	•	April 20, 2	022	曲				
	31E - Date of Expiry			Auto Renewal	to Renewal		35G -Expiry Condition/ Event		51A - App	51A - Applicant Bank			
	1								D		là		
	Applicant			Beneficiary			Advising Ba			Counter S	5BLC/Guar	rantee Issuing Ba	
	001044 Local SBLC/Guarantee	GOODCAR	D	CIF0184445 Q 39F - Supplementary I	CIF0184449		Accountee	Q	D	Amount	In Local Cu	Intency	Co
	8513877	CIF10143171	C	577 - Supplementary			Accountee	Q	G	GBP			00.00
	51- Obligor/ Instructing Party			Obligor Collateral Perc	entage		Auto Close			Closure D	Date		
	Q		Ca										i i i i i i i i i i i i i i i i i i i
	Revenue Sharing Perc	entage		Limit verification requ	ired		Language C	ode					
							ENG		Q				

Figure 2-7 Scrutiny - Main Details

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 2-6Guarantee - SBLC Issuance - Registration - Application Details - FieldDescription

Field	Description
Received from Applicant Bank	Read only field. This field displays, if Guarantee Issuance request is received from the applicant or the applicant's bank.
Received From - Customer ID	Read only field. This field displays the Customer ID.

Field	Description
Received From - Customer	Read only field.
Name	This field displays the name of the customer or applicant. This field will be auto populated based on the selected customer ID.
Branch	Read only field.
	By default, customer's home branch will be displayed based on the customer ID and it can be changed, if required.
	Note: Once the request is submitted, Branch field is non- editable.
Currency Code, Amount	Read only field.
	This field displays the currency code and the value of LC (with decimal places) as per currency type.
Priority	Set the priority of the Guarantee issuance 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.
Submission Mode	Read only field.
	This field displays the submission mode of Guarantee Issuance request.
	By default the submission mode will have the value as 'Desk'.
	 Desk - Request received through Desk Fax - Request received through Fax Email - Request received through Email SWIFT-Non STP - Request received through SWIFT Courier - Request received through Courier
Process Reference Number	Read only field.
	Unique OBTFPM task reference number for the transaction.
	This is auto generated by the system based on process name and branch code.

Table 2-6 (Cont.) Guarantee - SBLC Issuance - Registration - Application Details -Field Description

Field	Description
Application Date	Read only field. By default, the application displays the branch's current date.
	Note: Future date selection is not allowed.
Customer Reference Number	Specify a unique Customer Reference Number which is provided by the applicant/applicant bank.
Copy Existing Undertaking	Specify the existing undertaking number, the system populates the details of the guarantee. Alternatively, click Search to search and select the existing undertaking to be copied, if required.
	If an existing undertaking is to be copied, the details of the LC is captured here.
Template Name	Specify the template name if the applicant details are already captured and the data can be reused with the template to reduce the effort. Alternatively, click Search to search and select the Template code.
	The details pertaining to the subsequent screens in scrutiny and data enrichment screens will be persisted and populated when you move to the relevant screens.
	Before populating the screens, application will check if there are any existing values and will display an alert message ' Value exist already in few fields - Do you want to use the template - Yes/No'. If the you click on Yes the existing details will be over-written with the template values
	This is applicable only for the non-online Guarantee Issuance request.
View Guarantee/ SBLC	Click to view the details of the selected template in Template Name.
Use	Click to use the selected template in Template Name.

Table 2-6(Cont.) Guarantee - SBLC Issuance - Registration - Application Details -Field Description

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/Guarar	itee Details									
	22D - Form of Undertaking			Type of Undertaking			Narrative		Product Code		
	STBY - Standby LC 👻		Advance Payment Guarantee 🔹			Cò	VASA	Q			
	Product Description			20 - Undertaking Num	20 - Undertaking Number				22A - Purpose of Message ISCO - Issuance of counter-unc ▼ 40C - Applicable Rules UCPR - Uniform customs and F ▼		
	Stand by LC Issuance 23X - File Identification FAXT - Fax transfer 40C - Narrative		VASA221100000501 23X - Narrative			VASA221100000501					
						30 - Date of Issue					
			•			April 20, 2022					
			23B - Expiry Type			Effective Date		Tenor			
			D	COND - Without E	Expiry	•	April 20, 2022	Ē			
	31E - Date of Expiry		Auto Renewal					•			
						35G -Expiry Condition/ Event		51A - Applicant Bank			
			▦				ХҮХ			D	
	Applicant			Beneficiary			Advising Bank		Counter SBLC/Guarantee Issuing Bank		
	001044	GOODCARE	6	CIF0184445 Q	CIF0184449	C	Q	D		D	
	Local SBLC/Guarant	tee Issuing Bank		39F - Supplementary Information About Amount			Accountee		Amount In Local Currency		
	8513877	CIF10143171	C	23			Q	D	GBP -	£1,000.00	
	51- Obligor/ Instruct	51- Obligor/ Instructing Party			Obligor Collateral Percentage		Auto Close		Closure Date		
	C	QD							- E		
	Revenue Sharing Percentage		Limit verification required			Language Code					
							ENG Q				

Note:

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

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

Field	Description
Form of Undertaking	 System dafaults the type of LC (Documentary Credit) as per the requirement. By default LC type is Irrevocable. DGAR - Guarantee STBY - Standby LC User can change the value of Form of Undertaking.
Type of Undertaking	System dafaults the type of undertaking.
Type of onder taking	User can change the value of type of Undertaking.
Narrative	Specify the narrative in this field. This field is enabled if Type of Undertaking field values is OTHR .
Product Code	Read only field.
	This field displays the product code . The product codes will be listed based on the selected value in Form of Undertaking.
Product Description	Read only field.
	This field displays the description of the product as per the product code.

Table 2-7	Guarantee Issuance - Registration - Guarantee Details - Field Description
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Field	Description
Undertaking Number	Read only field.
	This field displays the undertaking number available in the guarantee/SBLC.
User Reference Number	This field displays the user reference number, simulated from the back office. Number will be populated on the selection of Product Code.
	User can change the User Reference Number.
Purpose of Message	 System dafaults the purpose of message as enetered in Regesitration stage. The values are: ISSU - Issue of Undertaking: In case the Undertaking is sent through SWIFT MT 760, the advising bank has to just advise the Undertaking to the Beneficiary.
	In case the Undertaking is advised through Mail Advice, the guarantee can be directly mailed by the Issuing bank to the Beneficiary.
	 This is applicable for Guarantees/ Local Guarantees and SBLC (Standby LC) ICCO - Issuance of counter-counter-undertaking: Issuance of counter-counter-undertaking and request to issue counter-undertaking.
	 The bank receiving the Undertaking (usually through SWIFT MT 760) is required to issue a Counter-undertaking to another bank requesting the third Bank to issue Local Undertaking favoring the Beneficiary. ISCO - Issuance of counter undertaking: Issuance of counter undertaking and request to issue local undertaking
	The bank receiving the Undertaking (usually through SWIFT MT 760) is required to issue Local Undertaking to the beneficiary.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), Purpose of Message is 'ISCO'. If the Guarantee Issuance is at Local Issuing Bank (LIB), Purpose of Message is 'ISSU'.
	The user can change the purpose of message.

Field	Description
File Identification	 System dafaults the type of delivery channel and its associated file name or reference from the available values. The options are: 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	Specify the narrative in this field. This field is enabled if File Identification field values is OTHR .
Date of Issue	Read only field. This field displays the branch's current date as date of issue defaulted from the application.
	Application will populate the Date of Issue field with branch date on approval if date of approval is later than date of Registration.
Applicable Rules	 System dafaults the applicable rules for guarantee issuance. The options are: URDG - Uniform rules for demand guarantees UCPR - Uniform customs and Practices ISPR - International standby Practices NONE - Not subject to any rules OTHR User can change the value of Applicable Rules.
Narrative	Specify the narrative in this field. This field is enabled if Applicable Rules field values is OTHR .
Expiry Type	 System dafaults the expiry type from guarantee issuance. This field indicates whether undertaking has specified expiry date or is open-ended. The options are: COND - With Expiry CONU - With Expiry FIXD - Specified expiry date (with/without automatic expansion) OPEN - No specific date of expiry User can change the value of Expiry Type.
Effective Date	The effective date is defaulted from guarantee issuance. The user can change the date.
Tenor	Specify the value for tenor and select the value from the drop-down. The drop down is enabled, if Expiry Type is COND and FIXD .
Date of Expiry	Select the expiry date of the LC. The expiry date can be equal or greater than the issue date. If the Expiry Date is earlier than the issue date, system will provide an error and if the 'Expiry Date is equal to the Issue Date', system will provide a alert message.



Field	Description				
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 Expiry Type is COND and CONU .				
Applicant Bank	Read only field.				
	This field displays the applicant bank details, if Received From Applicant Bank option is enabled. If request is not received from applicant bank, this field must be blank.				
Applicant	This field displays the applicant details based on the details provided in Application Details section.				
	Specify the applicant or alternatively, click Search to search and select the applicant from the look-up, if Received From Applicant Bank option is enabled.				
Beneficiary	System dafaults the beneficiary whose favor the undertaking (or counter-undertaking) is issued from the Regeistration stage. 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.				
Advising Bank	Specify the advising bank name or click Search to search and select the advising bank based on Party ID/Party Name.				
	User can also input the party ID and on tab out system will validate and populate the 'Advising Bank' name.				
	Note: 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".				

Field	Description				
Counter SBLC/Guarantee Issuing Bank	System dafaults the Counter Guarantee Issuance bank name from the Registration stage.				
	This field is enabled, if Purpose of Message is ICCO .				
	Note: 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.				
	User can change the Counter SBLC/Guarantee Issuing Bank.				
Local SBLC/Guarantee Issuing Bank	System dafaults the Local SBLC/Guarantee Issuance bank name from the Registration stage.				
	This field is enabled, if Purpose of Message is ICCO .				
	Note: If Local Issuing Bank has value and Counter Issuing Bank has no value, and in case the selected Bank is not RMA Compliant, the system displays error message "RMA arrangement not available".				
	User can change the Local SBLC/Guarantee Issuing Bank.				
Supplementary Information About Amount	Specify the additional amounts related to undertaking.				
Accountee	Specify the accountee or click Search to search and select the accountee.				
Amount In Local Currency	Read only field. This field displays the Local currency and amount value. System fetches the local currency equivalent value for the LC amount from back office (with decimal places).				
Obligor/ Instructor Party	Specify the Local SBLC/Guarantee Issuance bank name or click Search to search and select the name of the obligor from the lookup.				
Obligor Collateral Percentage	Specify the value for obligor collateral percentage. This field is mandatory if the field Obligor/ Instructor Party has value.				
Auto Close	Enable the option, if Auto close is required for that transactions. Disable the option, if Auto close is not required for that transactions.				

Field	Description
Closure Date	 This field displays the Closure Date defaulted by the system, with the value "Expiry Date" + No of Closure days maintained in the respective Product in which the contract has been created. System automatically close the contract on the specified Closure Date if Auto Close is selected as Yes for the specific contract. User can modify the system defaulted "Closure Date" and system should validate the same for the below conditions, Closure Date must be after the Issue Date. Closure Date must be after the Expiry Date. Closure Date cannot be blank, when the "Auto Close" is checked.
Revenue Sharing Percentage	 Read only field. System populates the values from the "Trade Finance Customer Maintenance" if the below conditions are met. Purpose of Message is "ISCO" or "ICCO" CIB or LIB is captured in the Guarantee Contract. If CIB and LIB is available in the Guarantee Contract, then system should populate the "Revenue sharing Percentage" maintained against party CIB. If LIB is only available without CIB in the Guarantee Contract, then system should populate the "Revenue sharing Percentage" maintained against party LIB. Percentage should be populated after tab out from LIB field.
Limits verification Required	Enable the option to enable limit check during the process flow of this request. Disable the option to disable limit check during the process flow of this request.
Language Code	Specify the language code or click Search to search and select the language code from the look-up.

Audit

	it Trail Details				
Application No	0.	Branch Code	Initiated Date	Initiated By	
PK2ILCI00	0008772	PK2	4/20/2022	ATEST11	
Process Name					
Import LC	Issuance				
Import LC		Pickup Time 0	Completed Time 🗘	Completed By \Rightarrow	Outcome 0

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.

Close

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.



Field	Description
Al Summary	 Documents for Bank Guarantee/SBLC are scanned, and OBTFPM user uploads documents for Guarantee Application/ Guarantee text at Registration stage. Task moves to Scrutiny stage after basic details including product code are entered. Data extraction occurs upon Registration submission. Scrutiny user verifies extracted data prompted by system. Al reads documents uploaded based on their classification in DMS, scrutiny ensures accuracy. The Al summary screen should display the Application Number with consolidated Result 'Pass' or 'Fail'. User can click Details button to see the detailed questionnaire and the response
	<image/> <complex-block><complex-block><complex-block><complex-block></complex-block></complex-block></complex-block></complex-block>
	Note: The AI assisted Guarantee Issuance is available only if AI related parameters are enabled and it is configured in the system.
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. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application

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



Field	Description
Remarks	Specify any additional information regarding the Guarantee issuance. 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	 Click to view/ input the following 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. 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.
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. Click 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.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny 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.

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

2.5.2 Guarantee Preferences

This topic provides the systematic instructions to capture the Guarantee preference details in Scrutiny tage.

1. On Scrutiny - Guarantee Preferences screen, specify the fields.

PK2GTEI000064	ice Scrutiny :: Applicat		0:-		AI Summary	Clarifica	tion Details	Documents	Remarks	Overrides	Custon	ner Instruction	3.0
	742									Incoming N	lessage	Signatures	
Main	Guarantee Preferences												Screen
Guarantee Preferences	✓ Preferences												
Local Guarantee	77U - Terms and Conditions			44J - Governing Law	and Jurisdiction								
Additional Details	Terms1	D			Q	7							
		1111			120								
Summary	✓ Automatic Extension De	tails											
	Automatic Extension Regd			23F - Auto Extension	Period		Extension D	etails		78 - AL	utomatic E	xtension Non-Exte	ension Noti
						-			D				D
	26E - Automatic Extension Notifica	ion Perio	d	31S - Auto Extension	Final Expiry Date								
			D			=							
	 Liability Change Schedu 	le											
	Liability Change Type			Additional Details			Standard Ty	pe		Liabilit	у Туре		
		•				Cò			•	20			-
	Number of Periods			Units			Amount			Percen	tage		
						•	GBP	-				/	
	Generate Schedule												
	Sequence Number	٥	Schee	duled Date	≎ Amo	unt	0 P	ercentage	0 L	iability Type		۰,	Action
	No data to display.												
	4												
	Page 1 (0 of 0 items)	I< 4	1	> >I									
	✓ Demand Indicator												
	48B - Demand Indicator												
	Multiple demands not permit	te 🔻											
	✓ Underlying Transaction	Details											
	45L - Underlying Transaction Detail	s											
	45LTRNDTLS C	Co Co											
	✓ Delivery of Original Und	enteldin	g										
	. Derivery of original one	ertakin											
	24E - Delivery of Original Undertak			24E - Narrative				ry to/ Collection b	y .	24G - N	larrative		
				24E - Narrative		D		ry to/ Collection t	v •	24G - N	Varrative		Ø
	24E - Delivery of Original Undertak			24E - Narrative		6		ry to/ Collection b	уу 	24G - N	Varrative		Ø
	24E - Delivery of Original Undertak COLL - By Collection					D		ry to/ Collection t	v •	24G - N	Varrative		
	24E - Delivery of Original Undertak COLL - By Collection			24E - Narrative 39E - Transfer Condit	ions			ry to/ Collection b	vy •	24G - N	Varrative		Ø
	24E - Delivery of Original Undertak COLL - By Collection				ions	G ()		ry to/ Collection t	y •	246 - 1	Varrative		Ľ
	24E - Delivery of Original Undertak COLL - By Collection				ions			ry to/ Collection b	y •	246 - 1	larrative		Ľ
	24E - Delivery of Original Undertak COLL - By Collection ~ Transfer Details 48D - Transfer Indicator	ng T			ions			ry to/ Collection t	y •		varrative	h	Ø
	24E - Delivery of Original Undersak COLL - By Collection Transfer Details 48D - Transfer Indicator · Others	ng -		39E - Transfer Condit	ions				y •			h	Ø
	24E - Delivery of Original Undertak COLL - By Collection Transfer Details 48D - Transfer Indicator Others 72Z - Sender to Receiver Informatio	ng •		39E - Transfer Condit			57A - Advise	: Through Bank		41a-Av	allable with		٩
	24E - Delivery of Original Undertak COLL - By Collection	ng •		30E - Transfer Condit 71D - Charges				: Through Bank		41a-Av	allable with	usiness Reference	Q
	24E - Delivery of Original Undertak COLL - By Collection	ng T		30E - Transfer Condit 71D - Charges			57A - Advise	: Through Bank	•	41a-Av	allable with	usiness Reference	Q

Figure 2-9	Scrutiny -	Guarantee	Preferences
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For more information on fields, refer to the field description table below.

 Table 2-10
 Guarantee Preferences - Field Description

Field Description	
Preferences Specify the preference details based on following table.	
Terms and Conditions	Specify the terms and conditions that are not already mentioned. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
	The field displays the content from MT760 and all the applicable MT 761.



Field	Description				
	Description				
Governing Law and Jurisdiction	Click Search to search and select the applicable governing law and jurisdiction for the undertaking. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				
Automatic Extension Details	Specify the Automatic Extension Details details based on following table.				
Automatic Extension Required	Enable the option, if automatic extension for expiry date is required. Disable the option, if automatic extension for expiry date is not required.				
	Note: This field is not applicable if, Expiry Type field in registration stage has value as Open.				
	registration stage has value as Open .				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), this button is enabled if 23F field has value.				
Auto Extension Period	Select the auto extension period for expiry date from the following options. This field is enabled, if Auto Extension Required toggle is set On. • Days				
	One yearOthers				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				
	The field displays the content from MT760 and all the applicable MT 761.				
Extension Details	Specify the extension details for the expiry date. This field is enabled if Auto Extension Required toggle is 'On' and Auto Extension Period field value is Days/Others .				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				
Non-Extension Details	Specify the non-extension details for automatic expiry date extension such as notification methods or notification recipient details. This field is enabled if Auto Extension Required toggle is 'On' and Auto Extension Period field has values.				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				



Field	Description					
Non-Extension Notice Period	Specify the non-extension notice days. This field is enabled if Auto Extension Required toggle is 'On' and Auto Extension Period field has values.					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Auto Extension Final Expiry Date	Specify the final extension date for automatic expiry date extension after which no automatic extension is allowed. This field is enabled if Auto Extension Required toggle is 'On' and Auto Extension Period field has values.					
	The user can manually enter the value. This date/duration can be beyond the calculated value provided in the "Auto Extension Period".					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Liability Change Schedule	Specify the details of increase or decrease of liability on a pre- scheduled date as applicable.					
Liability Change Type	 Select the liability change type. This field describes the basis for liability change. The options are: Event Based - User can enter the Event details in "Additional Details" field. The actual liability change for Event based type should be operationally handled by the user based on the event details Time Based - The liability change should happen automatically on the pre-scheduled date as given. 					
Additional Details	Specify the additional details to increase or decrease of liability or both are involved.					
Standard Type	 Select whether liability change is standard or non-standard. The options are: Standard Non-standard This field is disable if, Liability Change Type is Event Based. 					
Liability Type	Select whether increase or decrease of liability or both are involved. The options are: Increase Decrease Boths					
Number of Periods	Specify the numeric value of the period corresponding to the units.					
Units	Select the unit value. The options are: • Monthly • Quarterly • Half Yearly • Yearly					
Amount	Specify the liability amount that should be increased or decreased on the liability change date.					



Field	Description
Percentage	Specify the amount of liability to be changed or percentage of liability to be changed. If percentage is chosen, then system should calculate the equivalent amount of liability to be changed.
Schedule Grid	If the Liability Change Type is Time Based, and Standard Type is Non-standard, the user can input the details in the schedule grid. Click '+' sign to add the records in Schedule Grid.
Sequence Number	Displays the serial number of the liability change.
Scheduled Date	Specify the date on which liability change to happen or select the date from the date picker.
Amount	Specify the liability Amount that should be increased or decreased on the liability change date.
Percentage	Specify the amount of liability to be changed or percentage of liability to be changed.
	If percentage is chosen, then system should calculate the equivalent amount of liability to be changed.
Liability Type	Select whether increase or decrease of liability or both are involved. The options are: Increase
	Decrease Boths
Action	Click Edit icon to edit the schedule record. Click Delete icon to delete the schedule record.
Demand Indicator	Specify the Demand Indicator details
Demand Indicator	Select the demand indicator from the drop-down. This field specifies whether partial and/or multiple demands are not permitted.
	 The options are: Multiple demands not permitted - Partial amount can be claimed
	• Multiple and partial demands not permitted - Entire amount can be claimed.
	Partial demands not permitted - Entire amount can be claimed.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Underlying Transaction Details	Specify the Underlying Transaction Details.
Underlying Transaction Details	Click Search to search and select the underlying business transaction details (for which the undertaking is issued) from the look-up. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and papulated from Incoming MT 760.
	is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Delivery of Loacal Undertaking	Specify the Delivery of Loacal Undertaking details.

Table 2-10	(Cont.)	Guarantee Preferences	- Field Description
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Field	Description
Delivery of Loacal Undertaking	 Select the method of the delivery from the following options by which the original local undertaking needs to be delivered. The options are: COLL - By Collection COUR - By Courier MAIL - By Mail MESS - By Messenger - Hand Deliver OTHR - Other Method REGM - By Registered Mail or Airmail This field is not applicable, if Purpose of Message field value is ICCO/ISCO. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Narrative	Specify the description of method of delivery of original undertaking. This field is not applicable, if Delivery of Local Undertaking field value is COUR/OTHR .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Delivery to/Collection by	Select the details of to whom the original local undertaking is to be delivered or by whom the original local undertaking is to be collected The options are: BENE - Beneficiary OTHR - Other Method
	This field is enabled, if Purpose of Message field value is ICCO/ISCO .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Narrative	Specify the description of method of delivery of original undertaking. This field is not applicable, if Delivery to/Collection by field value is OTHR .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Transfer Details	Specify the Transfer Details.
Transfer Indicator	Select the check box if the undertaking is transferable. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.

Table 2-10	(Cont.) Guarantee Preferences - Field Des	cription
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Specify the conditions to transfer the undertaking This field is available, if Transfer Indicator check box is selected. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Specify the Others detail.
Click Search to search and select the additional information for receiver from the look-up. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Specify the value for the charger for the undertaking. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Specify the additional bank to advice the undertaking. This field is enabled only if Advising Bank in Main Details hop has value. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760. The field displays the content from MT760 and all the applicable MT 761.
This field identifies the bank with which the credit is available of the issued LC. User must capture the bank details or any free text. Search the bank with SWIFT code (BIC) or Bank Name. On selection of the record if SWIFT code is available, then SWIFT code will be defaulted. If SWIFT code is not available then the bank's name and address gets defaulted. Note: This field is applicable only for SBLC. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.



Field	Description
Confirmation Instructions	 Select the confirmation instruction from the available values. The options are: CONFIRM MAY ADD WITHOUT
	Note: This field is applicable, if Form of Undertaking field value is STBY - Standby LC.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Requested Confirmation Party	 Select the requested confirmation party from the available options. The options are: Advising Bank Advise Through Bank Others This field is not enabled, if Confirmation Instructions field value is Confirm or May Add.
	Note: This field is applicable only for SBLC.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Confirming Bank	Specify the name of confirming bank . This field is not enabled, if Requested Confirmation Party field value is Others .
	Note: This field is applicable only for SBLC.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760. The field displays the content from MT760 and all the applicable MT 761.

2. Click Next.

The task will move to next data segment.

Field	Description
Al Summary	 Documents for Export LC are scanned, and their data is automatically filled into the appropriate fields on the user interface. OBTFPM user uploads documents for Guarantee Application/ Guarantee text at Registration stage. Task moves to Scrutiny stage after basic details including product code are entered. Data extraction occurs upon Registration submission. Scrutiny user verifies extracted data prompted by system. AI reads documents uploaded based on their classification in DMS, scrutiny ensures accuracy, user updates the data if necessary, confirms and updates findings. The extracted details will then be captured in the respective UI fields. Scrutiny user will verify the standard data along with the data available in the document uploaded to ensure that data check is correct. The AI summary screen should display the Application Number with consolidated Result 'Pass' or 'Fail'. User can click Details button to see the detailed questionnaire and the response Click Close button to close the AI summary screen and proceed with the transaction processing. Once the data check is done the findings will be updated in the AI Summary section. The system should be able to read both structured and unstructured data within documents.
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. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
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.



Field	Description						
Customer Instruction	 Click to view/ input the following 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. 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. 						
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT767 Click 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						
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.						
	If more than one signature is available, system should display all the signatures.						
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.						
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.						
Cancel	Cancel the Scrutiny 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 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.						

Table 2-11 (Cont.) Guarantee Preferences - Action Buttons - Field Description



Field	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
Back	Click Back button to navigate to the previous screen.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

Table 2-11 (Cont.) Guarantee Preferences - Action Buttons - Field Description

2.5.3 Local Guarantee

This topic provides the systematic instructions to capture the local guarantee details of Scrutiny stage.

User can enter/update local guarantee details of an Guarantee Issuance request for the different fields under the respective data segments.

1. On Local Guarantee screen, specify the fields.



Guarantee Issuan	ce Scrutiny :: Application No:-	Al Summ	ary Clarifi	cation Details	Documents	Remarks	Overrides	Custon	ner Instruction		
PK2GTEI0000647							Incoming	Message	Signatures		
Main	Local Guarantee									Screen(3	
Guarantee Preferences	✓ Guarantee Details - Sequence C										
Local Guarantee	22D - Form of Undertaking	77L - Reqd. Local Undertaking T	& C	40C - Appli	cable Rules		40C - N	larrative			
Additional Details	STBY - Standby LC 🔹		D	UCPR -	Uniform custon	ns and F 🔻					
Summary	22K - Type of Undertaking	22K - Narrative		50 - Applica	50 - Applicant		59A - E	59A - Beneficiary			
	APAY - Advance payment	D			001044 GOODCARE			01844491		145 6	
	32B - Undertaking Amount	41a-Available with		31C - Reque	sted Issue Date		23B - E	xpiry Type			
	GI 👻		Q			Ē	CON	ND - With	out Expiry	•	
	£1,000.00										
	31E - Expiry Date	35G -Expiry Condition/ Event	D	22Y - Stand	ard Wording Requ	rired	40D - 0	40D - Guarantee Language			
	45C - Documents and Presentation Inst	39F - Supplementary Informatio			ning Law and Jur	isdiction	57A - A	dvise Thro	ough Bank		
	٩ ٦					Q				D	
	✓ Auto Extension Details										
	23F - Automatic Extension Regd	23F - Auto Extension Period		Extension D	Details		78 - Au Notific	tomatic Ex	tension Non-Exte	nsion	
			///~			D	Nound	ation			
							D				
	26E - Automatic Extension Notification Period	31S - Auto Extension Final Expiry	Date					1			
			Ē								
	C										
	✓ Transfer Details										
	48D - Transfer Indicator	39E - Transfer Conditions									
	✓ Demand Details										
	48B - Demand Indicator										
	Multiple demands not permitte *										
	V. Underhing Transaction D-t-8-										
	✓ Underlying Transaction Details										
	45L - Underlying Transaction Details 45LTRNDTSEQC Q										
	Schubbled 4										
	 Delivery of Local Undertaking 										
	Delivery of Local Undertaking	24F - Narrative		24G - Dellus	ry to / Collection			larrative			
	24E - Delivery of Local Undertaking COLL - By Collection	24E - Narrative		24G - Delive	ery to/ Collection	et e	24G - N	larrative		Ø	



The fields which are marked as $\ensuremath{\textbf{Required}}$ are mandatory.

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

 Table 2-12
 Local Guarantee - Field Description

Field	Description
Guarantee Details - Sequence C	Specify the Guarantee Details - Sequence C details.

Field	Description
Form of Undertaking	Read only field. The value will get defaulted from Main .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Req. Local Undertaking T & C	Specify the terms and conditions that are not already mentioned. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760. User can modify this field.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760. User can modify this field.
	The field displays the content from MT760 and all the applicable MT 761.
Applicable Rules	 System dafaults the applicable rules from Main details. The options are: URDG - Uniform rules for demand guarantees UCPR - Uniform customs and Practices ISPR - International standby Practices NONE - Not subject to any rules OTHR
	User can change the value of Applicable Rules.
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is Read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.
Narrative	Specify the description of type of undertaking. This field is enabled, if Applicable Rules field value is OTHR .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.

Table 2-12	(Cont.)	Local Guarantee	- Field Description
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Field	Description					
Type of Undertaking	Select the type of undertaking from the available options. The options are:					
	APAY - Advance Payment					
	BILL - Bill of Lading					
	CUST - Customs					
	DPAY - Direct Pay					
	INSU - Insurance					
	• JUDI - Judicial					
	• LEAS - Lease					
	• PAYM - Payment					
	• PERF - Performance					
	RETN - Retention					
	SHIP - Shipping TEND - Tender or Bid					
	WARR - Warranty/ maintenance					
	• OTHR - Others					
	The value will get defaulted from Main .					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field					
	is Read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is Read only and populated from Incoming MT 760.					
Narrative	Specify the description of type of undertaking. This field is enabled, if Type of Undertaking field value is OTHR .					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Applicant	Read only field.					
	This field displays the applicant details which is defaulted from Main .					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Beneficiary	Read only field.					
	This field displays the beneficiary details which is defaulted from Main .					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					

Field	Description					
Undertaking Amount	Read only field.					
	This field displays the undertaking number defaulted from Main .					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Available with	Read only field.					
	The value gets defaulted from Guarantee Preferences.					
	Note: This field is applicable only for SBLC.					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Requested Issue Date	Specify the date on or by which the requested local undertaking mu be issued or select it from date picker. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					
Expiry Type	System dafaults the expiry type from Main . This field indicates whether undertaking has specified expiry date or is open-ended.					
	 The options are: COND - Conditional Expiry FIXD - Specified expiry date (with/without automatic expansion) OPEN - No specific date of expiry 					
	User can change the value of Expiry Type.					
Expiry Date	Specify the expiry date of the LC. This field is enabled, if Expiry Type field has value as COND and FIXD .					
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.					
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.					

Field	Description			
Expiry Condition/Event	System dafaults the expiry condition from Main.			
	User can change the value of Expiry Condition/Event.			
	This field is enabled, if Expiry Type field has value as COND			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Standard Wording Required	Select the check box if standard wording is required for the terms and conditions.			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Guarantee Language	Click Search to search and select the guarantee language from look			
	up. This field is enabled, if Standard Wording Required field is selected.			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Documents and Presentation Instructions	Click Search to search and select the documents and presentation instructions from look-up. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Supplementary Information About Amount	Specify the additional amounts related to undertaking.			
Information About Amount	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Governing Law	Click Search to search and select the applicable governing law and jurisdiction for the undertaking. If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Advise Through Bank	Read only field. The additional bank to advice the undertaking will get defaulted from guarantee issuance.			
Auto Extension Details	Auto extension details is applicable only if it is enabled in Guaran Preferences . The values will be defaulted from Guarantee Preferences and can be amended, if required			



Field	Description				
Automatic Extension Required	Enable the option, if automatic extension for expiry date is required. Disable the option, if automatic extension for expiry date is not required.				
	Note: This field is not applicable if, Expiry Type field in registration stage has value as Open.				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), this butto is enabled if 23F field has value.				
Auto Extension Period	Select the auto extension period for expiry date from the following options. This field is available only if Auto Extension Required toggle is set On.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				
	The field displays the content from MT760 and all the applicable MT 761.				
Extension Details	Specify the extension details for the expiry date. This field is available only if Auto Extension Period field value is Days/Others .				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				
Non-Extension Details	Specify the non-extension details for automatic expiry date extension such as notification methods or notification recipient details. This field is available only if Auto Extension Period field has values				
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				
Non-Extension Notice Period	Specify the non-extension notice days. This field is available only if Auto Extension Period field has value If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field				
	is read only and populated from Incoming MT 760.				
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.				

Field	Description			
Auto Extension Final Expiry Date	Specify the final extension date for automatic expiry date extension after which no automatic extension is allowed. This field is available only if Auto Extension Period field has values.			
	If Auto Extension Required toggle is set On, the user can manually enter the value. This date/duration can be beyond the calculated value provided in the Auto Extension Period .			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Transfer Details				
Transfer Indicator	Read only field.			
	The value gets defaulted from Guarantee Preferences.			
Transfer Conditions	Read only field.			
	The value gets defaulted from Guarantee Preferences.			
Demand Details				
Demand Indicator	Read only field.			
	The value gets defaulted from Guarantee Preferences.			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Underlying Transaction De	etails			
Underlying Transaction Details	Click Search to search and select the underlying business transaction details (for which the undertaking is issued) from the look-up.			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			
Delivery of Local Undertaking	Specify the Delivery of Local Undertaking details.			
Delivery of Loacal Undertaking	Select the method of the delivery from the following options by which the original local undertaking needs to be delivered. The options are: COLL - By Collection COUR - By Courier MAIL - By Mail			
	MESS - By Messenger - Hand Deliver			
	• OTHR - Other Method			
	• REGM - By Registered Mail or Airmail			
	This field is not applicable, if Purpose of Message field value is ICCO/ISCO .			
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.			
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.			



Field	Description
Narrative	Specify the description of method of delivery of original undertaking. This field is not applicable, if Delivery of Loacal Undertaking field value is COUR/OTHR .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Delivery to/Collection by	Select the details of to whom the original local undertaking is to be delivered or by whom the original local undertaking is to be collected. The options are: BENE - Beneficiary OTHR - Other Method
	This field is not applicable, if Purpose of Message field value is ICCO/ISCO .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.
Narrative	Specify the description of method of delivery of original undertaking. This field is enabled, if Delivery to/Collection by field value is OTHR .
	If the Guarantee Issuance is at Counter Issuing Bank (CIB), the field is read only and populated from Incoming MT 760.
	If the Guarantee Issuance is at Local Issuing Bank (LIB), the field is read only and populated from Incoming MT 760.

2. Click Next.

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

Table 2-13 Local Guarantee - Action Buttons - Field Description

Field	Description				
Documents	Click to View/Upload the required document.				
	Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document				
	window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application				
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.				



Field	Description				
Customer Instruction	 Click to view/ input the following 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. 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. 				
Incoming Message	 This button displays the multiple messages (MT760 + up to 7 MT761 Click 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				
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.				
	If more than one signature is available, system should display all the signatures.				
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.				
Cancel	Cancel the Scrutiny 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 R3- Input Error				
	 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.				

Table 2-13 (Cont.) Local Guarantee - Action Buttons - Field Description

Field	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				
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 2-13 (Cont.) Local Guarantee - Action Buttons - Field Description

2.5.4 Additional Details

This topic provides the systematic instructions to capture the additional details

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

Figure 2-11	Additional	Details

PK2GTEI00006474						Remarks	Overrides		ner Instruction	:: ×
PK2GTEI000064742								Message	Signatures	۰, X
Main	Additional Details									Screen(4/5)
Guarantee Preferences	Limit & Collateral	Charge Deta	24//////	ŝ						
) Local Guarantee		Charge Deta	1115	ő						
Additional Details	Contribution Currency: Contribution Amount : Limit Status :	Charge Commission	:							
Summary	Collateral Currency : Collateral Contribution: Collateral Status : Not Verified Deposit Linkage Curre: Deposit Linkage Amou:	Tax Block Status	:							
Audit				quest Clarification	Reject R	efer Hold	Cancel		ve & Close	Back Next

Limits and Collaterals

If the Guarantee Issuance is at Counter Issuing Bank (CIB), the user can enter the details.

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.

																			Н
Customer 🗘 ID	Linkage Type	Liabili Numb		Line Id/Linkag Ref No	e Line Serial	≎ ^{Con} %	tribution	٥	Contribution Currency	٥	Amour Earmai		Limit Check Response	٥	Response Message	٥	Edit	De	elete
001044	Facility					100			GBP		1000						00104	14	団
Sequence 🗘	Settlement Account	٥	Settlement Account PK20010-	~ Rate	ange 🗘	Collateral Split %	٥	Contrib Amoun		Contribu in Accou	ition Am nt Curre	iount ency 0	Account Balanc Check Respons VN	e o	Response Message	٥	Edit	Delete	-
(Deposit Lit	nkage Details		0019																+
Deposit En		Deposit	0	Deposit Matur	ity 🔉 🔅	Transaction Currency	٥	Depo Trans	sit Available In saction Curren	-y	٥	Linkage An Currency)	nount(Transactio	n 0	Edit			Delete	٥
Deposit Account	٥	Currenc	y ~	Date		· · · · ·													

If the Guarantee Issuance is at Local Issuing Bank (LIB), the user can enter the details



Customer Id		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					
Limit Check Response		Amount to Earmark			
Limit Check Response		Amount to Earmark	\$10.00		
Available		Amount to Earmark	\$10.00		
Available		Limit Available Amount	\$10.00 78,010.18		
Available Expiry Date		Limit Available Amount			
Limit Check Response Available Expiry Date Response Message Balance available of USD 999378010.18		Limit Available Amount \$999,3			

Figure	2-12	Limit	Details
--------	------	-------	---------

otal Collateral Amount		Collateral Amount to be Co	llected	
	£20.00		£20	.00
equence Number		Collateral Split %		
1.0		100.0	~	^
ollateral Contrubution Amount		Settlement Account		
	£20.00	PK20010440016		Q
ttlement Account Currency		Exchange Rate		
GBP		1.0		
ontribution Amount in Account (Currency	Account Available Amount		
	£20.00			
esponse		Response Message		
VN				
Verify				

Figure 2-13 Collateral Details

Customer Id		Deposit Account	
001044	Q	PK2CDP1221100003	S Q
Deposit Branch		Deposit Available Amou	nt
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	action Currency)		
GBP 👻	£67.00		

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

Table 2-14 Limit Details - Field Description

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

Table 2-14	(Cont.) Limit Details - Field Description
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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. Image: Note: Note: The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case
	system should display a override message "Defaulted Collateral Percentage modified.
Liability Number	Click Search to search and select the Liability Number from the look- up. The list has all the Liabilities mapped to the customer.
Contribution Currency	This field displays the contribution currency.
Line ID/Linkage Ref No	Click Search to search and select from the various lines available and mapped under the customer id gets listed in the drop-down. LINE ID-DESCRIPTION will be available for selection along with Line ID. When you click on 'verify', the system will return value if the limit check was successful or Limit not Available. If limit check fails, the outstanding limit after the transaction value will be shown in the limit outstanding amount. The user can click the Line Id link to view the limit details.
	 Note: User can also select expired Line ID from the lookup and on clicking the verify button, system should default "The Earmarking cannot be performed as the Line ID is Expired" in the "Response Message" field.
Limit/Liability Currency	This field displays the limit currency, when the user select the
	Liability Number.
Limits Description	This field displays the limits description.
Limit Check Response	This field displays the limit check response. Response can be 'Success' or 'Limit not Available' based on the limit service call response. The value in this field appears, if you click the Verify button.
Amount to Earmark	This field defaults the amount to earmark. Contribution amount will default based on the contribution %. User can change the value.

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

Table 2-14 (Cont.) Limit Details - Field Description



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

Table 2-14	(Cont.) Limit Details - Field Description

Field	Description
Deposit Linkage Details pop-up screen	Below fields are displayed on the Deposit Linkage Details pop-up screen, if the user clicks plus icon.
Customer ID	This field displays the applicant's/applicant bank customer ID defaulted from the application.
	User can change the customer ID.
Deposit Account	Click Search to search and select deposit for linkage from the list of all the customer Deposits.
Deposit Branch	This field displays the deposit branch which is 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. This will be picked up from the exchange rate maintenance from the common core.
Deposit Available In Transaction Currency	This field displays the deposit amount available, after exchange rate conversion, if applicable.
Linkage Percentage %	Specify the value for linkage percentage.
Linkage Amount (Transaction Currency)	This field displays the transaction amount, user can change the value.
Deposit Details grid	Below fields appear in the Deposit Details grid along with the above fields.
Deposit Currency	Deposit currency will get defaulted in this field.
Transaction Currency	Transaction currency will get defaulted in this field from the underlying task.
Edit	Click edit link to edit the deposit linkage details.

Table 2-14	(Cont.) Limit	Details - Field	d Description
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2. Click Save and Close to save the details and close the screen.

Charge Details

After payment, click on Default Charges button to the default commission, charges and tax if any will get populated.

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.

If the Guarantee Issuance is at Counter Issuing Bank (CIB), charges are simulated from back office, user can change the details. If the Guarantee Issuance is at Local Issuing Bank (LIB), charges are simulated from back office, user can change the details

	Re-default														
 Commission 	Details														
Component	Rate	Mod. Rate	CCY An	nount	Modified	Defer	Waive	Split	Charge	Party		Sett	l. Account	٥	Ame
ASBLC_COMM			G ⊕ B	£150.00					G00	DCARE PL	с				Yes
Page 1 of 1	1 (1 of 1 iten	ns) < ∢ [·													
✓ Charge Deta															
Component	Tag currency	Tag Amount	ссү	Amount	Modified	Billing	2 Defer	Waive	Sp	8+ CF	arge Party			Settl. Account	
LCCOURIS 🚊	GBP	5000									OODCARE PLO				
S -			G a											PK200104400	
LCSWIFTIS	GBP	5000	G B		.00						OODCARE PLO			PK200104400	017
OTHBNKC HG	GBP	5000	G B	£47.	.00						OODCARE PLO			PK200104400	017
 Tax Details 	_													Save & Clo	ose
Component	Тур	e 0	Value Da	ate	¢		Amou	nt		Billing	Defer	Settl. Ac	count	Save & Clo	ose
		e ≎	Value Da April 20		0	CCY GBP	Amou		400.00		Defer		:count 10440017		ose
Component	W), 2022	0		Amou		400.00 £3.76			PK200		,	ose
Component LCTAX	W	Thholdin(-	April 20), 2022), 2022	¢	GBP	Amou					PK200 PK200	10440017	,	ose
Component LCTAX LCTAX1 LCTAX2	w	Thholdin(*	April 20 April 20), 2022), 2022	\$	GBP GBP	Amou		£3.76			PK200 PK200	10440017 10440017	,	ose
Component LCTAX LCTAX1 LCTAX2	w	THHOLDIN(~ THHOLDIN(~ THHOLDIN(~	April 20 April 20 April 20), 2022), 2022	\$	GBP GBP		£	£3.76 £7.50			PK200 PK200 PK200	10440017 10440017 10440017	,	ose
Component LCTAX LCTAX1 LCTAX2 CTAX2 Split Settlem select	wi wi wi	THHOLDIN(~ THHOLDIN(~ THHOLDIN(~	April 20 April 20), 2022), 2022	0	GBP GBP	Amou I I I I I I I I I I I I I I I I I I I		£3.76 £7.50			PK200 PK200	10440017 10440017	,	ose
Component LCTAX LCTAX1 LCTAX2 • • • • • • • • • • • • • • • • • • •	winent	THHOLDINK - THHOLDINK - THHOLDINK - Cor	April 20 April 20 April 20), 2022), 2022	0	GBP GBP		£	£3.76 £7.50			PK200 PK200 PK200	10440017 10440017 10440017	,	ose
Component LCTAX LCTAX1 LCTAX2 Split Settlem select No data to displa	y.	THHOLDIN(~ THHOLDIN(~ THHOLDIN(~	April 20 April 20 April 20), 2022), 2022	0	GBP GBP		£	£3.76 £7.50			PK200 PK200 PK200	10440017 10440017 10440017	,	ose
Component LCTAX1 LCTAX1 LCTAX2 Split Settlem select No data to displa	y. t Details	THHOLDIN(~ THHOLDIN(~ THHOLDINK ~ Cor (1)	April 20 April 20 April 20 April 20), 2022), 2022), 2022		GBP GBP GBP	¢	E.	£3.76 £7.50			PK200 PK200 PK200	10440017 10440017 10440017 Amount	,	
Component LCTAX1 LCTAX1 LCTAX2 Split Settlem select No data to displa	y. Component 0	THHOLDIN(~ THHOLDIN(~ THHOLDINK ~ Cor (1)	April 20 April 20 April 20), 2022), 2022), 2022		GBP GBP		£	£3.76 £7.50			PK200 PK200 PK200	10440017 10440017 10440017	Loan/Financ	

Component	Amount
AILSN_COM1_LIQD_S01	122.5
Customer	GL Account
001044-APP	▼
Account	Account Currency
PK20010440017	Q GBP
Branch	Percentage
PK2	50.00
Exchange Rate	Original Exchange Rate
1	1
Party Type	Negotiation Reference
АРР	
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 2-15	Charge Details - Field Description
Table 2-13	Charge Details - Fletu Description

Field	Description			
Commission Details	This section displays the commission details.			
Component	This field displays the commission component.			
Rate	This field displays the rate that is defaulted from product. The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate.			
	If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.			
Mod. Rate	From the default value, if the rate is changed the value gets updated in this field.			



Field	Description		
Ссу	This field displays the currency in which the commission have to be collected.		
Amount	This field displays the amount that is maintained under the product code.		
	The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate, but not the commission amount directly. The amount gets modified based on the rate changed and the new amount is calculated in back office based on the new rate and is populated in OBTFPM.		
	If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.		
Modified	From the default value, if the amount is changed, the value gets updated in the modified amount field.		
Defer	If enabled, charges/commissions has to be deferred and collected at any future step.		
Waive	Based on the customer maintenance, the charges/commission can be marked for Billing or Defer. If the defaulted Commission is changed to defer or billing or waive, system must capture the user details and the modification details in the 'Remarks' place holder.		
Charge Party	Charge party is 'Applicant' by default. User can change the value to Beneficiary.		
Settl. Accnt	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.		
Ссу	This field displays the currency in which the charges have to be collected.		
Amount	This field displays the amount that is maintained under the product code.		
Modified	From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field.		
Billing	If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically enabled in OBTFPM. The user can not enable/disable the option, if it is de-selected by		
	default. This field is disabled, if 'Defer' toggle is enabled.		

Table 2-15 (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. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is AR-AP tracking enabled, 'Defer' toggle for that component should be automatically checked in OBTFPM. The user can enable/disable the option the check box. On de- selection the user has to click on 'Recalculate' charges button for re-
	simulation.
Waive	Enble the toggle, if charges has to be waived.Based on the customer maintenance, the charges should be marked for Billing or for Defer.This field is disabled, if Defer toggle is enabled.
Charge Berty	
Charge Party	Charge party is applicant by default. User can change the value to beneficiary.
Settl. Accnt	Select the settlement account.
Tax Details	This section displays the tax details. The tax component is calculated based on the commission and defaults if maintained at product level. User cannot update tax details and any change in tax amount on account of modification of charges/ commission will be available on click of Re-Calculate button or on hand off to back-end system.
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.
Ссу	This field displays the currency in which the tax have to be collected. The tax currency is the same as the commission.
Amount	This field displays the tax amount based on the percentage of commission maintained. You can edit the tax amount, if applicable.
Billing	If taxes are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. This field is disabled, if 'Defer' toggle is enabled.
Defer	If taxes have to be deferred and collected at any future step, this option has to be enabled. The user can enable/disable the option the check box. On deselection the user has to click on 'Recalculate' charges button for resimulation.
Settl. Accnt	System defaults the settlement account. The user can modify the settlement account.
Split Settlement	Once the user clicks on the Recalculate button to fetch the Split Settlement details from Backoffice, new section "Split Settlement" will appear below the 'Tax' section. The default parties in Split row should be fetched from OBTF.
Select	The option to select the split settlement record.
Component	The split component type eligible for Split .
Currency	The currency of split settlement.
Amount	The amount of split settlement.

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



Field	Description	
Split Settlement Details	Split Settlement details section appears from Back office, when the 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 automatically between counter party and third party with 50% value by default. 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. User can modify the settlement account. System initiates a call to 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. 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. 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 2-15 (Cont.) Charge Details - Field Description

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

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

Field	Description
Documents	Click to View/Upload the required document.
	 Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
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	 Click to view/ input the following 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. 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.
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761 Click 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
Signatures	 Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny 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.

Table 2-16	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:
	 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.
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
Back	On click of Back, system moves the task back to previous data segment.
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 2-16 (Cont.) Additional Details - Action Buttons - Field Description

2.5.5 Summary

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

User can review the summary of details updated in Scrutiny stage of Guarantee Issuance 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 ⁸ on any tile to view the details.

K2GTEI0000647	ce Scrutiny :: Applicatio	11 110								
	+2								Signatures	
Main	Summary									Screen(5
Guarantee Preferences	Main		Guarantee Prefer	ences		Local	Guarantee			
Local Guarantee										
Additional Details	Submission Mode :	APAY Desk	Collection by Delivery of Original UnderTaking	: : COLL		Collec Delive Under	ry of Original	: : COLL		
	Date of Issue	2022-04-20	Undertaking			Under	laking			
	Limits and Collaterals		Commission,Chai	ges and Taxes	(1111)33310111122S					
	Contribution Currency Amount to Earmark		Charge Commission							
	Limit Status :	Not Verified	Tax	-						
	Collateral Currency Collateral Contribution.		Block Status	: Not Initiat	ed					
	Collateral Status :	Not Verified								
	Deposit Linkage Currency Deposit Linkage Amount									

Figure 2-15 Summary

Tiles Displayed in Summary

- Main Details User can view the application and Guarantee details.
- Guarantee Preferences User can view the guarantee preferences.
- Local Guarantee User can view the local guarantee.
- Party Details User can view party details like beneficiary, advising bank etc.
- Limits and Collaterals User can view limits and collateral details.
- Commission, Charges and Taxes User can view charge details.
- 2. Click Submit.

The task will move to next logical stage.

Field	Description
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the
Remarks	other side allows to input/view the details in the application 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.



Field	Description
Customer Instruction	 Click to view/ input the following 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.
	 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.
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761 Click 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
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny 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
	R2- Signature MissingR3- 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.

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

Field	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	
Back	On click of Back, system moves the task back to previous data segment.	
Submit	Task will get moved to next logical stage of Guarantee issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. n case of duplicate documents' system will terminate the process after handing off the details to back office.	
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 2-17 (Cont.) Summary - Action Buttons - Field Description

2.6 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee issuance request.

On successful completion of Registration of an Guarantee Issuance, the task moves to Data Enrichment stage. As part of Data Enrichment, user can enter/update basic details of the incoming request.

Note:

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

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

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

- 1. On Home screen, click, Task.
- 2. Under Tasks, click Free Tasks.



Menu Item Search Q	Fre	e Tasks						
۲ Tasks	Q	Refresh Ort	Acquire 🖁 🖁	Flow Diagram				
Awaiting Customer Clarification		Acquire and Edit	Priority 0	Process Name 0	Process Reference Number 0	Application Number 🗘	Stage ≎	Application Date
Business Process Maintenance		Acquire and Edi	Medium	Guarantee Issuance	PK2GTEI000064742	PK2GTEI000064742	DataEnrichment	22-04-20
Completed Tasks		Acquire and Edi	Medium	Import LC Drawing	PK2ILCD000064743	PK2ILCD000064743	Reject Approval	22-04-20
Free Tasks		Acquire and Edi		STP Process Allocation	PK2STPP000064661	PK2STPP000064661	Handoff Retry	
Hold Tasks		Acquire and Edi	High	Import LC Issuance	PK2ILCI000064741	PK2ILCI000064741	Scrutiny	22-04-20
My Tasks		Acquire and Edi	High	Import LC Issuance	PK2ILCI000064740	PK2ILCI000064740	Scrutiny	22-04-20
Other User tasks		Acquire and Edi	High	Import LC Issuance	PK2ILCI000064739	PK2ILCI000064739	Scrutiny	22-04-20
Search		Acquire and Edi	Medium	Islamic Export Docum	PK2IEDL000064733	PK2IEDL000064733	DataEnrichment	22-04-20
		Acquire and Edi	High	Import LC Issuance	PK2ILCI000064722	PK2ILCI000064722	DataEnrichment	22-04-20
SubProcess Tasks		Acquire and Edi	Medium	Islamic Export Docum	PK2IEDU000064726	PK2IEDU000064726	DataEnrichment	22-04-20
Supervisor Tasks		Acquire and Edi	Medium	Islamic Export Docum	PK2IEDU000064706	PK2IEDU000064706	Approval Task Level 1	22-04-20
		Acquire and Edi		Import LC Issuance	PK2ILCI000064717	PK2ILCI000064717	Scrutiny	22-04-20
		Acquire and Edi	Medium	Import LC Liquidation	PK2ILCL000064705	PK2ILCL000064705	DataEnrichment	22-04-20
		Acquire and Edi	Medium	Export Documentary	PK2EDCL000064677	PK2EDCL000064677	Approval Task Level 1	22-04-20

Figure 2-16 Free Tasks

The Free Tasks screen is displayed.

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

Menu Item Search Q	Му	Tasks								
< Tasks		🔾 Refresh 🛟 Release		💮 Escalate 📮 Delegate 😫 Flow Diagram						
Awaiting Customer Clarification		Edit	Priority 0	Process Name	0 P	rocess Reference Number 🗘	Application Number 0	Stage 0	Application Date 0	
Business Process Maintenance		Edit	Medium	Guarantee Issuance	P	<2GTEI000064742	PK2GTEI000064742	DataEnrichment	22-04-20	
Completed Tasks		Edit	Medium	Islamic Export Docum	n P	<2IEDC000064737	PK2IEDC000064737	Approval Task Level 1	22-04-20	
Free Tasks		Edit	Medium	Islamic Export Docum	m P	K2IEDU000064689	PK2IEDU000064689	Approval Task Level 1	22-04-20	
Hold Tasks		Edit	Medium	Islamic Export Docum	m P	<2IEDL000064643	PK2IEDL000064643	DataEnrichment	22-04-20	
My Tasks		Edit	Medium	Export Documentary	и Р	K2EDCB000064574	PK2EDCB000064574	DataEnrichment	22-04-20	
Other User tasks		Edit	Medium	Islamic Export LC Clo	s P	K2IECL000064549	PK2IECL000064549	DataEnrichment	22-04-20	
Search		Edit	Medium	Export LC Drawing - I	ls P	<2IELD000064491	PK2IELD000064491	DataEnrichment	22-04-20	
SubProcess Tasks		Edit	Medium	Islamic Export LC Red	o P	K2IELR000064457	PK2IELR000064457	DataEnrichment	22-04-20	
Supervisor Tasks		Edit	Medium	Islamic Export LC Rec	o P	<pre><2IELR000064448</pre>	PK2IELR000064448	PK2IELR000064448 AmountBlock Exception A		
		Edit	Medium	Export LC Transfer	P	<pre><2ELCT000064421</pre>	PK2ELCT000064421	Approval Task Level 1	22-04-20	
		Edit	Medium	Export LC Transfer	P	<pre><2ELCT000064430</pre>	PK2ELCT000064430	Registration	22-04-20	
		Edit	Medium	Export LC Transfer	P	<pre><2ELCT000064428</pre>	PK2ELCT000064428	Registration	22-04-20	
		Edit	Medium	Export LC Drawing U	р P	<2ELCU000063760	PK2ELCU000063760	DataEnrichment	22-04-20	

Figure 2-17 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 Data Enrichment stage of Guarantee Issuance request.



- Guarantee Preferences This topic provides the systematic instructions to capture the Guarantee preference details in Data Enrichment tage.
 - Additional Fields
 This topic provides the systematic instructions to capture the additional fields.
 - Local Guarantee This topic provides the systematic instructions to capture the local guarantee details of Data Enrichment stage.
- Advices This topic provides the systematic instructions to capture the advices details.
- Additional Details This topic provides the systematic instructions to capture the additional details.
- Settlement Details This topic provides the systematic instructions to capture the settlement details of Guarantee issuance request.
- Summary

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

2.6.1 Main Details

This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee Issuance request.

Main details section has two sub section as follows:

- Application Details
- SBLC/Guarantee Details.

Application Details

All fields displayed under Basic details section, would be read only except the **Priority**, **Application Date** and **Customer Reference Number**' fields. For more information on the fields, refer Main Details of **Scrutiny** stage .

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



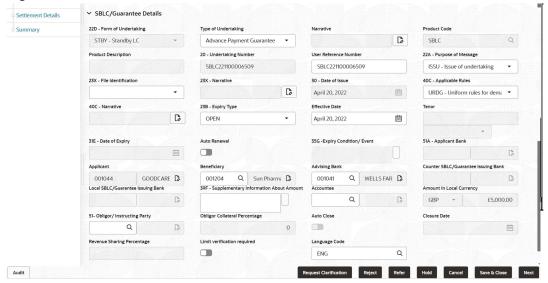
uarantee Issuand	e DataEnrich	iment :: Ap	plicatio	on No:-	A	Al Summary	Clarifica	ation Details	Documents	Remarks	Overrides	Custor	mer Instruction	
K2GTEI0000644	98										Incoming N	lessage	Signatures	
Main	Main													Scree
Guarantee Preferences	✓ Application I	Details												
Documents and Conditi	Received From Part	ty		Received From - Customer ID			Received Fro	Branch						
Additional Fields	Applicant		-	001044 Q			GOODC	ARE PLC		PK2	-Oracle B	anking Trade F	ina 👻	
Local Guarantee	32B - Currency Code, Amount			Priority				Submission	Mode		Process	Reference	e Number	
Acknowledgement Details	GBP - £5,000.00			Medium			•	Online		-	PK20	GTEI000	064498	
Advices	Application Date			Customer Refe	erence Nun	nber								
Additional Details	April 20, 2022			1234										
Settlement Details	✓ SBLC/Guara	intee Details												
							Narrative			Product				
Summary	STBY - Standb		-	Type of Undert Advance P		Suarantee	-	Narrative		D	SBL			Q
	Product Description			20 - Undertaki	20000	27.000		User Referen	nce Number			urpose of	Message	
	E SUMMUS		SBLC221100006509			SBLC221100006509			ISSU - Issue of undertaking 🔹			-		
	23X - File Identifica		23X - Narrative			30 - Date of Issue			40C - A	pplicable	Rules			
	•			D			April 20, 2022			URDG - Uniform rules for dema				
	40C - Narrative			23B - Expiry Type			Effective Date			Tenor				
			D	OPEN -			•	April 20, 2022						
								35G -Expiry Condition / Event			-			
	31E - Date of Expiry	1	-	Auto Renewal							51A - Ap	oplicant B	ank	
														G
	Applicant 001044	GOODCARE		Beneficiary 001204	Q	6 DI		Advising Ba			Counter	r SBLC/Gu	arantee Issuing I	Bank
	Local SBLC/Guaran		Ló	39F - Supplem	· · 187	Sun Pharma		Accountee	Q WE	LLS FAR 🕻	Amoun	t In Local	Currency	Ló
			6	1					Q	D	GBP	*	£5,	,000.00
	51- Obligor/ Instructing Party			Obligor Collate	eral Percen	tage		Auto Close			Closure	Date		
		2					0						<u> </u>	
	Revenue Sharing Percentage			Limit verification	on require	d		Language C	ode					
								ENG Q						

Figure 2-18 Data Enrichment - Main Details

SBLC/Guarantee Details

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

Figure 2-19 SBLC/Guarantee Details





2. Click Next.

The task will move to next data segment.

Field	Description
Documents	Click to View/Upload the required document.
	Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding the Guarantee issuance. 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	 Click to view/ input the following 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. 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.
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. Click 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.
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.



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.
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.
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
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.
Checklist	Click to view the list of items that needs to be completed and acknowledge. If mandatory checklist items are not selected, system will display an error on submit.

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

2.6.2 Guarantee Preferences

This topic provides the systematic instructions to capture the Guarantee preference details in Data Enrichment tage.

1. On Data Enrichment - Guarantee Preferences screen, specify the fields.

Guarantee Issuand	e DataEnrichment :: Appl	licatio	n No:-	AI Summary	Clarificat	ion Details	Documents	Remarks	Overrides	Custon	ner Instruction	
PK2GTEI0000644									Incoming N	lessage	Signatures	11
) Main	Guarantee Preferences											Screen(2/
Guarantee Preferences	✓ Preferences											
Documents and Conditi	77U - Terms and Conditions		44J - Governing L	aw and Jurisdiction								
Additional Fields	WE, FUTURA BANK, LONDON ON BEHALF OF	>		٩								
Local Guarantee	 Automatic Extension Details 											
Acknowledgement Details	Automatic Extension Regd		23F - Auto Extens	ion Period		Extension D	etails		78 - Au	utomatic Ex	tension Non-Ext	ension Notific
Advices					*			D				D
Additional Details	26E - Automatic Extension Notification Per	riod	31S - Auto Extens	ion Final Expiry Date								
Settlement Details		D			i iiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiiii							
Summary	A Linkility Change Calendale											
Summary	> Liability Change Schedule											
	✓ Demand Indicator											
	48B - Demand Indicator											
	•											
	✓ Underlying Transaction Detail	ils										
	45L - Underlying Transaction Details											
	45LTRNDTLS Q [3										
	✓ Delivery of Original Undertak	king										
	24E - Delivery of Original Undertaking		24E - Narrative			24G - Delive	ry to/ Collection b	y .	24G - 1	Narrative		
	•				D			•				
	✓ Transfer Details											
	48D - Transfer Indicator		39E - Transfer Co	- distance								
			39E - Transfer Co	nuitions	D	1//////						
						1,0000						
	✓ Others											
	72Z - Sender to Receiver Information		71D - Charges			57A - Advise	e Through Bank		41a-Av	ailable with	n	
	SND2RECMT760 Q	2					Q	B				Q
	49 - Confirmation Instruction		58A - Requested	Confirmation Party		Confirming	Bank		21T - C	ustomer B	usiness Reference	
	-				-			D			(2 6
	21S - Bank Business Reference											
	٩ [õ										

Figure 2-20 Data Enrichment - Guarantee Preferences

For more information on fields, refer to the field description table of Guarantee Preferences in **Scrutiny** stage.

2. Click Next.

The task will move to next data segment. For more information on action buttons, refer to the field description **Action Buttons** of **Guarantee Preferences in Scrutiny** stage.

2.6.3 Additional Fields

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

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

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



Guarantee Issuand	e DataEnrichment :: Application No:-	Al Summary	Clarification Details	Documents	Remarks	Overrides	Custon	ner Instruction	
PK2GTEI0000644						Incoming N	lessage	Signatures	:: ×
Main	Additional Fields								Screen(4/10)
Guarantee Preferences	✓ Additional Fields								
Documents and Conditi	No Additional fields configured!								
Additional Fields									
Local Guarantee									
Acknowledgement Details									
Advices									
Additional Details									
Settlement Details									
Summary									
Audit		Re	equest Clarification	Reject Re	fer Hold	Cancel	Sa	ve & Close	Back Next

Figure 2-21 Additional Fields

2. Click Next.

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

Field	Description
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
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	 Click to view/ input the following 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. Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.

 Table 2-19
 Additional Fields - Action Buttons - Field Description



Field	Description
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761 Click 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
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny 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 R2- Insut Frage
	 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.
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- Othere
	R5 - Others

Table 2-19 (Cont.) Additional Fields - Action Buttons - Field Description



Field	Description
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

Table 2-19 (Cont.) Additional Fields - Action Buttons - Field Description

2.6.4 Local Guarantee

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

User can enter/update local guarantee details of an Guarantee Issuance request for the different fields under the respective data segments.

On Local Guarantee screen, specify the fields. 1.

	e DataEnrichment :: Applicatio	on No:-	AI Summary	Clarification	n Details	Documents	Remarks	Overrides	Custom	er Instruction	
K2GTEI0000644	98							Incoming N	essage	Signatures) ¹
) Main	Local Guarantee										Screen(5
Guarantee Preferences	✓ Guarantee Details - Sequence C										
Documents and Conditi	22D - Form of Undertaking	77L - Reqd. Local U	Undertaking T & C		40C - Applica	ble Rules		40C - N			
Additional Fields	-			C							
Local Guarantee											
Acknowledgement Details	22K - Type of Undertaking	22K - Narrative		6	50 - Applican	t	D	59A - B	eneficiary		D
Advices	32B - Undertaking Amount	41a-Available with			IC Begunst	ed Issue Date	LO	278 E	piry Type		LO
		41a-Available with		Q	Sic - Request	eu issue Date	i i i i i i i i i i i i i i i i i i i	238 - 67	piry type		-
Additional Details											
Settlement Details	31E - Expiry Date	35G -Expiry Condit	tion/ Event	2	22Y - Standar	d Wording Requi	red	40D - G	uarantee L	anguage	
Summary											Q
	45C - Documents and Presentation Inst	39F - Supplementa	ary Information Abou	at Amount	44J - Governi	ing Law and Juris	diction	57A - A	dvise Throu	ugh Bank	
	a 🕻						9				D
	 Auto Extension Details 										
	23F - Automatic Extension Regd	23F - Auto Extensio	on Period	E	Extension De	tails		78 - Aut Notifica	omatic Ext tion	ension Non-Ext	ension
				•			D				
								D			
	26E - Automatic Extension Notification Period	31S - Auto Extensio	on Final Expiry Date								
	D										
	✓ Transfer Details										
	48D - Transfer Indicator	39E - Transfer Con	iditions								
		D									
		10									
	✓ Demand Details										
	48B - Demand Indicator										
	•										
	✓ Underlying Transaction Details										
	45L - Underlying Transaction Details										
	45LTRNDTSEQC Q										
	✓ Delivery of Local Undertaking										
		24E - Narrative			AC Delle	/ to/ Collection by		24G - Ni			
	24E - Delivery of Local Undertaking				44 - Delivery	to/ Collection by		24G - Na	irrative		
	COLL - By Collection			i la			•				Ø

Figure 2-22 Local Guarantee



For more information on fields, refer to the field description table of Local Guarantee in **Scrutiny** stage.

2. Click Next.

The task will move to next data segment. For more information on action buttons, refer to the field description **Action Buttons** of **Local Guarantee** in **Scrutiny** stage.

2.6.5 Advices

This topic provides the systematic instructions to capture the advices details.

Advices menu displays the advices available under a product code from the back office as tiles. User can edit the fields in the tile, if required. User can suppress the advice, if required. If the Guarantee Issuance is at Counter Issuing Bank (CIB) - Guarantee Instrument (MT 760), Acknowledgment (MT 768).

If the Guarantee Issuance is at Local Issuing Bank (LIB) - Guarantee Instrument - Mail Advice, Acknowledgment (MT 768).

1. On **Advices** screen, click ⁸ on any advice tile to view the advice details.



Guarantee Issuance	e DataEnrichment :: Application No:-	Al Summary Clarification Details Documents Remarks	Overrides Custo	mer Instruction	
PK2GTEI00006449	28		Incoming Message	Signatures	:: ×
⊘ Main	Advices				Screen(7/10)
Guarantee Preferences	Advice : GUARANTEE	Advice : LC_INSTRUMENT			
Documents and Conditi	Advice Name : GUARANTEE	Advice Name :LC INSTRUMENT			
Additional Fields	Advice Party : ABK Party Name : WELLS FARGO	Advice Name : CE_INST KOMENT Advice Party : ABK Party Name : WELLS FARGO			
Local Guarantee	Suppress Advice : NO	Suppress Advice : NO			
Acknowledgement Details					
• Advices),	N			
Additional Details	Advice : LC_CASH_COL_ADV	Advice : PAYMENT_MESSAGE			
Settlement Details	Advice Name :LC_CASH_COL_ADV Advice Party :APP	Advice Name : PAYMENT_MESSAGE Advice Party :			
Summary	Aufvice raity : APPO Parity Name : GODCARE PLC Suppress Advice : NO	Advice Party Name : Party Name : Suppress Advice : NO			
	Advice : PAYMENT_MESSAGE				
	Advice Name : PAYMENT_MESSAGE Advice Party :				

Figure 2-23 Advices

Advice Details

	ice	Advice Name	Medium		Advice Party	
		GUARANTEE	SWIFT	•	ABK	
Party ID		Party Name				
001041		WELLS FARGO				
	FFT Description					
FREEVP	TESTING FFT					
FREEVP					ß	1 🗇
					ß	/ 山 +
	ions	Instruction Description		Edit ¢		

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

Table 2-20 Advice Details

Field	Description
Suppress Advice	Enable this option to suppress the advice. Disable this option if suppress advice is not required.
Advice Name	Select the advice name.



Field	Description
Medium	The medium of advices is defaulted from the system.
	User can update, if required.
Advice Party	The medium of advices is defaulted from the system.
	User can update, if required.
Party ID	Value be defaulted from Guarantee /SBLC Issuance
	User can update, if required.
Party Name	Read only field.
	Value be defaulted from Guarantee /SBLC Issuance.
FTT Code	Specify the FTT Code details. Click plus icon to add new FFT code.
FTT Code	Click Search to search and select the FFT Code.
FFT Description	FFT description is populated based on the FFT code selected.
	Click edit icon to edit the existing FFT description.
Action	Click delete icon to remove any existing FFT code.
	Click edit icon to edit the existing FFT code.
Instructions	Click plus icon to add new instruction code.
Instruction Code	Click Search to search and select the instruction Code.
Instruction Description	Instruction description is populated based on the instruction code selected. User can edit the instruction description.
	Click edit icon to edit the existing instruction description.
Action	Click delete icon to remove any existing instruction code.
	Click edit icon to edit the existing instruction code.

Table 2-20	(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.

Field	Description
Documents	Click to View/Upload the required document.
	Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
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	 Click to view/ input the following 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.
	 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.
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.
Incoming Messages	This button displays the multiple messages (MT760 + up to 7 MT761 Click 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
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
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.
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.



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

2.6.6 Additional Details

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

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

PK2GTEI00006449	70						Incoming N	Message	Signatures	
Main	Additional Details									Screen(8/10
) Guarantee Preferences	Limit & Collateral	0	Charge Details	°.	Preview Messag	10	000			
Documents and Conditi		0	-	٥			٥			
Additional Fields	Contribution Currency: Contribution Amount : Limit Status		Charge : Commission :		Language Preview Message	-				
) Local Guarantee	Collateral Currency : GBP Collateral Contributior: 500		Tax : Block Status :							
Acknowledgement Details	Collateral Status : Not Verified Deposit Linkage Curre:		DICK SIGIS							
Advices	Deposit Linkage Amo:									
Additional Details	Create Template	000								
Settlement Details	Template Code :-	÷								
Summary										

Figure 2-24 Additional Details



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

Limits and Collaterals

For more information, refer to the field description table of Additional Details in **Scrutiny** stage.

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

Charge Details

For more information, refer to the field description table of Additional Details in **Scrutiny** stage.

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

Preview Mesage

This screen provides preview of draft guarantee details. If required, the draft can be sent for legal verification to legal team and draft confirmation to customer.

The system sends Draft MT760 along with up to seven MT761 messages as attachment to the customer.

The Transaction Reference Number is masked, before sending the Draft Import LC for Customer approval.

If the Guarantee Issuance is at Counter Issuing Bank (CIB)/ Local Issuing Bank (LIB), preview message is populated with the outgoing MT760 and all the applicable MT761.

 Preview - SWIFT Message 		 Preview - Mail Advice 		
anguage	Message Type	Language	Advice Type	
English v	700 •	English	DEBIT_ADVICE	•
Message Status	Repair Reason	Message Status	Repair Reason	
REPAIRED	Module procedure error	GENERATED		
review Message		Preview Message		
		DEBIT ADVICE/TAX INVOICE DATE: 20.APR-22 BRANCH ID: BRANCH ID: BANK TRN: 100282764800003 TRANSTIME GOODCARE PLC GOODCARE PLC GOODCARE PLC Sajanit@oracle.com Iane no 4 London	PAGE : 1	
 Draft Confirmation 		✓ Legal Verification		
Draft Confirmation Required	Customer Response	Legal Verification Required	Legal Response	
				Ŧ
Customer Remarks	Response Date	Legal Remarks	Verification Date	
	Ē			
Customer Email ID 1	Customer Email ID 2			
Q		2		
4				

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



Field	Description	
Preview SWIFT Message	This section displays the Preview SWIFT Message details.	
Language	Read only field.	
	The language to preview the draft guarantee details.	
	English is set as default language for the preview.	
Message Type	Select the message type from the drop down.	
	User can choose to see preview of different message like MT 700, MT 740 and MT 701.	
Message Status	Read only field. Display the message status of draft message of guarantee details	
Repair Reason	Read only field. Display the message status of draft message of guarantee details.	
Preview Message	This field displays a preview of the draft message.	
	Based on the guarantee text captured in the previous screen, guarantee draft is generated in the back office and is displayed in this screen.	
Preview - Mail Device	This section displays the Preview - Mail Device details.	
Language	Read only field.	
	The language for the advice message.	
	English is set as default language for the preview.	
Advice Type	Select the advice type.	
Message Status	Read only field. Display the message status of draft message of guarantee details.	
Repair Reason	Read only field. Display the message status of draft message of guarantee details.	
Preview Message	This field displays a preview of advice.	
Draft Confirmation Required	This section displays the Draft Confirmation Required details.	
Draft Confirmation Required	Enable the Draft Confirmation Required toggle, if the guarantee message needs to be approved by customer before issue.	
	Note: A bank user can share the Draft SWIFT message to the customer through email, before the actual transmission of SWIFT message to the Advising Bank.	
Customer Response	Specify the response received from customer.	
	If the response is received online, the response is auto populated in this field by the system	

Table 2-22	Preview Message - Field Description



Field	Description
Customer Remarks	Read only field.
	Displays the remarks from the customer for the draft.
Response Date	Read only field.
	Displays the customer response received date.
Customer Email ID 1	This field efaults the email address of the customer.
	System fetches the Email ID from Customer Address maintenance in Back office and auto populates the available Email ID.
	This field is enabled if Draft Confirmation Required toggle is enabled.
Customer Email ID 2	Click Search and select the Email ID from lookup from the Customer Email Address field of the customer maintenance in Back Office and replicated in OBTFPM.
	By default this field is blank.
	This field is enabled if Draft Confirmation Required toggle is enabled.
Legal Verification	Specify the Legal Verification details.
Legal Verification Required	Enable the Legal Verification toggle, if the guarantee message is to be verified and approved by Legal department before issue.
	The Legal Verification details must be captured in legal verification stage.
Legal Response	Read only field.
	Displays the legal response received from customer.
Legal Remarks	Read only field.
	Displays the legal remarks from the customer for the draft.
Verification Date	Read only field.
	Displays the customer legal response received date.

Table 2-22 (Cont.) Preview Message - Field Description

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

Create Template

This option allows user to create a new template with the already captured details and the data can be reused with the template to reduce the effort. The user can enter the template name and create the template, details pertaining to the subsequent screens in scrutiny and data enrichment screens will be persisted and populated.

Create Template				
 Application Details 				
Applicant	50 - Applicant Name	Branch Code	Branch Code	
001044	GOODCARE PLC	PK2	Oracle Banking Trade Finance - PK_{ℓ}	
Product Code	Product Description	SBLC/Guarantee Type	40E - Applicable Rules	
SBLC		APAY	URDG	
22A - Purpose of Message	Validity	Advising Bank	51A - Applicant Bank	
ISSU		WELLS FARGO LA		
59 - Beneficiary Name				
Sun Pharma				
 Additional Conditions FFT Code 	0	FFT Description		0
No data to display.				
Page 1 (0 of 0 items) <	1 > >			
72-Sender to Receiver Information				
SND2RECMT760				
Template Name				

Figure 2-25 Create Template

For more information on fields, refer to the field description table in **Scrutiny** stage.

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

The task will move to next data segment.

Table 2-23 A	dditional Details -	Action Buttons -	Field Description
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Field	Description
Documents	Click to View/Upload the required document.
	Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
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.



Field	Description
Customer Instructions	 Click to view/ input the following 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. 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.
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.
Incoming Messages	This button displays the multiple messages (MT760 + up to 7 MT761 Click 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
Signature	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny 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 MissingR3- 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.

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



Field	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
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 2-23 (Cont.) Additional Details - Action Buttons - Field Description

2.6.7 Settlement Details

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

1. On Settlement Details screen, specify the fields.

Guarantee Issuanc	e DataEnrichm	ent :: Appli	cation No:-	Al Summa	Clarification Details	Documents	Remarks	Overrides	Custom	er Instruction	- L V
PK2GTEI00006449	98							Incoming N	lessage	Signatures	:: ×
Main	Settlement Det	ails									Screen(9/10
Guarantee Preferences	Current Event										
Documents and Conditi											
Additional Fields	✓ Settlement De	tails									
Local Guarantee	Component 0	Currency 0	Debit/Credit 0	Account 0	Account Description	C Account Curre	ncy 0	Netting Indi	cator	Current E	vent 0
Acknowledgement Details	ASBLC_COM1_L	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		Yes	
Advices	ASBLC_COMM	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		Yes	
Additional Details	CLAIM_CUST_A	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		No	
ř.	COLLAMT_OS	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		No	
Settlement Details	COLLAMT_OSEQ	GBP	Credit	PK2001044	GOODCARE PLC	GBP		No		No	
Summary	COLLAMT_OSE	GBP	Credit	PK2001044	GOODCARE PLC	GBP		No		No	
	COLLAMT_OS	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		No	
	COLL_AMNDAMT	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		No	
	COLL_AMNDA	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		No	
	COLL_AMT	GBP	Debit	PK2001044	GOODCARE PLC	GBP		No		Yes	
	COLL AMT DE	GRP	Credit	PK2001044	GOODCARE PLC	GBP		No		No	

Figure 2-26 Settlement Details

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

Table 2-24 Settlement Details – Field Description

Field	Description	
Current Event	Select the check box to populate the settlement details of the current event associated with the task. On De-selecting the check box, the system list all the accounts under the settlement details irrespective of the current event	
Component	This field displays the components based on the product selected.	

Field	Description
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.

Table 2-24 (Cont.) Settlement Details – Field Description

2. Click Next.

The task will move to next data segment.

Table 2-25	Settlement Details - Action Buttons - Field Description
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Field	Description
Documents	Click to View/Upload the required document.
	Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
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	 Click to view/ input the following 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. 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.
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. Click 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.

Field	Description
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
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.
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 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.
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
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 2-25 (Cont.) Settlement Details - Action Buttons - Field Description

2.6.8 Summary

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

User can review the summary of details updated in Data Enrichment stage of Guarantee Issuance 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 ⁸ on any tile to view the details.

	ce DataEnrichment :	: Application No:-		Al Summary Clarification Details	Documents	Remarks	Overrides	Customer Instruction	111
K2GTEI0000644	98						Incoming Me	Signatures] ''
Main	Summary								Screen(10/1
Guarantee Preferences	Main		Guarantee Preferences		Additional Field	-			
Documents and Conditi									
Additional Fields	SBLC/Guarantee Type Submission Mode	: APAY : Online	Collection by Delivery of Original	:	Click here to view Additional : fields				
Local Guarantee	Date of Issue	: 2022-04-20	UnderTaking						
Acknowledgement Det									
Advices									
Additional Details									
Settlement Details									
Summary	Local Guarantee		Advices		Limits and Colla	aterals			
	Collection by Delivery of Original UnderTaking	:	Advice 1 Advice 2 Advice 3 Advice 4 Advice 5	: GUARANTEE : LC_INSTRUMEN : LC_CASH_COL : PAYMENT_MESS : PAYMENT_MESS	Contribution Curre Amount to Earma Limit Status Collateral Currenc Collateral Contribu Collateral Status Deposit Linkage A Deposit Linkage A	rk y ution. Currency	: Not Verified GBP 500 Not Verified :		
	Commission,Charges	and Taxes	Accounting Details		Settlement Details				
	Charge : GBP 191.00 Commission : GBP 150.00 Tax : GBP 411.26 Block Status : Not Initiated	: GBP 150.00 : GBP 411.26	Event AccountNumber Branch	: CLIQ : PK2001044001 : PK2	Component Account Number Currency		: OTHBNKCHG : PK20010440 : GBP		
	Parties Details	1111 <i>1</i>	Compliance details		Preview Messag	ges			
	Advising Bank :: WELLS FARGO Beneficiary :Sun Pharma Applicant : GOODCARE PLC	: Sun Pharma Sanctions : Not		: Not Initiate : Not Initiate : Not Initiate	Language Preview Message				
		itions	Acknowledgement Det	ails					
	Document 1	: CLAIM1	Account Identification Acknowledgement date Amount Currency	: : 2022-04-20 : 100 : GBP					

Figure 2-27 Summary

Tiles Displayed in Summary

- Main Details User can view the application and Guarantee details.
- · Guarantee Preferences User can view the guarantee preferences.
- Additional Fields User can view the details of additional fields.
- Local Guarantee User can view the local guarantee.
- Advices User can view the advices.
- Limits and Collaterals User can view limits and collateral details.
- Commission and Charges and Taxes User can view the commission, charge and tax details.
- Accounting Details User can view the accounting entries generated in back office.



Note:

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

- Settlement Details User can view the settlement details.
- Parties Details User can view party details like beneficiary, advising bank etc.
- Compliance details User can view the compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Preview Message User can view the preview message details.
- Acknowledgement Details User can view the acknowledgement details.
- Documents and Conditions User can view document details.
- 2. Click Submit.

The task will move to next logical stage.

Table 2-26	Summary - Action Buttons - Field Description
------------	--

Field	Description
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application
Remarks	Specify any additional information regarding the Guarantee issuance. 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	 Click to view/ input the following 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. 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.
Common Group Messages	Click Common Group Message button, to send MT799 and MT999 messages from within the task.



Field	Description
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761 Click 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
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory. Signature image and the applicable operation instructions if any available in the back-office system.
	If more than one signature is available, system should display all the signatures.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Cancel	Cancel the Scrutiny 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 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.
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
Back	On click of Back, system moves the task back to previous data segment.

Table 2-26 (Cont.) Summary - Action Buttons - Field Description



Field	Description
Submit	Task will get moved to next logical stage of Guarantee issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. n case of duplicate documents' system will terminate the process after handing off the details to back office.
Checklist	Make sure that the details in the checklist are completed and acknowledge. If mandatory checklist items are not marked, system will display an error on submit.

Table 2-26 (Cont.) Summary - Action Buttons - Field Description

2.7 Exceptions

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

The Guarantee Issuance 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.

Exception - Amount Block

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

Log in into OBTFPM application, amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue. Open the task to view summary of updated available 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.

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 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.

Sι	ım	m	ary	1

Tantee Issuant	e AmountBlock Exception Ap	proval :: Application No:-	Docum	ents Remarks Overrides	Customer Instruction
GTEI00006270	07				Incoming Message
ount Block Exception	Summary				Screen
Summary	Main	Guarantee Preferences	Addition	nal Fields	
	SBLC/Guarantee Type : BILL Submission Mode : Desk Date of Issue : 2022-04-2	Delivery of Original	: Click here fields	e to view Additional :	
	Limits and Collaterals	Commission, Charges and	I taxes Preview	/ Messages	
	Contribution Currency : Amount to Earmark : Limit Status : Not Verifik Collateral Currency : Collateral Contribution. Collateral Status : Not Verifik Deposit Linkage Currency : Deposit Linkage Amount :	ed Tax Block Status	: GBP 300.00 Languag GBP 110.42 Preview M CaBP 84.02 : Not Initiated		
	Parties Details	Compliance details	Account	ting Details	
	Applicant : GOODCAF Beneficiary : MARKS A Advising Bank : WELLS FA	ND SP Sanctions	: Not Initiate Event : Verified Account : Verified Branch	: BISS Number : PK20011 : PK2	83001
	Advices				
	Advice 1 : GUARANT Advice 2 : GUA_ACK Advice 3 : LC_CASH Advice 4 : NTF_FOR Advice 5 : PAYMENT	_ADVI COL NEXN			

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

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.

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.

Field	Description
Documents	View/Upload the required document.
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	 Click to view/ input the following 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. 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.
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. In case of MT798, the User can click and view the MT798 message(770,700/701).
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.

 Table 2-27
 Amount Bock Exception - 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:
	 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.
Refer	Select a Refer Reason from the values displayed by the system. User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes
	Refer Codes are:
	 R1- Documents missing R2- Signature Missing 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.
Back	Task moves to previous logical step.

Table 2-27 (Cont.) Amount Bock Exception - Action Buttons - Field Description

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.

	uance KYC Exception	onal appro	oval :: Applicatio	n No:-		Documents	Remarks	Overrides	Customer Instruction	:: ×
PK2GTEI0000					Incoming Message	11 (
KYC Exception	KYC Exception									Screen(1/2
Summary	~									
	KYC Details									
	Party ID	٥	KYC Status	٥	KYC Verified On		٥	KYC Verified	тш	c
	No data to display.									

Figure 2-28 Know Your Customer (KYC) Exception

- 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

arantee Issu	ance KYC Exceptional approval :: Applicat	tion No:- PK2GTEI000062707	s Remarks Overrides Customer Instruction Incoming Message	e 1.					
/C Exception	Summary								
mmary	Main	Guarantee Preferences	Additional Fields						
	SBLC/Guarantee Type : BILL Submission Mode : Desk Date of Issue : 2022-04-20	Collection by : Delivery of Original : UnderTaking	Click here to view Additional : fields						
	Limits and Collaterals	Commission, Charges and taxes	Preview Messages						
	Contribution Currency : Amount to Earmark : Limit Status : Not Verified Collateral Currency : Collateral Contribution. : Collateral Contribution. : Not Verified Deposit Linkage Currency : Deposit Linkage Amount :	Charge : GBP 300.00 Commission : GBP 110.42 Tax : GBP 84.02 Block Status : Not Initiated	Language : ENG Preview Message :-						
	Parties Details	Compliance details	Accounting Details						
	Beneficiary : MARKS AND SP Advising Bank : WELLS FARGO Applicant : GOODCARE PLC	KYC : Not Initiate Sanctions : Not Initiate AML : Not Initiate	Event :BISS AccountNumber :412000002 Branch :PK2						
	Advices								
	Advice 1 : GUARANTEE Advice 2 : GUA_ACK_ADVI Advice 3 : LC_CASH_COL Advice 4 ::NTF_FOR_NEXN Advice 5 :: PAYMENT_MESS								

Figure 2-29 Exception - Know Your Customer (KYC) 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 Buttons, refer to the field description table below.

Table 2-28Exception - Know Your Customer (KYC) Summary - Action Buttons - FieldDescription

Field	Description				
Field	Description				
Documents	View/Upload the required document.				
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	 Click to view/ input the following 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. 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. 				
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.				
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. In case of MT798, the User can click and view the MT798 message(770,700/701).				
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. 				
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.				

Table 2-28	(Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons -
Field Descr	iption

Field	Description
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.

Exception - Limit Check/Credit

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

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

Note:

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

Limit check Exception approver can do the following actions:

Approve

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

Refer

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

Reject

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

Limit/Credit Check

This section will display the amount block exception details.

Summary

Tiles Displayed in Summary:

- Main Details User can view 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.	
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 Instructions	 Click to view/ input the following 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. 	
	 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. 	
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.	
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. In case of MT798, the User can click and view the MT798 message(770,700/701).	
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. 	

Table 2-29 Exception - Limit Check/Credit - Action Buttons – Field Description



Field	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 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 2-29 (Cont.) Exception - Limit Check/Credit - Action Buttons - Field Description

2.8 Multi Level Approval

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

- Log in into OBTFPM application and acquire the task available in the approval stage in free task queue. The user can view the Summary tiles which displays list of important fields with values.
- 2. 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.

Authorization Re-Key (Non-Online Channel)

For non-online channel, application will request approver for few critical field values as an authorization step. If the values captured match with the values available in the screen, system will allow user to open the transaction screens for further verification. If the re-key values are different from the values captured, then application will display an error message.

Open the task and re-key some of the critical field values from the request in the 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.

		View Signature		Documents Remarks
urrency				
GBP			•	\oslash
ontract Am	ount			
GBP	•	£1,000.0	0	\oslash

Figure 2-30 Authorization Re-Key

Approval Summary

Juarantee Issuar	ice Approval Task L	evel 1 :: Application N	lo:-	Documents	Remarks	Overrides	Custon	ner Instruction	11 :
PK2GTEI000008	557					Incoming N	lessage	Signatures	7.5
Main		Guarantee Preference	s	Additional Fields					
BLC/Guarantee Type submission Mode Date of Issue	: APAY : Desk : 2022-04-20	Collection by Delivery of Original UnderTaking	:	Click here to view Add	litional :				
imits and Collaterals		Commission, Charges	and taxes	Preview Messages			111111557		
contribution Currency Amount to Earmark Jollateral Currency Jollateral Currency Jollateral Status Deposit Linkage Currency Deposit Linkage Amount	: : Not Verified : : Not Verified :	Charge Commission Tax Block Status	: GBP 271.00 : GBP 110.42 : GBP 84.02 : Failed	Language Preview Message	: EN/ : -	G			
Parties Details	//////////////////////////////////////	Compliance details		Accounting Details		-2000 1999			
Applicant Idvising Bank Beneficiary	: GOODCARE PLC : RBS PLC : MARKS AND SP	KYC Sanctions AML	: Not Initiate : Verified : Verified	Event AccountNumber Branch	: BIS : PK : PK	2001044001			
Exception(Approval)	7) TARANG MATTER 1997	Settlement Details		Advices	////////		111110		
nmountBlock,Sanction,KY0 LEASE VISIT REMARKS OR MORE DETAILS	: EXCEPTION :-	Component Account Number Currency	: OTHENKCHG_LL : PK2001044001 : GBP	Advice 1 Advice 2 Advice 3 Advice 4 Advice 5	: LC_ : TR/ : NT	ARANTEE .CASH_COL ADE_ENVELO F_FOR_NEXN /MENT_MESS			
ocal Guarantee	///////////////////////////////////////								
Collection by Delivery of Original JnderTaking	:	ļ							

Figure 2-31 Approval Summary

Tiles Displayed in Summary:

- Main Details User can view the application details and guarantee details.
- Guarantee Preferences User can view the guarantee preferences details.
- Additional Fields User can view the details of additional fields.
- Limits and Collaterals User can view limits and collateral details.
- Commission, Charges and taxes User can view commission, charges and taxes details.
- Preview Messages User can view the preview message details.
- Parties Details User can view party details like beneficiary, advising bank etc.

- Compliance Details User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Accounting Details User can view the accounting entries generated in back office.

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) Details User can view the exception (Approval) details.
- Settlement Details User can view the settlement details.
- Advices User can view the local advices details.
- Local Guarantee User can view the local guarantee details.
- 1. Click Approve.

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

Field	Description		
Documents	View/Upload the required document. Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously. When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application		
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	 Click to view/ input the following 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. 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. 		
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.		
Incoming Message	This button displays the multiple messages (MT760 + up to 7 MT761. In case of MT798, the User can click and view the MT798 message(770,700/701).		

Table 2-30 Approval Summary - Action Buttons - Field Description



Field	Description			
Signatures	Click the Signature button to verify the signature of the customer/ bank if required.			
	The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system.			
	If more than one signature is available, system should display all the signatures.			
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.			
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 MissingR3- Input Error			
	R4- Insufficient Balance/LimitsR5 - 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/LimitsR5 - Others			
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.			

Table 2-30 (Cont.) Approval Summary - Action Buttons - Field Description

2.9 Customer - Acknowledgement

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

Customer Acknowledgment is generated every time a new Guarantee Issuance is requested from the customer. The acknowledgment letter format is as follows.

The Transaction Reference Number is masked before sending the Draft Guarantee Issuance for Customer approval.

To: <CUSTOMER NAME> DATE: DD-MM-YYYY

<CUSTOMER ADDRESS>

Dear Sir,

SUB: Acknowledgement to your LC Application number <CUSTOMER REFERENCE NUMBER> dated <APPLICATION DATE>

This letter is to inform you that we have received your application for issue of Guarantee with the below details: CUSTOMER NAME: <CUSTOMER NAME>

CURRENCY/AMOUNT: <CCY/AMT>

YOUR REFERENCE NO: <CUSTOMER REFERENCE NUMBER>

OUR REF NUMBER: < PROCESS REFERENCE NUMBER>

APPLICANT NAME: <APPLLICANT>

BENEFICIARY NAME: <BENEFICIARY>

Bank Guarantee Number: < Bank Guarantee Number>

DATE OF ISSUE: <DATE OF ISSUE>

DATE OF EXPIRY: <DATE OF EXPIRY>

Guaranty Type: <Guarantee Type>

We have also received the following Documents from you for processing the request:

Document Name 1

Document Name 2

Document Name n

We have registered your request. Please quote our reference < PROCESS REF NUMBER> in any future correspondence.

This acknowledgement does not constitute issuance of Guarantee.

Thank you for banking with us.

Regards,

<DEMO BANK>

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Thank you



2.10 Customer - Reject Advice

This topic helps you quickly get acquainted with the Customer - Reject Advice.

Reject Letter is generated by the system and addressed to the customer, when a task is rejected by the user. The Reject Letter format is as follows.

FROM:

<BANK NAME>>

<BANK ADDRESS

To: <CUSTOMER NAME> DATE: DD-MM-YYYY

<CUSTOMER ADDRESS>

<CUSTOMER ID>

Dear Sir,

SUB: Your Guarantee Application <Customer Reference Number> under our Process Ref <Process Ref No> - Rejected

Further to your recent Guarantee application request dated <Application Date -DD/MM/YYYY>, under our process ref no <process ref no>, this is to advise you that we will not be able to issue the required Guarantee.

After a thorough review of your application and the supporting documents submitted, we have concluded we will not be able to issue the LC due to the below reason <Reject Reason > On behalf of Demo Bank, we thank you for your ongoing business and trust we will continue to serve you in future.

For any further queries about details of your Import LC application review, please contact us at our bank customer support ph.no xxxxxxxxxx Yours Truly

Authorized Signatory



Glossary



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