# Oracle Banking Trade Finance Process Management Shipping Guarantee Issuance User Guide



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Oracle Banking Trade Finance Process Management Shipping 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
- Basic Actions
- Symbols and Icons

#### Purpose

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

### Audience

This document is intended for the following audience:

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

### **Documentation Accessibility**

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

#### Access to Oracle Support

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



#### **Critical Patches**

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

### **Diversity and Inclusion**

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

### Structure

This manual is organized into the following chapters:

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

### Conventions

The following text conventions are used in this document:

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

### **Related Documents**

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

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



### Screenshot Disclaimer

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

### **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:

Action Buttons	Description
Reject	<ul> <li>On click of Reject, user must select a Reject Reason from a list displayed by the system.</li> <li>Reject Codes are: <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> </li> <li>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window</li> </ul>
	throughout the process.
Refer	<ul> <li>Select a Refer Reason from the values displayed by the system.</li> <li>Refer Codes are:</li> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
Cancel	Click <b>Cancel</b> to cancel the transaction input midway without saving any data.
Save & Close	Click <b>Save &amp; Close</b> to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Next	Click <b>Next</b> , system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

Table 1 Common Action Buttons and its Definitions



Action Buttons	Description
Submit	Click <b>Submit</b> to complete the transaction after you specify all the input parameters for a particular process. The task will get moved to next logical stage of the process. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.

 Table 1 (Cont.) Common Action Buttons and its Definitions

### Symbols and Icons

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

Table 2	Symbols an	d Icons -	Common
---------	------------	-----------	--------

Symbol/Icon	Function
J L	Minimize
<b>ч</b> г	
F 7	Maximize
L J	
X	Close
Q	Perform Search
•	Open a list
$\leftrightarrow$	Date Range
+	Add a new record
К	Navigate to the first record
Х	Navigate to the last record
•	Navigate to the previous record
•	Navigate to the next record
88	Grid view
11日1日11日11日11日11日11日11日11日11日11日11日11日1	List view



Symbol/Icon	Function
Ģ	Refresh
+	Click this icon to add a new row.
•	Click this icon to delete a row, which is already added.
	Calendar
Û	Alerts
£	Unlock Option
Ð	View Option
<b>\$</b>	Reopen Option

Table 2	(Cont.)	Symbols and Icons - Common
---------	---------	----------------------------

#### Table 3Symbols and Icons - Widget

Symbol/Icon	Function
£	Open status
	Unauthorized status
<b>₽</b> ×	Rejected status
凸	Closed status
D	Authorized status
	Modification Number



## Oracle Banking Trade Finance Process Management

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

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

This document will take you through following activities in OBTFPM:

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

#### **Overview**

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

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

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

#### **Key Features**

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



## 2 Shipping Guarantee Issuance

This User Manual describes the various stages of Shipping Guarantee Issuance process.

As a part of Shipping Guarantee Issuance, the applicant approaches a Bank and requests the bank to issue a Shipping Guarantee on their behalf to the Beneficiary (Shipping Company).

This topic contains following subtopics:

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

 Data Enrichment This topic provides the systematic instructions to initiate the Data Enrichment stage of Shipping 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.

### 2.1 Common Initiation Stage

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

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

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

The Initiate Task screen appears.

Figure 2-1 Initiate Task



Aenu Item Search Trade Finance	Q	Initiate Task Registration			
dministration		Process Name	Issued Against	LC Reference Number	Branch
ank Guarantee Advise		Shipping Guarantee Issuance 🔹	Documentary Credit	▼ PK2ELAT221106018	Q PK2-Oracle Banking Trade Fina 🔻
ank Guarantee Issuance					
luyers Credit					Proceed
common Group Message					
inquiry					
xport - Documentary ollection					
xport - Documentary redit					
nport - Documentary ollection					
nport - Documentary redit					

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 icon to search and select the customer ID from the look up.
Branch	Select the required branch code from the drop-down list.

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

Table 2-2 Action Buttons - Field Description

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

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

### 2.2 Registration

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

The first stage of Shipping Guarantee Issuance process starts from the Registration Stage. The user can initiate Shipping Guarantee issuance from the Registration process. The first stage of Shipping Guarantee Issuance process starts from the Registration Stage. The user can initiate Shipping Guarantee issuance from the Registration process. The OBTFPM user can process MT798 with sub messages MT726-MT759 message received through SWIFT. The OBTFPM verifies the field 21 and 26E (of the MT759 and identifies the Original Contract Reference Number and Amendment Number and invokes the process. The user can cancel the previously received MT798 referenced message which is under process.

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

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

	6-6-6-71
OF	RACLE
User Name	
ATEST11	
Password	
	Sign In

Figure 2-2 LogIn Screen

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

Figure 2-3 Shipping Guarantee Issuance

		(DEFAULTENTITY)	Oracle Banking Trade Financ         ↓         ADMIN01 ∨           April 20, 2022         ↓         ADMIN01 ∨
Menu Item Search Q	Dashboard		
Shipping Guarantee			+
Shipping Guarantee Issuance	Swift Processing	×	
	Dete December 31, 2024 📾		
	No data to display		
	0 Filtered 0 Unfiltered		

#### The Shipping Guarantee Issuance screen appears.

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

Figure 2-4 A	pplication Details
--------------	--------------------

Shipping Guarantee Issuan	ce	Signature	s Documents	Remarks	Customer Instruction	Common Group Mess	sages
<ul> <li>Application Details - Main</li> </ul>							
ssued Against	Documentary Credit Number	Customer			Branch		
Documentary Credit *	PK2ILSN221107212 Q	001044	GOODCARE		PK2-Oracle Bank	king Trade Fina 🔻	
rocess Reference Number	Customer Reference Number	Priority			Submission Mode		
PK2SGTI000065455	REFERENCE TC01	Medium	•		Desk	-	
poking Date							
						View L	
pril 20, 2022	Product Description	Outstanding LC Amour	nt		SG/DO Amount	View L	LC
	Product Description Shipping Guarantee	Outstanding LC Amour	nt £100.00		SC/DO Amount GBP	View L £100.00	LC
April 20, 2022							LC
April 20, 2022			£100.00				LC
April 20, 2022	Shipping Guarantee	GBP *	£100.00		GBP 🔻		LC
April 20, 2022	Shipping Guarantee	GBP *	£100.00		GBP	£100.00	LC

The request is received at the Branch/ Front office or Processing centre. The user should be able to input the following details.

3. On Shipping Guarantee 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.

 Table 2-3
 Shipping Guarantee Issuance - Registration - Application Details

Field	Description
Issued Against	Select whether this Shipping Guarantee is issued against Documentary Credit or against a Documentary Collection from the drop-down. The options are: Documentary Credit Documentary Collection
Documentary Credit Number	Specify the Documentary Credit number. Alternatively, click <b>Search</b> icon to search and select the Documentary Credit number from the look-up. This field is enabled if <b>Documentary Credit</b> is selected from the <b>Issued Against</b> field.
Customer	The customer ID for the selected Documentary credit is populated in this field, if <b>Documentary Credit</b> is selected from the <b>Issued</b> <b>Against</b> field. The user can not change the value. Specify the customer ID or click <b>Search</b> to search and select the customer ID from the look-up, if <b>Documentary Collection</b> is selected from the <b>Issued Against</b> field.
Branch	System defaults the branch name from shipping Guarantee / SBLC issuance.
Process Reference Number	Read only field. Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.
Customer Reference Number	Specify the customer reference number.
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. User can change the priority populated any time before submit of Registration stage.
Submission Mode	<ul> <li>System defaults the submission mode from Shipping Guarantee.</li> <li>By default the submission mode will have the value as 'Desk'.</li> <li>Desk - Request received through Desk</li> <li>Courier - Request received through Courier</li> <li>Online - Request received through Email</li> <li>User can change the submission mode populated.</li> </ul>

Field	Description
Booking Date	Read only field.
	By default, the application displays the branch's current date.
	User cannot change the value. If the task gets approved on a later date, system will populate that date as the booking date.

#### **Shipping Guarantee Details**

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

Product Code	Product Description	Outstanding LC Amount	SG/DO Amount
SGLA Q	Shipping Guarantee	GBP * £100.00	GBP ▼ £100.00
Amount in Local Currency	Contract Reference Number	User Reference Number	SG/DO Beneficiary
•			CIF0184310: Q CIF0184310: D
SG/DO Expiry Date	Mode of Transport	Cargo Arrival Details	Limit verification required
May 29, 2022	·		
			Hold Cancel Save & Close

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



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

Table 2-4	Shipping Guarantee Issuance - Registration - Shipping Guarantee Details
- Field Des	scription

Field	Description
Product Code	Specify the applicable Shipping Guarantee product code.
	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 <b>Search</b> icon to search and select the product code from the look-up.
Product Description	Read only field.
	Product description is auto populated by the application based on the selected Product Code.
Outstanding LC Amount	Read only field.
	System defaults outstanding LC amount, if any.



### Table 2-4(Cont.) Shipping Guarantee Issuance - Registration - Shipping GuaranteeDetails - Field Description

Field	Description	
SG/DO Amount	Specify the amount for which the shipping guarantee has to be issued. The currency is defaulted by the system, user can change the currency.	
Amount In Local Currency	Read only field. System fetches the local currency equivalent value for the LC amou from back office (with decimal places).	
Contract Reference Number	Read only field. Auto-generated by back end application. Shipping guarantee back office reference gets simulated and displayed.	
User Reference Number	User Reference Number will be auto populated by the system based on selection of Product Code. The user can change the User Reference Number.	
SG/DO Beneficiary	Specify the Shipping Guarantee beneficiary details or click <b>Search</b> to search and select the Shipping Guarantee beneficiary details from the look-up.	
SG/DO Expiry Date	Specify or select the expiry date of the Shipping Guarantee Issuance.	
Mode of Transport	Select the mode of shipment from the drop-down The values are: Sea Air Road Rail Multimodal Other	
Cargo Arrival Details	Specify the cargo arrival details.	
Limit verification required	Enable this option for limit verification.	

#### 5. Click Submit.

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

### Table 2-5Shipping Guarantee Issuance - Registration - Action Buttons - FieldDescription

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	Upload the documents received. Application displays mandatory documents to be uploaded for Shipping Guarantee Issuance. Place holders are also available to upload additional documents submitted by the applicant
Remarks	Specify any additional information regarding the Shipping 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.
Customer Instruction	<ul> <li>Click to view/ input the following:</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
Common Group Messages	Click Common Group Message button, to send MT799 and MT999 messages from within the task.
View LC	Clicking this button allows the user to view the latest underlying LC details from the back office system. This button appears, if <b>Documentary Credit</b> is selected from the <b>Issued Against</b> field.
Events	Clicking Events button allows the user to view all the previous events under the LC. This button appears, if <b>Documentary Credit</b> is selected from the <b>Issued Against</b> field.
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 Shipping 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 Shipping 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.) Shipping 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.

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**.

Letter of Credit	
Application Form	
Ĺ	
	Application Form

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

2. Click the Add Additional Documents button/ link.

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

Field	Description
Document Type	Select the document type from list. 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 screen is displayed. The value selected in **Document Type** and **Document Code** of **Document** screen are defaulted in the Link Document Search screen.



Customer Id			0	ocumen	it ld				
001044			[						
Document Type			C	ocumen	t Code				
Letter of Credit		•	ſ	Insura	nce Policy		•		
Fetch Link Document	Document ᅌ	Customer 🔶	Document Type	٥	Document Code	\$ Upload Date	\$	Reference Number	\$
No data to displa	у.								
Page 1 (0 o	f 0 items)  <	< 1 → >	I						

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

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

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

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

Customer Id			Do	ocument ld		
001044						
Oocument Type			Do	ocument Code		
Letter of Cred	it	•	1	Insurance Policy	•	
Fetch						
Link Document	Document Id	Customer Id	Document Type	Document Code	Upload Date 🗘	Reference 🗘
Link	616	001044	fdff	INSURANCE	December 6, 2023	PK2ELCU000003399
Link	116	001044		INSURANCE	November 3, 2023	PK2ILCD000001238
Link	144	001044		INSURANCE	November 6, 2023	PK2IILD000001312
Link	162	001044		INSURANCE	November 9, 2023	PK2ELCC000001424
Link	684	001044	CVCVC	INSURANCE	December 11, 2023	PK2IELD000004034

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

6. Click Edit icon to edit the documents.

The **Edit Document** screen is displayed.

Document Id	Document Title
2464	ddf
Application Reference Number	Entity Reference Number
PK2ILCI000053389	PK2ILCI000053389
Document Type Id	Document Description
TFPM_DOCTYPE001	dfdfdf
Remarks	Document Expiry Date
ffdfd	Ţ.
Drop files her	re or click to select
	Update

1

### 2.3 Data Enrichment

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

On successful completion of Registration of an Shipping Guarantee Issuance request, the request moves to Data Enrichment stage. At this stage the bank user would be able to update fields, check the limits and other legal and financial risks the bank is exposed to and either approve or reject or refer the transaction to the customer for changes. The user should also be able to input transaction details.

Requests that are created online (Trade Portal) the task will be created in DE stage directly and the fields will be populated based on the incoming request. Submission mode for online requests will be "Online".

#### 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 currently at Data Enrichment stage:

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

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

Menu Item Search Q	Fre	e Tasks						
K Tasks	0	Refresh Or Ac	quire 🖁 🛱 Fi	ow Diagram				
Awaiting Customer Clarification		Acquire and Edit	Priority 0	Process Name 🗘	Process Reference Number ≎	Application Number 0	Stage ≎	Application Date
Business Process Maintenance		Acquire and Edit	Medium	Shipping Guarantee Issuance	PK2SGTI000065460	PK2SGTI000065460	DataEnrichment	22-04-20
Completed Tasks		Acquire and Edit	Medium	Import LC Issuance	PK2ILCI000065448	PK2ILCI000065448	Scrutiny	22-04-20
Free Tasks		Acquire and Edit	Medium	Guarantee Advise Amendment	PK2GTAA000065434	PK2GTAA000065434	Sanction Check Exceptiona	22-04-20
Hold Tasks		Acquire and Edit		Guarantee Cancellation Islamic	PK2IGCI000065444	PK2IGCI000065444	DataEnrichment	22-04-20
My Tasks		Acquire and Edit	Medium	Export LC Drawing - Islamic	PK2IELD000053358	PK2IELD000053358	Sanction Check Exceptiona	22-04-20
Other User tasks		Acquire and Edit	Medium	Import LC Issuance	PK2ILCI000065432	PK2ILCI000065432	Scrutiny	22-04-20
		Acquire and Edit	Medium	Import LC Issuance	PK2ILCI000065428	PK2ILCI000065428	Limit Earmark Exception A	22-04-20
Search		Acquire and Edit	Medium	Import LC Issuance	PK2ILCI000065428	PK2ILCI000065428	Sanction Check Exceptiona	22-04-20
SubProcess Tasks		Acquire and Edit		Guarantee Cancellation	PK2GTEC000065431	PK2GTEC000065431	DataEnrichment	22-04-20
Supervisor Tasks		Acquire and Edit		Guarantee Issuance Amendm	PK2IGTM000065430	PK2IGTM000065430	DataEnrichment	22-04-20
		Acquire and Edit		Guarantee Amendment	PK2GTEA000065429	PK2GTEA000065429	DataEnrichment	22-04-20
		Acquire and Edit		Guarantee Issuance Islamic	PK2IGTI000065427	PK2IGTI000065427	Scrutiny	22-04-20
		Acquire and Edit		Guarantee Issuance	PK2GTEI000065426	PK2GTEI000065426	Scrutiny	22-04-20
		Acquire and Edit		Export LC Transfer Amendment	PK2ELCT000065418	PK2ELCT000065418	Scrutiny	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 acquire the task.



4. The acquired task will be available in **My Tasks** tab. Click **Edit** to scrutinize the registered task or provide input for Data Enrichment stage.

Menu Item Search Q	Му	Tasks							
۲ Tasks	Q	Refresh	Release	Escalate	문 Delegate	Sta Flow Diagram			
Awaiting Customer Clarification		Edit	Priority 0	Process Na	me 0	Process Reference Number 0	Application Number 🗘	Stage 0	Application Date
Business Process Maintenance		Edit	Medium	Shipping Guaran	itee Issuance	PK2SGTI000065460	PK2SGTI000065460	DataEnrichment	22-04-20
Completed Tasks		Edit	Medium	Shipping Guaran	itee Issuance	PK2SGTI000065455	PK2SGTI000065455	Registration	22-04-20
Free Tasks		Edit	Medium	Guarantee SBLC	Advised -Cl	PK2GADC000065397	PK2GADC000065397	Registration	22-04-20
Hold Tasks		Edit	Medium	Islamic Shipping	Guarantee I	PK2ISGI000065152	PK2ISGI000065152	DataEnrichment	22-04-20
My Tasks		Edit	Medium	Guarantee Issuar	nce Islamic	PK2IGTI000007035	PK2IGTI000007035	DataEnrichment	22-04-20
Other User tasks		Edit	Medium	Guarantee Advis	e Amendment	PK2GTAA000064931	PK2GTAA000064931	DataEnrichment	22-04-20
Search		Edit	Medium	Lodge Claim - G	uarantee lss	PK2GTEC000006312	PK2GTEC000006312	Approval Task Level 1	22-04-20
SubProcess Tasks		Edit	Medium	Lodge Claim - G	uarantee Iss	PK2GTEC000064899	PK2GTEC000064899	DataEnrichment	22-04-20
Supervisor Tasks		Edit	Medium	Guarantee Issuar	nce Amend	PK2GTEI000064843	PK2GTEI000064843	Approval Task Level 1	22-04-20
		Edit	Medium	Guarantee Issuar	nce Closure	PK2GTEC000064840	PK2GTEC000064840	Approval Task Level 1	22-04-20
		Edit	Medium	Guarantee Advic	e Closure	PK2GTAC000061823	PK2GTAC000061823	Approval Task Level 1	22-04-20
		Edit	Medium	Guarantee Advis	e Claim Lod	PK2GADC000064245	PK2GADC000064245	Approval Task Level 1	22-04-20
		Edit	Medium	Guarantee Amer	ndment	PK2GTEA000062425	PK2GTEA000062425	Approval Task Level 1	22-04-20

Figure 2-6 My Task

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

- Main Details
- Shipment Details
- Additional Fields
- Advices
- Additional Details
- Settlement Details
- Summary

Let's look at the details for Data Enrichment stage. User can enter/update the following fields as part of Shipping Guarantee Issuance - Data Enrichment Stage.

Main Details

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

Shipment Details

This topic provides the systematic instructions to capture the shipment details of Shipping Guarantee Issuance request.

Additional Fields

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

Advices

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

Additional Details

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



#### • Settlement Details

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

Summary

This topic provides the systematic instructions to view the summary details in Data Enrichment stage of Shipping Guarantee Issuance process.

#### 2.3.1 Main Details

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

Main details section has two sub section as follows:

- Application Details
- Shipping Guarantee Details.

#### **Application Details**

Applications from Online channels will be directly available in the Data Enrichment stage and the fields will be populated with the details from incoming request.

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

K2SGT100006	ntee Issuance DataEnrichment							- ::
K23G1100000	5255				Custome	rInstruction	Signatures	
<b>/</b> ain	Main							Screen
hipment Details	✓ Application Details - Main							
dditional Fields	Issued Against	Documentary Credit Number	Customer		Br	anch		
dvices	Documentary Credit *	PK2ILSN221107022	001044	GOODCARE	D	PK2-Oracle B	anking Trade	e Fina 🔻
dditional Details	Process Reference Number	Customer Reference Number	Priority		Su	bmission Mode		
ettlement Details	PK2SGT1000065255	123	Medium		•	Online		•
ummary	Booking Date							
	April 20, 2022							
							1	/iew LC E
	✓ Shipping Guarantee Details							
	Product Code	Product Description	Outstanding LC	Amount	SG	/DO Amount		
	SGLA Q	Shipping Guarantee	GBP -	£10,000.	00	GBP 👻		£1,000.00
	Amount in Local Currency	Contract Reference Number	User Reference	Number	sg	/DO Beneficiar	y	
	GBP - £1,000.00	SGLA221100014505				001204	Q Sun F	Pharma 🕻
	SG/DO Expiry Date	Mode of Transport	Cargo Arrival D	etails	Lir	nit verification	required	
	December 23, 2024	Road	•		C			

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

Note:

The fields which are marked as Required are mandatory.

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

Field         Description           Issued Against         Read only field. The value is defaulted from Registration stage.           Documentary Credit Number         Read only field. The value is defaulted from Registration stage           Customer         Read only field. The value is defaulted from Registration stage           Branch         System defaults the branch name from shipping Guarantee SBLC issuance.           Process Reference Number         Read only field. Unique sequence number for the transaction. This is auto generated by the system based on process na and branch code.           Customer Reference Number         Specify the customer reference number. Number           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. User can change the priority populated any time before submit of Registration stage.           Submission Mode         System defaults the submission mode from the Registration stage • Desk - Request received through Desk • Courier - Request received through Desk • Courier - Request received through Desk • Courier - Request received through Email User can change the submission mode populated.		
The value is defaulted from Registration stage.         Documentary Credit Number       Read only field. The value is defaulted from Registration stage         Customer       Read only field. The value is defaulted from Registration stage         Branch       System defaults the branch name from shipping Guarantee SBLC issuance.         Process Reference Number       Read only field. Unique sequence number for the transaction. This is auto generated by the system based on process na and branch code.         Customer Reference Number       Specify the customer reference number. Number         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 populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage By default the submission mode will have the value as 'Des' • Desk - Request received through Desk • Courier - Request received through Desk • Courier - Request received through Desk	Des	ption
Number       The value is defaulted from Registration stage         Customer       Read only field. The value is defaulted from Registration stage         Branch       System defaults the branch name from shipping Guarantee SBLC issuance.         Process Reference Number       Read only field. Unique sequence number for the transaction. This is auto generated by the system based on process na and branch code.         Customer Reference Number       Specify the customer reference number.         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. User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage • Desk - Request received through Desk • Courier - Request received through Desk • Online - Request received through Email User can change the submission mode populated.		
The value is defaulted from Registration stage         Branch       System defaults the branch name from shipping Guarantee SBLC issuance.         Process Reference Number       Read only field.         Unique sequence number for the transaction.       This is auto generated by the system based on process na and branch code.         Customer Reference Number       Specify the customer reference number.         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.         User can change the priority populated any time before submit of Registration stage.       System defaults the submission mode from the Registration stage.         Submission Mode       System default the submission mode will have the value as 'Dest' Online - Request received through Desk         •       Desk - Request received through Desk         •       Courier - Request received through Email User can change the submission mode populated.		
SBLC issuance.         Process Reference Number       Read only field.         Unique sequence number for the transaction.         This is auto generated by the system based on process na and branch code.         Customer Reference Number       Specify the customer reference number.         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.         User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage.         By default the submission mode will have the value as 'Dest'       Ourier - Request received through Desk         •       Desk - Request received through Email         User can change the submission mode populated.		
Number       Unique sequence number for the transaction.         This is auto generated by the system based on process na and branch code.         Customer Reference Number       Specify the customer reference number.         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.         User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage.         By default the submission mode will have the value as 'Dest'.         •       Desk - Request received through Desk         •       Courier - Request received through Email         User can change the submission mode populated.		
Unique sequence number for the transaction.         This is auto generated by the system based on process na and branch code.         Customer Reference       Specify the customer reference number.         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.         User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage.         By default the submission mode will have the value as 'Dest'       Online - Request received through Desk         User can change the submission mode populated.       Online - Request received through Desk	rence Rea	nly field.
and branch code.         Customer Reference Number       Specify the customer reference number.         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. User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage.         By default the submission mode will have the value as 'Dest • Desk - Request received through Desk • Courier - Request received through Courier • Online - Request received through Email User can change the submission mode populated.	Uni	e sequence number for the transaction.
Number       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. User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage. By default the submission mode will have the value as 'Dest - Request received through Desk         •       Desk - Request received through Courier         •       Online - Request received through Email User can change the submission mode populated.		
High or Essential or Critical'. If priority is not maintained for a customer, Medium priority will be defaulted.         User can change the priority populated any time before submit of Registration stage.         Submission Mode       System defaults the submission mode from the Registration stage.         By default the submission mode will have the value as 'Dest         • Desk - Request received through Desk         • Courier - Request received through Courier         • Online - Request received through Email         User can change the submission mode populated.	ference Spe	the customer reference number.
<ul> <li>By default the submission mode will have the value as 'Des</li> <li>Desk - Request received through Desk</li> <li>Courier - Request received through Courier</li> <li>Online - Request received through Email</li> <li>User can change the submission mode populated.</li> </ul>	High cust Use	Essential or Critical'. If priority is not maintained for a er, <b>Medium</b> priority will be defaulted. an change the priority populated any time before submit of
<ul> <li>Desk - Request received through Desk</li> <li>Courier - Request received through Courier</li> <li>Online - Request received through Email User can change the submission mode populated.</li> </ul>	Mode Sys	defaults the submission mode from the Registration stage.
<ul> <li>Courier - Request received through Courier</li> <li>Online - Request received through Email User can change the submission mode populated.</li> </ul>	By	ault the submission mode will have the value as 'Desk'.
Online - Request received through Email User can change the submission mode populated.		
User can change the submission mode populated.		
	Use	
Note: When the requests that are created online (Trade Portal) then the Submission mode for online requests will be "Online" and user cannot change the Submission mode.		then the Submission mode for online requests will be
Booking Date Read only field.	Rea	nly field.
By default, the application displays the branch's current da	Ву	ault, the application displays the branch's current date.

#### Table 2-6 Main - Application Details - Field Description

#### **Shipping Guarantee Details**

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

Figure 2-8 Shipping Guarantee Details



Shipping Guarantee Details      Product Code	Product Description	Outstanding LC Amount	SG/DO Amount
SGLA Q	Shipping Guarantee	GBP - £10,000.00	GBP - £1,000.00
Amount In Local Currency	Contract Reference Number	User Reference Number	SG/DO Beneficiary
GBP ~ £1,000.00	SGLA221100014505		001204 Q Sun Pharma C
SG/DO Expiry Date	Mode of Transport	Cargo Arrival Details	Limit verification required
December 23, 2024	Road	•	

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

 Table 2-7
 Shipping Guarantee Details - Field Description

Field	Description
Product Code	Read only field.
	System defaults the product code from the Registration stage.
Product Description	Read only field.
	Product description is auto populated by the application based on the Product Code.
Outstanding LC Amount	Read only field.
	System defaults outstanding LC amount, if any.
SG/DO Amount	System defaults the shipping guarantee amount from the Registration stage.
	User can change the currency and amount.
Amount In Local Currency	Read only field. System fetches the local currency equivalent value for the LC amount from back office (with decimal places).
Contract Reference Number	Read only field. Auto-generated by back end application. Shipping guarantee back office reference gets simulated and displayed.
User Reference Number	User Reference Number will be auto populated by the system based on selection of Product Code. The user can change the User Reference Number.
SG/DO Beneficiary	System defaults the Shipping Guarantee beneficiary details from the Registration stage. The user can change the beneficiary details.
SG/DO Expiry Date	System defaults the expiry date of the Shipping Guarantee from the Registration stage. The user can change the expiry date.
Mode of Transport	System defaults the mode of transport details from the Registration stage. The user can change the mode of transport details.
Cargo Arrival Details	Specify the cargo arrival details.
Limit verification required	Enable this option for limit verification.

	Branch Code	Initiated Date	Initiated By	
18772	PK2	4/20/2022	ATEST11	
ance				
Stage Name 🗘	Pickup Time 🗘	Completed Time 🗘	Completed By 🗘	Outcome 🗘
Registration	Thu, 11 Jul 2024 08:01:31 GMT	Thu, 11 Jul 2024 08:02:39 GMT	ATEST11	PROCEED
	ance Stage Name 🗘	ance Stage Name ○ Pickup Time ○	Stage Name ○ Pickup Time ○ Completed Time ○	ance Stage Name ○ Pickup Time ○ Completed Time ○ Completed By ○

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.



Field	D e s c r i p ti o n
Application No.	Thisfielddisplaystheappliationnumber of the process.

 Table 2-8
 Audit - Field Description



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 Table 2-8
 (Cont.) Audit - Field Description



Field	D e s c r i p ti o n
Initiated Date	Thisfielddisplaysthedateonwhichprocessisinitated.

 Table 2-8
 (Cont.) Audit - Field Description



Field	D
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 Table 2-8
 (Cont.) Audit - Field Description



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 Table 2-8
 (Cont.) Audit - Field Description



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 Table 2-8
 (Cont.) Audit - Field Description



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 Table 2-8
 (Cont.) Audit - Field Description


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 Table 2-8
 (Cont.) Audit - Field Description



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 Table 2-8
 (Cont.) Audit - Field Description



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 Table 2-8
 (Cont.) Audit - Field Description



Field
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 Table 2-8
 (Cont.) Audit - Field Description

2. Click Next.

The task will move to next data segment. For more information refer Shipment Details.

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
Documents	Click to View/Upload the required document.
	<ul> <li>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</li> <li>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application.</li> </ul>
Remarks	Specify any additional information regarding the Guarantee Issuance Claim Settlement. This information can be viewed by other users processing the request.
	Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
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 required, system should display all the signatures
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	<ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

Table 2-9 Main 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
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.
	This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
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

## 2.3.2 Shipment Details

This topic provides the systematic instructions to capture the shipment details of Shipping Guarantee Issuance request.

User can view the shipment details updated during Shipping Guarantee Issuance.

1. On Shipment Details screen, specify the fields.

Shipping Guara	ntee Issuance Dat	taEnrichme	nt :: Application No:-		Clarification	Details	Documents	Remarks	Overrides	J.	:: ×
PK2SGT100006	5460						Customer I	struction	Signatures	] .	11 ^
Main	Shipment Deta	ails								Scre	en(2/7
Shipment Details	✓ Shipment Deta	ils									
Additional Fields	Date of Shipment		Port of Loading	Port of Discha	arge		Carr	er Name			
Advices	December 4, 2021	Ē	NEWYORK	LONDON			S	4S			
Additional Details	Bill of Lading/AWB No		Shipment Marks	Shipping Age	nt Name						
Settlement Details	Mumbai										
Summary	✓ Goods Details										. [-
	Goods Code 🗘	Goods Type	Goods Description		1	No of Units	Price per U	iit To	otal Amount	Action	
	UPLD_GOODS3	G	from good desc			10	£10	00.00	£1,000.00	P	団
	<ul> <li>Shipping Guara</li> <li>Shipping Guarantee Tex</li> </ul>										
	Shipment to Mumb	bai									
					<u>~////8</u>			11	22/1/19553311		2

Figure 2-9 Shipment Details



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

Table 2-10	Shipment	Details – Field	Description

Field	Description	
Shipment Details		
Date Of Shipment	Specify or select the shipment date. If the shipment date is a future date, system should display an Error message.	
Port Of Loading	Specify the port of loading.	
Port Of Discharge	Specify the port of discharge.	
Carrier Name	Specify the name of the carrier through which the goods were shipped.	
Bill of Landing/ AWB No.	Specify the Bill of lading number or Airway Bill number.	
Shipping Marks	Specify the shipment marks and number.	
Shipping Agent Name	Specify the name of the shipping agent.	
	ds details from Export Collection Liquidation. nultiple descrption of goods and services.	
Goods Code	Against LC – System defaults the License Details as per LC details Against BC - User to select the License Details as per the documents	
Goods Type	System defaults the goods type as per the selected goods code.	
Goods Description	Against LC – System defaults the Goods Description as per LC details. Against BC - User to select the Goods Description as per the documents.	
Figure 2-10 Edit icon	Click Edit icon to edit the goods description.	
No of Units	Specify the number of units being imported or exported as per the documents.	
Price per Unit	Specify the unit price as per the documents.	
Total Amount	System to calculate the total price. In case of online request, the system should populate the total amount from incoming request. System should validate that the total amount is equal to the value of the transaction (LC/Collection).	
Action	Click Edit icon to edit the goods details. Click Delete icon to delete the goods details.	
Shipping Guarantee Details		
Shipping Guarantee Text	Specify the shipping guarantee text.	

2. Click Next.

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

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
Documents	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 collection. This information can be viewed by other users processing the request.
	Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
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 required, system should display all the
	signatures.
Request Clarification	Click the Request Clarification button to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	<ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

Table 2-11 Shipment Details - Action Buttons - Field Descriptio
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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 be received from applicant.
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	On click of Back, 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 2-11 (Cont.) Shipment Details - Action Buttons - Field Description

## 2.3.3 Additional Fields

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

Based on the User defined fields maintained system defaults the UDF maintained.

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

Figure 2-11 Additional Fields

Shipping Guara	ntee Issuance DataEnrichment :: Application No:-	Clarification Details	Documents	Remarks	Overrides	::×
PK2SGTI00006	5460		Customer	Instruction	Signatures	·· ^
Main	Additional Fields					Screen(3/7
) Shipment Details	✓ Additional Fields					
Additional Fields	No Additional fields configured!					
Advices						
Additional Details						
Settlement Details						
Summary						
Audit	Reques	Clarification Reject Refer	Hold Car	cel Sav	e & Close	Back Next



#### 2. Click Next.

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

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
Documents	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 shipping guarantee. This information can be viewed by other users processing the request.
	Content from Remarks field should be handed off to Remarks field in Backend application.
Overrides	Click to view the overrides accepted by the user.
Customer Instruction	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
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 required, system should display all the signatures.
Request Clarification	User can specify the clarification details for requests received online.
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.

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

Field	Description
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.
	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.
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 2-12 (Cont.) Additional Fields - Action Buttons - Field Description

## 2.3.4 Advices

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

A Data Enrichment User can verify the advices details data segment of the incoming Shipping Guarantee Issuance request. This section defaults the advices maintained at the Product level. User can also suppress the Advice, if required.

1. On Advices screen, click the 3 dots on any advice tile to view the advice details.

Figure 2-12 Advices

Shipping Guara	ntee Issuance DataEnrichment :: Applica	tion	No:-	Clarification Details	Documents	Remarks	Overrides	:: ×
PK2SGT1000065	5255				Customer	Instruction	Signatures	11 ^
⊘ Main	Advices							Screen(4/7)
Shipment Details		8	Advice : PAYMENT MESSAGE	8				
Additional Fields	2.3	ō	-	-				
Advices	Advice : SG_INSTRUMENT & Advice : Advice : Advice : Advice Name : SG_INSTRUMENT Advice Name : SBEN Advice Party : BEN Advice Party : BEN Party Name : Sun Pharma Party Name : Sun Pharma	Advice Name : PAYMENT_MESSA Advice Party : Party Name :	AGE					
Additional Details	Suppress Advice : NO		Suppress Advice :NO					
Settlement Details								
Summary			). 					
	Advice : PAYMENT_MESSAGE	000						
	Advice Party : Party Name :							
Audit			Request Clarification	Reject Refer	Hold Cal	ncel Sar	ve & Close	Back Next

#### **Advice Details**

<ul> <li>Advice Details</li> <li>Suppress Advice</li> </ul>		Advice Name	Medium		Advice Party						
		GUARANTEE	SWIFT		АВК						
Party ID		Party Name									
001041		WELLS FARGO									
FREEVP	TESTING FFT				ß	∥⊡					
						∕□					
<ul> <li>Instruct</li> </ul>	ions					+					
Instruction C	ode	Instruction Description		Edit 0		Action ¢					
E023		IN CASE, REIMBURSING BAN	NK IN NEW YORK, FAILS TO F			1 団					

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

Table 2-13 Advice Details

Field	Description
Suppress Advice	Enable this option to suppress the advice. Disable this option if suppress advice is not required.
Advice Name	Displays the advice name.
Medium	Displays the medium of advices is defaulted from the system.
Advice Party	Displays the advice party is defaulted from the system.



Field	Description
Party ID	Displays the party Id defaulted from system.
Party Name	Displays the defaulted from Shipping Guarantee.
FTT Code	Specify the free format text based on the following table. 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. User can edit the FFT description.
	Click edit icon to edit the existing FFT description.
Action	Click delete icon to remove any existing FFT code. Click edit icon to edit the existing FFT code.
Instructions	Specify the instrunction details based on the following table. Click plus icon to add new instruction code.
Instruction Code	Click <b>Search</b> 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 2-13 (Cont.) Advice Details

#### 2. Click Next.

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

Table 2-14 Advices - Action Buttons - Field Description

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



Field	Description
Remarks	Specify any additional information regarding the Shipping 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	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use</li> </ul>
	can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
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 required, system should display all the signatures
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	R1- Documents missing
	<ul> <li>R2- Signature Missing</li> <li>R3- Input Error</li> </ul>
	R3- Input End     R4- Insufficient Balance/Limits
	<ul> <li>R5 - Others</li> </ul>
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system.
	Refer Codes are:
	R1- Documents missing
	R2- Signature Missing
	<ul> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> </ul>
	<ul> <li>R4- insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
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 2-14 (Cont.) Advices - Action Buttons - Field Description



Field	Description
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.

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

## 2.3.5 Additional Details

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

A Data Enrichment user can verify/input/update the basic additional details available in the Shipping Guarantee Issuance request.

1. On Additional Details screen, click the 3 dots on any Additional Details tile to view the details.

	tee Issuance DataEnrichment :: Ap	plication No:-		Clarification Details	Documents	Remarks	Overrides	:: ×
PK2SGT1000065	255				Customer Ins	struction	Signatures	
Main	Additional Details							Screen(5/7)
Shipment Details	Limit & Collateral	Charge Details	8	Preview Message	8			
Additional Fields					õ			
Advices	Contribution : Currency : Contribution Amount :	0	191.00 330.00	Language : Preview Message :-				
Additional Details	Limit Status : GBP Collateral Currency : 200	Tax : GBP	100.26 nitiated					
Settlement Details	Collateral : Not Verified Contribution.							
Summary	Collateral Status							

Figure 2-13 Additional Details

#### Limits & Collateral

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

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

																					+
Customer ID	Linkage Type ≎	Liabi Num	ility ≎ nber ≎	Line Id/Linl	kage	Line Serial	٥	Contribut %	tion	•	ontribution urrency		Amount t Earmark	• ≎	Limit Check Response	٥	Response Message	٥	Edit	De	elete
001044	Facility							100			iBP		1000						0010	44	▣
ash Collater					Coll	ateral Cur	rrency	and amour	nt				Exchan	ge Rate							
20.0		^ ^			G	BP	•		£20	00.00			1.0								
																					+
Sequence 🗘 Number 🗘	Settlement Account	٥	Settlement Account	0	Exchan; Rate	ge 🗘	Colla Split	ateral ≀%		ontribu	tion 🗘	Contribu Amount		٥	Account Balance Che	٥	Response Message	٥	Edit	Delete	¢
1	GBP		PK200104 0017	<sup>14</sup>	1		100				200		£2	00.00	VS		The amount	÷	1	団	
Deposit Lir	ıkage Details																				
																					+
Deposit Account	٥	Depos Curre		Depo: Matu	sit rity Date		Transa Curren		٥		it Available In action Curren		Link	Linkage Amount(Transaction Currency)		°	≎ Edit			Delete	٥
	PK2CDP1221100003 GBP Ap					GBP			63880.34		670			PK2CDP122110000			靣				

Figure 2-14 Limit Details



Customer Id		Linkage Type	
001044	Q	Facility	
Contribution %		Liability Number	
100.0 ~	· <b>^</b> ]	001044 Q	.]
Contribution Currency		Line Id/Linkage Ref No	
USD		001044_US Q	.]
Limit/Liability Currency		Limits Description	
USD			
USD			
		Amount to Earmark	
		Amount to Earmark	
Limit Check Response Available			
Limit Check Response Available		\$10.00	
Limit Check Response Available Expiry Date		\$10.00 Limit Available Amount	
Limit Check Response		\$10.00 Limit Available Amount \$999,378,010.18	

#### Figure 2-15 Collateral Details

When the Shipping Guarantee contract is Issued Against Documentary Credit, then system should auto fetch the Collateral Details from the underlying LC (if it is available in the LC). User can only add the additional collateral when the Shipping Guarantee contract is issued against Documentary Collection.



Total Collateral Amount	Collateral Amount to be Collected
£200.00	£0.00
Sequence Number	Collateral Split %
2.0	45.0 ~ ^
Collateral Contribution Amount	Settlement Account
£90.00	PK20010440017 Q
Settlement Account Currency	Exchange Rate
GBP	1.0
Contribution Amount in Account Currency	Account Available Amount
£90.00	£999,999,996,996,761,300.00
Response	Response Message
VS	The amount block can be performed as the account has
Verify	

Figure 2-16 Deposit Linkage Details

Q PK2CDP1221100003 Q Deposit Available Amount GBP • £63,880.34 Exchange Rate
GBP • £63,880.34
Exchange Rate
1
Linkage Percentage %
67.0 ~ ^
0
y

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

Table 2-15 Limit Details - Field Description

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

Field	Description			
Contribution %	System will default this to 100%. User can modify, if contribution is more than 100%. System will display an alert message, if modified. Once contribution % is provided, system will default the amount. System to validate that if Limit Contribution% plus Collateral% is equal to 100. If the total percentage is not equal to 100 application will display an alert message.			
	Note: The collateral % maintained for the customer is defaulted 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 <b>Search</b> to search and select the Liability Number from the loc 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 <b>Search</b> to search and select from the various lines available and mapped under the customer id gets listed in the drop-down. LINE ID-DESCRIPTION will be available for selection along with Line ID. When you click on 'verify', the system will return value if the limit check was successful or Limit not Available. If limit check fails, the outstanding limit after the transaction value will be shown in the limit outstanding amount. 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.			
	This field is disabled and read only, if <b>Linkage Type</b> is Liability.			
Limit/Liability Currency	This field displays the limit currency, when the user select the Liability Number.			
Limits Description	This field displays the limits description.			
Limit Check Response	This field displays the limit check response. Response can be 'Success' or 'Limit not Available' based on the limi service call response.			
	The value in this field appears, if you click the <b>Verify</b> button.			
Amount to Earmark	Amount to Earmark will default based on the contribution %. User can change the value.			

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



Field	Description				
Limit Available Amount	This field displays the value of available limit, i.e., limit available without any earmark. The Limit Available Amount must be greater than the Contribution Amount. The value in this field appears, if you click the <b>Verify</b> button.				
Response Message	This field displays the detailed response message. The value in this field appears, if you click the <b>Verify</b> button.				
ELCM Reference Number	This field displays the ELCM reference number.				
Limit Details grid	Below fields appear in the <b>Limit Details</b> grid along with the above fields.				
Line Serial	Displays the serial of the various lines available and mapped under the customer id. This field appears on the Limits grid.				
View	Click the link to view the Limit Details.				
Cash Collateral Details	Click plus icon to add new collateral details.				
Collateral Percentage	Specify the percentage of collateral to be linked to this transaction.				
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 or <b>View</b> link to add/view collateral details. Provide the collateral details based on the description provided in the following table: Below fields are displayed on the <b>Collateral Details</b> pop-up screen,				
	if the user clicks plus icon or <b>View</b> link.				
Total Collateral Amount	Read only field. This field displays the total collateral amount provided by the use				
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 amou will be auto populated or modifying the collateral amount will auto correct the collateral %.				
Settlement Account	Click <b>Search</b> to search and select the settlement account for the collateral.				
Settlement Account Currency	Read only field. This field displays the settlement account currency defaulted by the system.				

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



Field	Description			
Exchange Rate	Read only field. 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. System populates the account available amount on clicking the <b>Verify</b> button.			
Response	Read only field. System populates the response on clicking the <b>Verify</b> button.			
Response Message	Read only field. System populates the response message on clicking the <b>Verify</b> 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 <b>Cash Collateral Details</b> grid along with the above fields.			
Collateral %	Specify the percentage of collateral to be linked to this transaction 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 the product. User can modify the defaulted collateral percentage, 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 the product. User can modify the defaulted collateral percentage, 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 <b>Verify</b> button.			
Edit/ View	Click Edit/ View link to edit/view the collateral details.			
Deposit Linkage Details       Click plus icon to add new deposit linkage details.         System allows the user to Link one or more existing Deposit contribution to secure underlying transactions. On Submit stage, system will create Linkage of the Deposit/modificati existing Linkage by calling Back-office system (DDA) system directly.Click + plus icon to add new Deposit Linkage Detail         Below fields are displayed on the Deposit Linkage Detail				
Customer ID	screen, if the user clicks plus icon. This field displays the applicant's/applicant bank customer ID			
	defaulted from the application.			

Table 2-15	(Cont.) L	imit Details -	<b>Field Description</b>
------------	-----------	----------------	--------------------------



Field	Description
Deposit Account	Click <b>Search</b> to search and select deposit for linkage from the list of all the customer Deposits. All the deposits of the customer should be listed in the look-up search. User can select the deposit for linkage.
Deposit Branch	This field displays the deposit branch that is auto-populated based on the deposit account selection.
Deposit Available Amount	This field displays the deposit available amount and currency that is 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. System validates the linking amount with available Deposit balance and should not allow to link more than the available amount.
Deposit Linkage Details grid	Below fields appear in the <b>Deposit Linkage Details</b> 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 2-15 (Cont.) Limit Details - Field Description

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

#### **Charge Details**

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

Recalculate	Re-default												
Commissi	on Details												
Component	Rate	Mod. Rate	Currency	Amount	Modified	Defer	Waive	Charge Party	/		Settl. Acco	ount ¢	Amendable
ASGLI_COMM	1		GBP	£90.00				GOODCA	RE PLC				Yes
age 1 o	of 1 (1 of 1 etails	items)  < •	( 1 ) →	·I									
Component	Tag currenc	y Tag Amour	nt Currenc	y Amoun	Modified	Billing	Defer	Waive	Charge Part	У		Settlement Acc	ount ≎
LICOURIS S	GBP	1000	GBP	£50	.00				GOODCA	RE PLC		PK20010440	017
LISWIFTI S	GBP	1000	GBP	£50	.00				GOODCA	RE PLC		PK20010440	017
OTHBNK CHG	GBP	1000	GBP	£50	.00				GOODCA	RE PLC		PK20010440	017
Page 1 o <b>7 Tax Detai</b> l	of 1 (1-3 of s	3 items) K	∢ 1 →	X									
Component		Туре	≎ Value D	ate	٥	ССҮ	Amoun	t	Billing	Defer	Settl. Ac	count	\$
LITAX		WITHHOLDIN	<ul> <li>April 20</li> </ul>	April 20, 2022		GBP		£80.00			PK2007	PK20010440017	
LITAX2		WITHHOLDIN	- April 20	), 2022		GBP		£4.50			PK200	10440017	

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

Table 2-16 Charge Details - Field Description

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



Field	Description				
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.				
Settlement Account	Select the settlement account.				
Amendable	Displays if the field is amendable or not.				
Charge Details	This section displays the Charge Details.				
Component	This field displays the charge component type.				
Tag Currency	This field displays the tag currency in which the charges have to be collected.				
Tag Amount	This field displays the tag amount that is maintained under the product code.				
Currency	This field displays the currency in which the charges have to be collected.				
Amount	This field displays the amount that is maintained under the product code.				
Modified	From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field.				
Billing	<ul> <li>If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.</li> <li>On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically enabled in OBTFPM.</li> <li>The user can not enable/disable the option, if it is de-selected by default.</li> <li>This field is disabled, if 'Defer' toggle is enabled.</li> </ul>				
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 <b>Defer</b> toggle is enabled.				
Charge Party	Charge party is applicant by default. User can change the value to beneficiary.				

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



Field	Description
Tax Details	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.
Currency	This field displays the currency in which the tax have to be collected. The tax currency is the same as the commission.
Amount	This field displays the tax amount based on the percentage of commission maintained. You can edit the tax amount, if applicable.
Billing	If taxes are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. This field is disabled, if 'Defer' toggle is enabled.
Defer	If taxes have to be deferred and collected at any future step, this option has to be enabled. The user can enable/disable the option the check box. On de- selection the user has to click on 'Recalculate' charges button for re- simulation.
Settlement Account	System defaults the settlement account. The user can modify the settlement account.

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

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

#### **Preview Mesage**

The bank user can view a preview of the message and advice simulated from back office which is based on the shipping guarantee details captured in the previous screen.

<b>Preview Message</b> ∽ Preview - SWIFT Message		✓ Preview - Mail Advice		
Language English	Message Type	<b>Language</b> English	Advice Type     DEBIT_ADVICE	<b>.</b>
Message Status	Repair Reason	Message Status	Repair Reason	
		GENERATED		
Preview Message		Preview Message		
		DEBIT ADVICE/TAX INVOICE DATE: 20-APR-22 BRANCH ID: BRANCH NAME: BANK TRN: 10028276480000 TRANS TIME-	PAGE : 1	ĺ
		TRANS TIME:		Save & Close Close

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



Field	Description			
Preview SWIFT Message				
Language	Read only field. The language to preview the draft shipping guarantee details. English is set as default language for the preview.			
Message Type	Select the message type from the drop-down.			
Message Status	Read only field. Display the message status of draft message of guarantee details.			
Repair Reason	Read only field. Display the message repair reason of draft message of guarantee details.			
Preview Message	This field displays a preview of the draft message.			
Preview Mail Device				
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 repair reason of draft message of guarantee details.			
Preview Message	This field displays a preview of advice.			
Draft Confirmation Required	This toggle enables the user to select if draft confirmation is required or not.			
Following fields will have v	alues on receipt of customer response.			
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.			
Customer Remarks	Remarks from the customer for the draft.			
Response Date	Customer Response received date.			
Default Email list	Default email address of the customer.			
Add Recipients	Enables to add more recipients for the customer response.			

#### Table 2-17 Preview Message - Field Description

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

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

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

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

Field	Description
Documents	Click to View/Upload the required document.
	<ul> <li>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</li> <li>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</li> </ul>
Remarks	Specify any additional information regarding the Shipping 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	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM use</li> </ul>
	can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.
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 required, system should display all the signatures
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	<ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

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



Field	Description			
Refer	Select a Refer Reason from the values displayed by the system.			
	Refer Codes are:			
	<ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> </ul>			
	R3- Input Error			
	R4- Insufficient Balance/Limits			
	R5 - Others			
Hold	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.			
	This option is used, if there are any pending information yet to be received from applicant.			
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.			
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.			
Back	Clicking on Back button, takes the user to the previous screen.			
Next	On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.			

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

## 2.3.6 Settlement Details

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

The user can view the settlement details during Shipping Guarantee Issuance request.

1. On Settlement Details screen, specify the fields.

Figure 2-17 Settlement Details



	ntee Issuance Dat	aEnrichme	nt :: /	Applicatio	on No:-			Clarification Details	Doct	uments Rer	marks	Overrides	
K2SGT100006	5255								_	Customer Instruc	tion	Signatures	
Main	Settlement Det	ails											Screen(
Shipment Details	Current Event												
Additional Fields													
Advices	✓ Settlement De	tails											
Additional Details	Component 0	Currency 🗘	Debi	t/Credit ≎	Account 0	Account Des	cription 0	Account Currency	٥	Netting Indicat	or ¢	Current Ever	nt ≎
Settlement Details	ASGLC_COM1_L	GBP	Debi	it	PK2001044	GOODCARE	E PLC	GBP		No		Yes	
Summary	ASGLC_COMM	GBP	Debi	it	PK2001044	GOODCARE	PLC	GBP		No		Yes	
Juninary	COLLAMT_OSEQ	GBP	Deb	it	PK2001044	GOODCARE	E PLC	GBP		No		No	
	COLLAT_DECR	GBP	Crec	lit	PK2001044	GOODCARE	E PLC	GBP		Yes		Yes	
	COLL_AMNDA	GBP	Deb	it	PK2001044	GOODCARE	E PLC	GBP		No		No	
	COLL_AMT_DECR	GBP	Crec	lit	PK2001044	GOODCARE	E PLC	GBP		No		No	
	COLL_AMT_INCR	GBP	Debi	it	PK2001044	GOODCARE	E PLC	GBP		Yes		Yes	
	COLL_AVALAM	GBP	Crec	lit	PK2001044	GOODCARE	E PLC	GBP		No		No	
	LCCOURISS_LIQD	GBP	Deb	it	PK2001044	GOODCARE	E PLC	GBP		Yes		Yes	
	LCSWIFTIS_LIQD	GBP	Deb	it	PK2001044	GOODCARE	E PLC	GBP		Yes		Yes	
	Ι CTΔΧ1 ΔΜΤ	GRP	Dehi		PK2001044	GOODCARE	PI C	GBP		Yes		Yes	
	✓ ASGLC_COMM	I_LIQD - Party	Details										
	Transfer Type			Charge Details			Netting Indicat			Ordering C	- Y		
	None	•		Remitter A	ll Charges	•			•		۹		D
	Ordering Institution			Receivers Corr	espondent		Intermediary Ir	stitution		Account W	ith Institut	ion	
	Q		D		۹	D		۹	D		۹		D
	Beneficiary Institution			Ultimate Benef	ficiary		Intermediary R	eimbursement Institution	n	Receiver			
	Q		D		Q	D		۹	D	001044	1		Q
	Payment Details Sender To Receiver 1			Sender To Rece	eiver 2		Sender To Rece	Niver 3		Sender To I	Receiver 4		
	Only /8X/XXX format is allowed		/8X/XXX or //XXX format is allowe				or //XXX format is allo	we			XX format is all	lowe	
	Sender To Receiver 5			Sender To Receiver ó						, ,	,,		
	/8X/XXX or //XX	C format is allow		/8X/XXX c	or //XXX format is	s allowe							

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

 Table 2-19
 Settlement Details – Field Description

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

2. Click any component in the grid.

**Party Details** 

Field	Description
Transfer Type	<ul> <li>Select the transfer type from the drop-down list.</li> <li>The options are:</li> <li>Customer Transfer</li> <li>Bank Transfer for own account</li> <li>Direct Debit Advice</li> <li>Managers Check</li> <li>Customer Transfer with Cover</li> <li>Bank Transfer</li> </ul>
Charge Details	Select the charge details for the transaction. The options are: • Beneficiary All Charges • Remitter Our Charges • Remitter All Charges
Netting Indicator	Select the netting indicator for the component. The options are: • Yes • No
Ordering Customer	Click search icon to search and select the ordering customer from the look up.
Ordering Institution	Click search icon to search and select the ordering institution from the look up.
Senders Correspondent	Click search icon to search and select the senders correspondent from the look up.
Receivers Correspondent	Click search icon to search and select the receivers correspondent from the look up.
Intermediary Institution	Click search icon to search and select the intermediary institution from the look up.
Account with Institution	Click search icon to search and select the account with institution from the look up.
Beneficiary Institution	Click search icon to search and select the beneficiary institution from the look up.
Ultimate Beneficiary	Click search icon to search and select the ultimate beneficiary from the look up.
Intermediary Reimbursement Institution	Click search icon to search and select the intermediary reimbursement institution from the look up.
Receiver	Click search icon to search and select the Receiver from the look up.

## Table 2-20 Party Details – Field Description

#### **Payment Details**

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

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



#### **Remittance Information**

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

#### Table 2-22 Remittance Information – Field Description

3. Click Next.

The task will move to next data segment.

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

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
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 Shipping 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	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
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 required, system should display all the signatures

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Field	Description
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	<ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
Refer	Select a Refer Reason from the values displayed by the system.
	Refer Codes are:
	R1- Documents missing
	R2- Signature Missing
	R3- Input Error     R4- Insufficient Balance/Limits
	<ul> <li>R5 - Others</li> </ul>
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.
	This option is used, if there are any pending information yet to be received from applicant.
Cancel	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Next	On click of Next, system validates if all the mandatory fields have 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.) Settlement Details - Action Buttons - Field Description

## 2.3.7 Summary

This topic provides the systematic instructions to view the summary details in Data Enrichment stage of Shipping Guarantee Issuance process.

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

The Summary tiles displays a list of important fields with values. The tiles where fields have been modified have to be highlighted in different color. User can drill down from Summary Tiles into respective data segments.

1. On **Summary** screen, click the 3 dots on any tile to view the details.

Main	Summary						Screen(7,
Shipment Details	Main	Shipment Details	4	Additional Fields			
Additional Fields Advices	Booking Date : 2022-04-20 Submission Mode : Online	Port of Loading : PORT A Port of Discharge : PORT B		Click here to view Additio fields	onal :		
Additional Details	Issued Against : LC	Shipment Date : 2022-04-20 Carrier Name : test	0				
Settlement Details							
iummary							
	Advices	Limits and Collaterals		Commission, Charges	and taxes		
	Advice 1 :SG_INSTRUMENL Advice 2 :PAYMENT_MESS Advice 5 :PAYMENT_MESS	Contribution Currency : Amount to Earmark : Limit Status : Not Verifie Collateral Currency : GBP Collateral Contribution. :2200 Collateral Status : Not Verifie Deposit Linkage Currency : Deposit Linkage Amount :	<b>d</b> т Е	Charge Commission Tax Block Status	: GBP 191.00 : GBP 330.0 : GBP 100.2 : Not Initiate	6	
	Preview Messages	Accounting Details	F	Party Details			
	Language :ENG Preview Message :-	Event :CLIQ AccountNumber :265200001 Branch :PK2		Applicant Advising Bank Beneficiary	: GOODCAR : RBS PLC : Sun Pharm		
	Compliance	Settlement Details					
	KYC : Not Initiate Sanctions : Not Initiate AML : Not Initiate	Component :OTHBNKCH Account Number :PK2001044 Currency :GBP					

#### Figure 2-18 Summary

Tiles Displayed in Summary

- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.
- Shipment Details User can view the shipment details.
- Additional Fields User can view the additional fields.
- Advices User can view the advices details.
- Limits and Collaterals User can view the limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes User can view the details provided for charges. User can modify the details if required.
- Preview Message User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Accounting Details User can see the accounting details.

#### 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.

- Parties Details User can view party details like beneficiary, advising bank etc.
- Compliance User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Settlement Details User should be able to view the settlement details.

#### 2. Click Submit.

The task will move to next logical stage.

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

Field	Description
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
Documents	Click to View/Upload the required document. Application displays the mandatory and optional documents. 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 Shipping 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	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>

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.
Request Clarification	Clicking this button allows the user to submit the request for clarification to the "Trade Finance Portal" for the transactions that are initiated offline.
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system.
	Reject Codes are:
	R1- Documents missing
	R2- Signature Missing
	R3- Input Error
	<ul> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
	• 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.
Cancel	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
Save & Close	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
Back	Clicking on Back button, takes the user to the previous screen.
Submit	Task will get moved to next logical stage of Shipping 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.

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



## 2.4 Exceptions

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

The Shipping 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.

#### **Amount Block Exception Approval**

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

Log in into Oracle Banking Trade Finance Process Management (OBTFPM) system amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue.

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

In Amount block, system checks whether the sufficient balance is available in the account to create the block. On hand-off, system will debit the blocked account to the extent of block and credit charges/ commission account in case of charges block or credit the amount in suspense account for blocks created for collateral.

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

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

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

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

#### Summary



Guarantee Issuar lock Exception Ap	nce pproval :: Application N	o:- 032ISGI000139498	Documents Remarks	s Overrides Cus	tomer Instruction				*
t Block Exception	Summary								Screen ( 2 )
ſy	Main		Shipment Details	5	Additional Fields		Advices		
	Booking Date Submission Mode Issued Against	: 2023-08-03 : Desk : DC	Port of Loading Port of Discharge Shipment Date Carrier Name	: London : Mumbai : 2023-08-03 : ABC	Click here to view Additional fields	:	Advice 1 Advice 2 Advice 3 Advice 4	: LC_CASH_COL : SG_INSTRUMEN : PAYMENT_MESS : PAYMENT_MESS	
	Limits and Collate	erals	Commission,Cha	rges and Taxes	Preview Message	s	Party Details		
	Contribution Curren Amount to Earmark Limit Status Collateral Currency Collateral Status Deposit Linkage CCY Deposit Linkage Amount	: null : Not Verified : : : Not Verified	Charge Commission Tax Block Status	: AED 150.00 : AED 50.00 : AED 4.00 : Failed	Language Preview Message	: ENG :-	Beneficiary Applicant	: LuLu Group I : Aldar Proper	
	Compliance		Accounting Deta	ills					
	KYC Sanctions AML	: Not Verified : Verified : Verified	Event AccountNumber Branch	: CLIQ : 0322050002 : 032					

Tiles Displayed in Summary:

- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.
- Shipment Details User can view the shipment details.
- Additional Fields User can view the additional fields.
- Advices User can view the advices details.
- Limits and Collaterals User can view the limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes User can view the details provided for charges. User can modify the details if required.
- Preview Message User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Accounting Details User can see the accounting details.

#### 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.

- Parties Details User can view party details like beneficiary, advising bank etc.
- Compliance User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- 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 Shipping 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	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
Reject	<ul> <li>On click of Reject, user must select a Reject Reason from a list displayed by the system.</li> <li>Reject Codes are: <ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> </li> <li>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</li> </ul>
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: 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.
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 2-25 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.

- 1. Log in into OBTFPM application, KYC exception queue. KYC exception failed tasks for Trade Finance transactions will be listed in your queue.
- 2. Open the task, to see summary tiles that display a summary of available updated fields with values.

User can pick up a transaction and do the following actions:

#### Approve

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

#### Summary

#### Figure 2-19 Know Your Customer (KYC) Exception

Exception	Summary								Screen
nmary	Main		Shipment Details	s	Additional Fields	5	Advices		
	Booking Date Submission Mode Issued Against	: 2023-08-03 : Desk : DC	Port of Loading Port of Discharge Shipment Date Carrier Name	: London : Mumbai : 2023-08-03 : ABC	Click here to view Additional fields	:	Advice 1 Advice 2 Advice 3 Advice 4	: LC_CASH_COL : SG_INSTRUMEN : PAYMENT_MESS : PAYMENT_MESS	
	Limits and Collat	erals	Commission,Cha	rges and Taxes	Preview Message	es	Party Details		
	Contribution Curren Amount to Earmark Limit Status Collateral Currency Collateral Contr. Collateral Status Deposit Linkage CCV Deposit Linkage Amount	: null : Not Verified : : : Not Verified	Charge Commission Tax Block Status	: AED 150.00 : AED 50.00 : AED 4.00 : Not Initiated	Language Preview Message	: ENG :-	Beneficiary Applicant	: LuLu Group I : Aldar Proper	
	Compliance		Accounting Deta	ails	Settlement Deta	ils			
	KYC Sanctions AML	: Not Verified : Not Initiate : Not Initiate	Event AccountNumber Branch	: CLIQ : 152110003 : 032	Component Account Number Currency	: OTHBNKCHG_LI : 0322050002 : AED			

Tiles Displayed in Summary:

- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.
- · Shipment Details User can view the shipment details.
- Additional Fields User can view the additional fields.
- Advices User can view the advices details.
- Limits and Collaterals User can view the limits and collateral details. User can modify the details if required.



- Commission, Charges and Taxes User can view the details provided for charges. User can modify the details if required.
- Preview Message User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Accounting Details User can see the accounting details.

### Note:

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

- Party Details User can view party details like beneficiary, advising bank etc.
- Compliance User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Settlement Details User should be able to view the settlement details.

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 Shipping 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	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> </ul>
	<ul> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>

#### 

Field	Description
	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
Hold	The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.
	This option is used, if there are any pending information yet to be received from applicant.
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.
Back	Task moves to previous logical step.

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

## 2.5 Multi Level Approval

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

This stage allows the approver user to approve a Shipping Guarantee Issuance transaction. The user can view the Summary tiles. The tiles should display a list of important fields with values. User must be able to drill down from summary tiles into respective data segments to verify the details of all fields under the data segment.

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



The Approval Re-Key pop-up screen appears.

Figure 2-20 Approval Re-Key

		View Signature		Documents Remarks
irrency				
GBP			•	$\oslash$
ontract Amo	unt			
GBP	-	£1,000	.00	$\oslash$

The application will request approver for few critical field values as an authorization step. If

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

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



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

- Currency
- Amount

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

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

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

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

#### **Approval Summary**

Shipping Guarante	ee Issuance Approv	al Task Level 1 :: Appli	cation No:-		Documents	Remarks	Overrides	Customer Instruction	
PK2SGT10000652								Signature	
Main		Shipment Details			Additional Fields				
Booking Date Submission Mode Issued Against	: 2022-04-20 : Online : LC	Port of Loading : PORT A Click here to view Additional : Port of Discharge : PORT B fields Shipment Date : 2022-04-20 Carrier Name : test		i.					
Advices		Limits and Collaterals		-	Commission, Char	ges and tax	kes (		
Advice 1 Advice 2 Advice 3	: SG_INSTRUMEN : PAYMENT_MESS : PAYMENT_MESS	Contribution Currency Amount to Earnark Limit Status Collateral Currency Collateral Currency Collateral Status Deposit Linkage Currency Deposit Linkage Amount	: : Not Verified : GBP : 2200 : Not Verified :		Charge Commission Tax Block Status	: GE : GE	3P 191.00 3P 330.00 3P 100.26 iccess		
Preview Messages		Party Details			Compliance				
Language Preview Message	: ENG :-	Beneficiary Advising Bank Applicant	: Sun Pharma : RBS PLC : GOODCARE PLC	-	KYC Sanctions AML	: Ve	rified rified rified		
Accounting Details		Exception(Approval)	111/10/14/10/17/2555555111111		Settlement Details	////			
Event AccountNumber Branch	: CLIQ : PK2001044001 : PK2	Sanction PLEASE VISIT REMARKS FOR MORE DETAILS	: EXCEPTION :-		Component Account Number Currency		FHBNKCHG_L 2001044001. 3P		
Insurance Details									
Company Insured Amount Expiry Date	:								
Audit						R	eject Hol	ld Refer Ca	incel

Tiles Displayed in Summary:



- Main Details -User can view the application details and Shipping Guarantee/ Standby details. User can modify the details if required.
- Shipment Details User can view the shipment details.
- Additional Fields User can view the additional fields.
- Advices User can view the advices details.
- Limits and Collaterals User can view the limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes User can view the details provided for charges. User can modify the details if required.
- Preview Messages User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Party Details User can view party details like beneficiary, advising bank etc.
- 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 see the accounting details.

### 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.

- Exceptions (Approval) User can view the exceptions (approval) details.
- Settlement Details User should be able to view the settlement details.

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

<b>Table 2-27</b>	Approval Summary -	Action Buttons	Field Description
-------------------	--------------------	----------------	-------------------

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



Field	Description				
Customer Instructions	<ul> <li>Click to view/ input the following</li> <li>Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer User will not be able to edit this.</li> <li>Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>				
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 required, system should display all the signatures				
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes are:				
	<ul> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>				
	Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.				
Hold	The details provided will be saved and status will be on hold.Use must update the remarks on the reason for holding the task. This option is used, if there are any pending information ye be received from applicant.				
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				
Cancel	Cancel the approval stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.				
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage. If there are more approvers, task will move to the next approver for approval. If there are no more approvers, the transaction is handed off to the back end system for posting.				

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

8. Click Approve.

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