

Shipping Guarantee Issuance - Islamic User Guide
**Oracle Banking Trade Finance Process
Management**

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

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 handling /processing.
- 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.

Shipping Guarantee Issuance

As part of Shipping Guarantee Issuance, the Importer (Applicant in case of LC transaction and Drawee in case of Documentary Collection) approaches a bank and requests the bank to issue a Shipping Guarantee and the Shipping guarantee is presented by the Importer to the carrier for taking delivery of the goods in the case of arrival of cargo prior to the shipping document.

The various stages involved for issuance of Shipping Guarantees are:

- Input application details and Upload of related mandatory and non-mandatory documents in Registration stage.
- Input/Modify details of Shipping Guarantee - Data Enrichment stage
- Check for limit availability
- Check balance availability for amount block
- Check for sanctions & KYC status
- Earmark limits/Create amount block for cash margin/charges
- Capture remarks for other users to check and act
- Generate acknowledgements.
- Hand off request to back office

The design, development and functionality of the Islamic Shipping Guarantee Issuance process flow is similar to that of conventional Shipping Guarantee issuance process flow.

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

This section contains the following topics:

| | |
|---|--|
| Common Initiation Stage | Registration |
| Data Enrichment | Amount Block Exception Approval - Trade Finance Transactions |
| Amount Block Details | Multi Level Authorization |

Common Initiation Stage

The user can initiate the new Islamic Shipping Guarantee request from the common Initiate Task screen.

1. Using the entitled login credentials, login to the OBTFPM application.

2. Click Trade Finance > Initiate Task.

The screenshot shows the Oracle 'Initiate Task' registration form. The 'Process Name' dropdown is set to 'Islamic Shipping Guarantee Issu...' and the 'Branch' dropdown is set to 'PK2-Oracle Banking Trade Finan...'. The 'Proceed' and 'Clear' buttons are visible on the right side of the form. The left sidebar menu is expanded to 'Initiate Task' under the 'Trade Finance' category.

Provide the details based on the description in the following table:

| Field | Description |
|--------------|---|
| Process Name | Select the process name to initiate the task. |
| Branch | Select the branch. |

Action Buttons

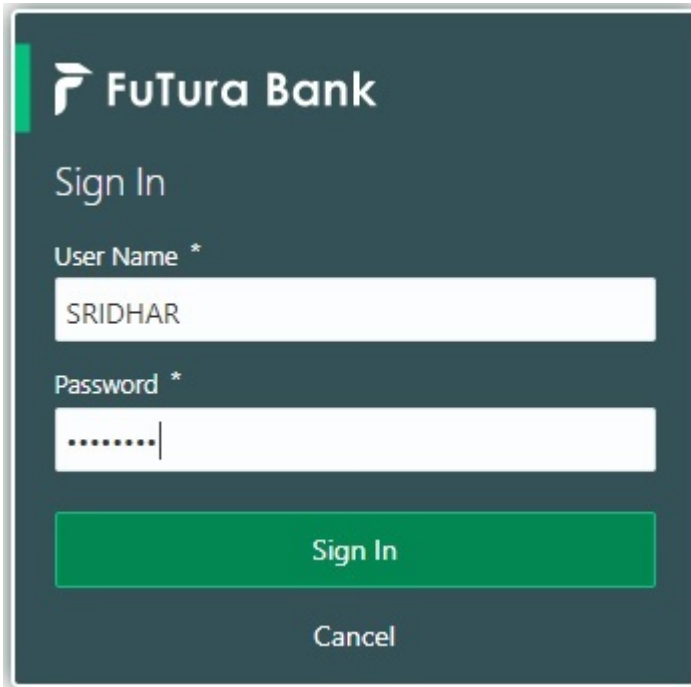
Use action buttons based on the description in the following table:

| Field | Description |
|---------|--|
| Proceed | Task will get initiated to next logical stage. |
| Clear | The user can clear the contents update and can input values again. |

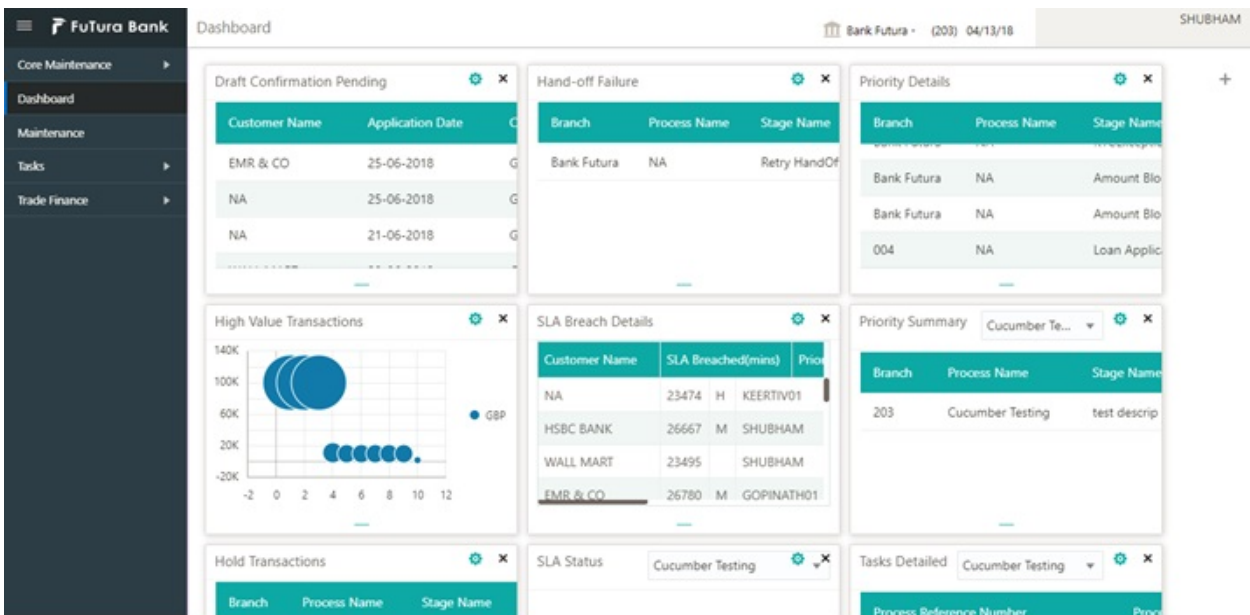
Registration

The first stage of Shipping Guarantee Issuance process starts from the Registration Stage. The user can initiate Islamic Shipping Guarantee issuance from the Registration process.

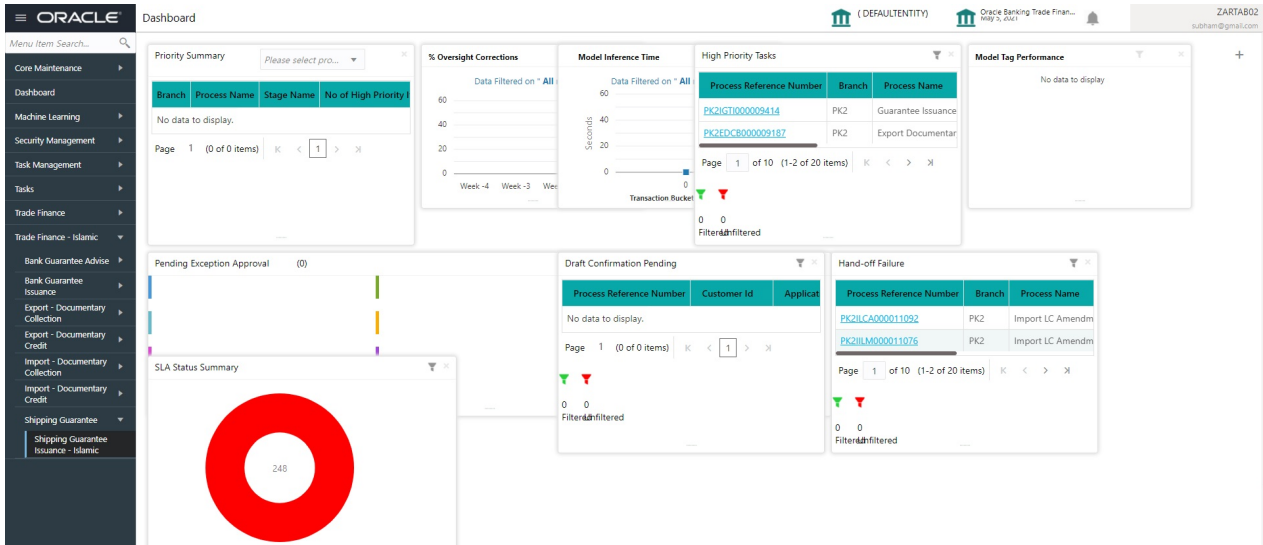
1. Using the entitled login credentials for Registration stage, login to the OBTFPM application.



2. On login, user must be able to view the dashboard screen with widgets as mapped to the user.



3. Click **Trade Finance - Islamic > Shipping Guarantee > Shipping Guarantee Issuance - Islamic.**



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

Application Details

Shipping Guarantee Issuance - Islamic

Documents Remarks Customer Instruction Common Group Messages

Application Details - Main

Issued Against * Documentory Credit Number * Customer * Branch

Documentary Credit PK2IRLI211255001 001044 GOODCARE PLC PK2-Oracle Banking Trade Finan...

Process Reference Number Customer Reference Number Priority Submission Mode

PK2ISGI000071221 000325 Medium Desk

Booking Date May 5, 2021

View LC Events

Shipping Guarantee Details

Product Code Product Description Outstanding LC Amount SG/DO Amount *

SGLI Islamic Shipping Guarantee Issuance - GBP GBP £120.00

Amount In Local Currency Contract Reference Number SG/DO Beneficiary * SG/DO Expiry Date *

GBP £120.00 PK2SGLI21125ABYL 000325 NATIONAL FR Mar 7, 2022

Mode of Transport * Cargo Arrival Details

Air

Hold Cancel Save & Close Submit

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

| Field | Description | Sample Values |
|----------------|---|---------------|
| Issued Against | Select whether this Shipping Guarantee is issued against Documentary Credit or against a Documentary Collection from the drop-down. Drop down values are: <ul style="list-style-type: none"> Documentary Credit Documentary Collection | |

| Field | Description | Sample Values |
|---------------------------|---|-----------------------------|
| Documentary Credit Number | Select Documentary Credit Number from LOV or input the LC number. This field is enabled only if value in Issued Against field is Documentary Credit . | |
| Customer | Read only field If the value in Issued Against field is Documentary Credit , the customer ID for the selected Documentary credit is populated in this field and user should not be able to change the value. If the value in Issued Against is Documentary Collection , the user can input the Customer ID or select the Customer ID from the LOV | |
| Branch | System defaults branch details. | 203-Bank Futura -Branch FZ1 |
| Process Reference Number | Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code. | 203GTEISS000001134 |
| Customer Reference Number | Shipping Guarantee back office reference gets simulated and displayed. | |
| Priority | Priority maintained will be populated as either 'Low or Medium or High'. If priority is not maintained for a customer, 'Medium' priority will be defaulted. | Medium |
| Submission Mode | System defaults the mode from Registration stage. | Desk |
| Booking Date | System defaults the branch date. User cannot change the value. If the task gets approved on a later date, system will populate that date as the booking date. | 04/13/2018 |

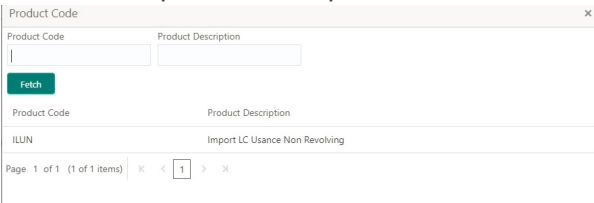
Shipping Guarantee Details

Registration user can provide Shipping Guarantee details in this section.

Shipping Guarantee Details

| | | | |
|---|--|---|------------------------------------|
| Product Code SGLI | Product Description Islamic Shipping Guarantee Issuance - | Outstanding LC Amount GBP | SG/DO Amount * GBP £120.00 |
| Amount In Local Currency GBP £120.00 | Contract Reference Number PK2SGLI21125ABYL | SG/DO Beneficiary * 000325 NATIONAL FR | SG/DO Expiry Date * Mar 7, 2022 |
| Mode of Transport * Air | Cargo Arrival Details | | |

Provide the details based on the description in the following table:

| Field | Description | Sample Values |
|---------------------------|--|----------------------|
| Product Code | <p>Select the applicable Shipping Guarantee product code.</p> <p>Click the look up icon to search the product code with code or product description.</p>  <p>You can also enter the product code and on tab out system will validate and populate the selected product description. The product codes will be listed based on the selected value in Form of Undertaking.</p> | GUIS |
| Product Description | Auto populated by the application based on the selected Product Code. | Shipping Guarantee |
| Outstanding LC Amount | <p>Read only field.</p> <p>System defaults the outstanding amount if any.</p> | |
| SG/DO Amount | User can enter the amount for which the shipping guarantee has to be issued. | |
| Amount In Local Currency | System fetches the local currency equivalent value for the LC amount from back office (with decimal places). | |
| Contract Reference Number | <p>Read only field.</p> <p>Auto-generated by back end application. Shipping guarantee back office reference gets simulated and displayed.</p> | 203GUIS18103 ALP5 |
| SG/DO Beneficiary | User can search and select the Shipping Guarantee beneficiary details from LOV. | |
| SG/DO Expiry Date | Provide the expiry date of the Shipping Guarantee Issuance. | 09/30/18 |
| Mode of Transport | <p>User can select the mode of shipment from the drop-down.</p> <p>The values are:</p> <ul style="list-style-type: none"> • Sea • Air | |
| Cargo Arrival Details | User can capture the cargo arrival details. | |

Miscellaneous

Shipping Guarantee Issuance - Islamic

Documents Remarks Customer Instruction Common Group Messages

Application Details - Main

Issued Against *
Documentary Credit

Documentary Credit Number *
PK2IRLU211255001

Customer *
001044 GOODCARE PLC

Branch
PK2-Oracle Banking Trade Finan...

Process Reference Number
PK2ISGI000071221

Customer Reference Number

Priority
Medium

Submission Mode
Desk

Booking Date
May 5, 2021

View LC Events

Shipping Guarantee Details

Product Code
SGLI

Product Description
Islamic Shipping Guarantee Issuance -

Outstanding LC Amount
GBP

SG/DO Amount *
GBP £120.00

Amount In Local Currency
GBP £120.00

Contract Reference Number
PK2SGLI21125ABYL

SG/DO Beneficiary *
000325 NATIONAL FR

SG/DO Expiry Date *
Mar 7, 2022

Mode of Transport *
Air

Cargo Arrival Details

Hold Cancel Save & Close Submit

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

| Field | Description | Sample Values |
|-----------------------|--|---------------|
| Documents | Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Provide any additional information regarding the Shipping Guarantee. This information can be viewed by other users processing the request. | |
| Customer Instructions | Click to view/ input the following <ul style="list-style-type: none"> Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. | |
| Common Group Message | Click Common Group Message button, to send MT799 and MT999 messages from within the task. | |
| View LC | User can view the latest LC details. | |
| Events | User can view all the previous events under the LC. | |

Action Buttons

| Field | Description | Sample Values |
|--------------|--|---------------|
| Submit | On Submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. Task will get moved to next logical stage of Shipping Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. | |
| Save & Close | Save the information provided and holds the task in you queue for working later. This option will not submit the request. | |
| Cancel | Cancels the Shipping Guarantee Issuance Registration stage input. | |
| Hold | The details provided will be registered and status will be on hold. This option is used, if there are any pending information yet to be received from applicant. | |
| Checklist | Make sure that the details in the checklist are completed. If mandatory checklist items are not marked, system will display an error on submit. | |

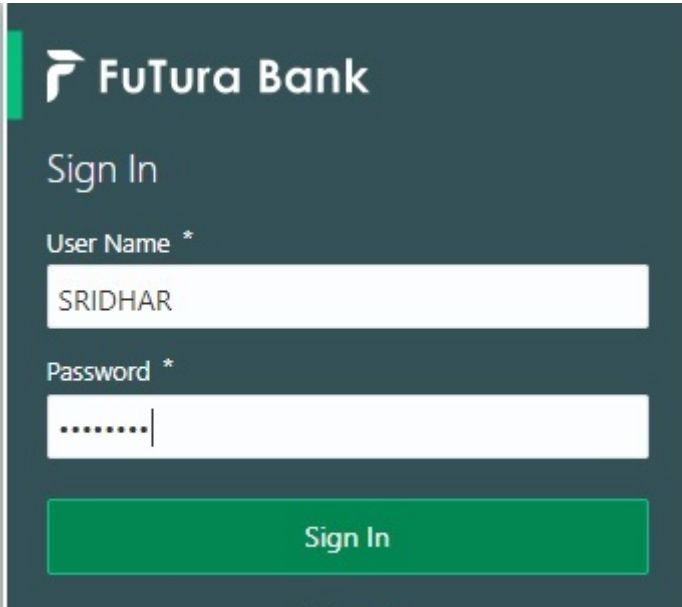
Data Enrichment

On successful completion of Registration of a Shipping Guarantee Issuance request, the request moves to Data Enrichment stage. At this stage the bank user would be able to input/update fields for OIslamic Shipping Guarantee Issuance.

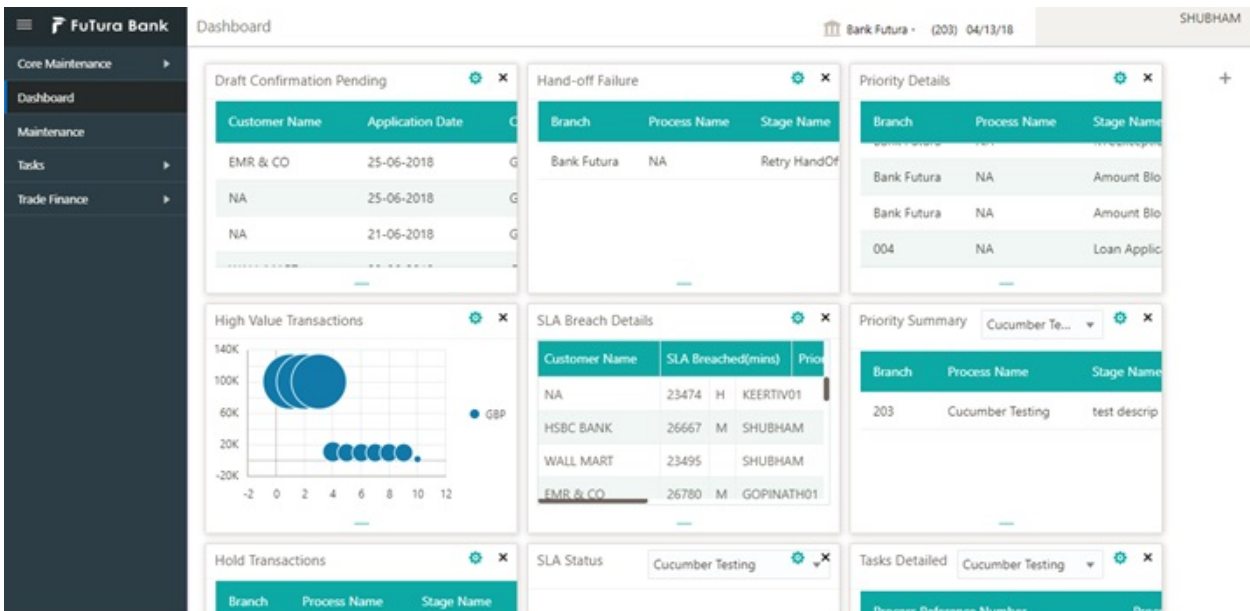
Requests that are created online (Trade Portal) the task will be created in DE stage directly and the fields will be populated based on the incoming request and user can view and update if required. Submission mode for online requests will be "Online".

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

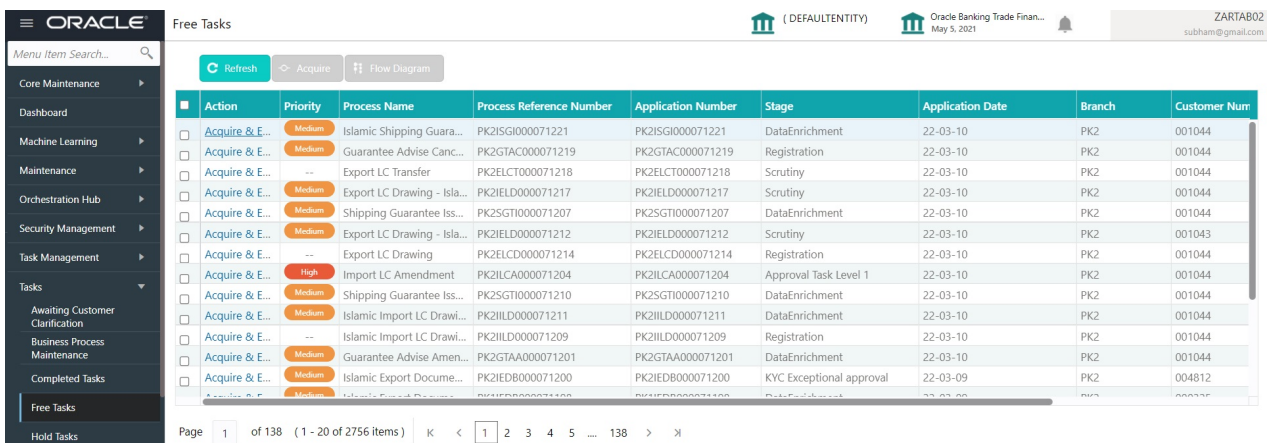
1. Using the entitled login credentials for scrutiny stage, login to the OBTFPM application.



2. On login, user must be able to view the dashboard screen with widgets mapped to the user.



3. Click **Tasks > Free Tasks**.



4. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.

The screenshot shows the Oracle 'Free Tasks' interface. The top navigation bar includes the Oracle logo, user identity '(DEFAULTENTITY)', and the date 'May 5, 2021'. A search bar is present on the left. The main content area displays a table of tasks. The first task is selected, and the 'Acquire & Edit' button is highlighted. The table columns are: Action, Priority, Process Name, Process Reference Number, Application Number, Stage, Application Date, Branch, and Customer Number.

| Action | Priority | Process Name | Process Reference Number | Application Number | Stage | Application Date | Branch | Customer Number |
|-------------------------------------|----------|-----------------------------|--------------------------|--------------------|--------------------------|------------------|--------|-----------------|
| <input checked="" type="checkbox"/> | Medium | Islamic Shipping Guara... | PK2ISGI000071221 | PK2ISGI000071221 | DataEnrichment | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Guarantee Advise Canc... | PK2GTAC000071219 | PK2GTAC000071219 | Registration | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | -- | Export LC Transfer | PK2ELCT000071218 | PK2ELCT000071218 | Scrutiny | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Export LC Drawing - Isla... | PK2IELD000071217 | PK2IELD000071217 | Scrutiny | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Shipping Guarantee Iss... | PK2SGTI000071207 | PK2SGTI000071207 | DataEnrichment | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Export LC Drawing - Isla... | PK2IELD000071212 | PK2IELD000071212 | Scrutiny | 22-03-10 | PK2 | 001043 |
| <input type="checkbox"/> | -- | Export LC Drawing | PK2ELCD000071214 | PK2ELCD000071214 | Registration | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | High | Import LC Amendment | PK2ILCA000071204 | PK2ILCA000071204 | Approval Task Level 1 | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Shipping Guarantee Iss... | PK2SGTI000071210 | PK2SGTI000071210 | DataEnrichment | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Islamic Import LC Drawi... | PK2IILD000071211 | PK2IILD000071211 | DataEnrichment | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | -- | Islamic Import LC Drawi... | PK2IILD000071209 | PK2IILD000071209 | Registration | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Guarantee Advise Amen... | PK2GTAA000071201 | PK2GTAA000071201 | DataEnrichment | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Islamic Export Docume... | PK2IEDB000071200 | PK2IEDB000071200 | KYC Exceptional approval | 22-03-09 | PK2 | 004812 |

Page 1 of 138 (1 - 20 of 2756 items) | 1 2 3 4 5 ... 138 >

5. The acquired task will be available in **My Tasks** tab. Click **Edit** to modify the registered task.

The screenshot shows the Oracle 'My Tasks' interface. The top navigation bar includes the Oracle logo, user identity '(DEFAULTENTITY)', and the date 'May 5, 2021'. A search bar is present on the left. The main content area displays a table of tasks. The first task is selected, and the 'Edit' button is highlighted. The table columns are: Action, Priority, Process Name, Process Reference Number, Application Number, Stage, Application Date, Branch, and Customer Number.

| Action | Priority | Process Name | Process Reference Number | Application Number | Stage | Application Date | Branch | Customer Number |
|-------------------------------------|----------|---------------------------|--------------------------|--------------------|----------------|------------------|--------|-----------------|
| <input checked="" type="checkbox"/> | Medium | Islamic Shipping Guara... | PK2ISGI000071221 | PK2ISGI000071221 | DataEnrichment | 22-03-10 | PK2 | 001044 |
| <input type="checkbox"/> | -- | Export Documentary Co... | PK2EDCU000071216 | PK2EDCU000071216 | DataEnrichment | 22-03-10 | PK2 | 000153 |
| <input type="checkbox"/> | -- | Export Documentary Co... | PK2EDCU000071213 | PK2EDCU000071213 | Registration | 22-03-10 | PK2 | 000153 |
| <input type="checkbox"/> | -- | Islamic Import Docume... | PK2IIDB000071187 | PK2IIDB000071187 | Registration | 22-03-09 | PK2 | 000335 |
| <input type="checkbox"/> | Medium | Import Documentary C... | 000IDCB000071157 | 000IDCB000071157 | Registration | 22-03-08 | PK2 | 000322 |
| <input type="checkbox"/> | Medium | Export Documentary Co... | PK1EDCB000071156 | PK1EDCB000071156 | Registration | 22-03-08 | PK2 | 000322 |
| <input type="checkbox"/> | Medium | Export LC Amendment | PK2ELCA000071121 | PK2ELCA000071121 | Scrutiny | 22-03-07 | PK2 | 001044 |
| <input type="checkbox"/> | -- | Export LC Amendment | PK2ELCA000071120 | PK2ELCA000071120 | Registration | 22-03-07 | PK2 | 001044 |
| <input type="checkbox"/> | -- | Export LC Amendment | PK2ELCA000071103 | PK2ELCA000071103 | Registration | 22-03-07 | PK2 | 000153 |
| <input type="checkbox"/> | -- | Export LC Amendment | PK2ELCA000071102 | PK2ELCA000071102 | Registration | 22-03-07 | PK2 | 000153 |
| <input type="checkbox"/> | Medium | Import LC Closure | PK2ILCC000071098 | PK2ILCC000071098 | DataEnrichment | 22-03-05 | PK2 | 001044 |
| <input type="checkbox"/> | -- | Import LC Internal Ame... | PK2IIIA000071097 | PK2IIIA000071097 | Registration | 22-03-05 | PK2 | 001044 |
| <input type="checkbox"/> | Medium | Import LC Internal Ame... | PK2ILCI000071096 | PK2ILCI000071096 | DataEnrichment | 22-03-05 | PK2 | 001204 |

Page 1 of 1 (1 - 16 of 16 items) | 1 >

The Data Enrichment stage has three sections as follows:

- 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. Some of the fields that are already having value from Registration/online channels may not be editable.

Main Details

Main details section has three sub section as follows:

- Application Details
- Shipping Guarantee Details

Application Details

All fields displayed under Application details section, would be read only except for the **Priority** and **Customer Reference Number**. 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.

Refer to [Application Details](#) for more information of the fields.

Islamic Shipping Guarantee Issuance
DataEnrichment :: Application No:- PK2ISGI000071221

Documents Remarks Overrides Customer Instruction Common Group Messages

Main

Application Details - Main

Issued Against *
Documentary Credit

Documentary Credit Number *
PK2IRLJ211255001

Customer *
001044 GOODCARE PLC

Branch
PK2-Oracle Banking Trade Finan...

Process Reference Number
PK2ISGI000071221

Customer Reference Number

Priority
Medium

Submission Mode
Desk

Booking Date
May 5, 2021

View LC Events

Shipping Guarantee Details

Product Code
SGLI

Product Description
Islamic Shipping Guarantee Issuance - .

Outstanding LC Amount
GBP £120.00

SG/DO Amount *
GBP £120.00

Amount In Local Currency
GBP £120.00

Contract Reference Number
PK2SGLI21125ABYL

SG/DO Beneficiary *
000325 NATIONAL FR

SG/DO Expiry Date *
Mar 7, 2022

Mode of Transport *
Air

Cargo Arrival Details

Audit Reject Refer Hold Cancel Save & Close Back Next

Shipping Guarantee Details

The fields listed under this section are same as the fields listed under the [Shipping Guarantee Details](#) section in [Registration](#). Refer to [Shipping Guarantee Details](#) for more information of the fields. During Registration, if user has not captured values, then user can capture the details in this section.

Shipping Guarantee Details

Product Code
SGLI

Product Description
Islamic Shipping Guarantee Issuance - .

Outstanding LC Amount
GBP £120.00

SG/DO Amount *
GBP £120.00

Amount In Local Currency
GBP £120.00

Contract Reference Number
PK2SGLI21125ABYL

SG/DO Beneficiary *
000325 NATIONAL FR

SG/DO Expiry Date *
Mar 7, 2022

Mode of Transport *
Air

Cargo Arrival Details

Audit Reject Refer Hold Cancel Save & Close Back Next

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|-----------------------|--|---------------|
| Documents | <p>Click the Documents icon to View/Upload the required documents.</p> <p>Application will display the mandatory and optional documents.</p> <p>Application displays mandatory documents to be uploaded for amendment. Place holders are also available to upload additional documents submitted by the applicant.</p> <p>The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application.</p> | |
| Remarks | <p>Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.</p> | |
| Overrides | <p>Click to view the overrides accepted by the user.</p> | |
| Customer Instructions | <p>Click to view/ input the following</p> <ul style="list-style-type: none"> • Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. | |
| Common Group Message | <p>Click Common Group Message button, to send MT799 and MT999 messages from within the task.</p> | |
| Reject | <p>On click of Reject, user must select a reject reason from a list displayed by the system.</p> <p>User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage</p> <p>This reject reason will be available in the remarks window throughout the process.</p> | |

| Field | Description | Sample Values |
|--------------|--|---------------|
| Refer | <p>User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others | |
| Hold | <p>The details provided will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Cancel | <p>Cancel the Guarantee Issuance scrutiny stage inputs.</p> | |
| Save & Close | <p>Save the information provided and holds the task in you queue for working later.</p> <p>This option will not submit the request</p> | |
| Next | <p>On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.</p> | |

Shipping Details

As part of DE, user will verify and enter the basic details available in the Islamic Shipping Guarantee request. In case the request is received through online channel, user will verify the details populated.

Islamic Shipping Guarantee Issuance
DataEnrichment :: Application No:- PK2ISGI000071221



Documents Remarks Overrides Customer Instruction Common Group Messages

Main Shipment Details Shipment Details

Date of Shipment * Mar 10, 2020 Port of Loading * Chennai Port of Discharge * London Carrier Name * Broom Carrier

Bill of Lading/AWB No * 243454 Shipment Marks Shipping Agent Name

Goods Details

| Goods Code | Goods Type | Goods Description | No of Units | Price per Unit | Total Amount | Action |
|-------------|------------|-------------------|-------------|----------------|--------------|---|
| CILLAFABRIC | G | CILLAFABRIC | | | |   |

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

Shipping Guarantee Details

Shipping Guarantee Text *
Ships to Mumbai

Audit Reject Refer Hold Cancel Save & Close Back Next

Provide the shipping details based on the description in the following table:

| Field | Description | Sample Values |
|-----------------------------------|---|---------------|
| Date of Shipment | Select the shipment date. If the shipment date is a future date, system should display an Error message. | |
| Port of Loading | Enter the port of loading details. | |
| Port of Discharge | Enter the port of discharge details. | |
| Carrier Name | Enter the carrier details. | |
| Bill of Landing/ AWB No. | Enter the Bill of Lading no. or Airway Bill number. | |
| Shipment Marks | Enter the Shipment marks and number. | |
| Shipping Agent | Enter the Shipping Agent details. | |
| Goods Details | | |
| 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 capture the Goods Description as per the documents | |
| No. of Units | Enter the goods quantity as per the documents. | |
| Price Per Unit | Enter the unit price as per the documents. | |
| Total Amount | Enter the Goods total amount as per the documents. | |
| Action | Click Edit to edit the goods details. Click Delete to delete the goods record. | |
| Shipping Guarantee Details | | |
| Shipping Guarantee Text | Enter the Shipping Guarantee text. | |

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|--------------|---|---------------|
| Documents | Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Reject | On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process. | |
| Refer | 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: <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 – Others | |
| Hold | The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant. | |
| Cancel | Cancel the Guarantee Issuance scrutiny stage inputs. | |
| Save & Close | Save the information provided and holds the task in you queue for working later. This option will not submit the request | |
| Back | On click Back , user navigates to previous step. | |
| Next | On click of Next, system should validate 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. | |

Additional Fields

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

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|-----------|--|---------------|
| Documents | Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Reject | On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process. | |

| Field | Description | Sample Values |
|--------------|--|---------------|
| Refer | <p>User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others | |
| Hold | <p>The details provided will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Cancel | <p>Cancel the Guarantee Issuance scrutiny stage inputs.</p> | |
| Save & Close | <p>Save the information provided and holds the task in you queue for working later.</p> <p>This option will not submit the request</p> | |
| Back | <p>On click Back, user navigates to previous step.</p> | |
| Next | <p>On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.</p> | |

Advices

As part of DE, user will verify the advices details data segment of the Islamic Shipping Guarantee Issuance request.

Based on the Advices maintained at the Product level, system should default the advices.

Islamic Shipping Guarantee Issuance
DataEnrichment :: Application No:- PK2ISGI000071223

Documents Remarks Overrides Customer Instruction Common Group Messages

Main
Shipment Details
Additional Fields
Advices
Additional Details
Settlement Details
Summary

Advices

Screen (4 / 7)

| Advice : PAYMENT_MESS... | Advice : PAYMENT_MESS... |
|--|--|
| Advice Name : PAYMENT_MESSAGE Advice Party : Party Name : Suppress : NO Advice | Advice Name : PAYMENT_MESSAGE Advice Party : Party Name : Suppress : NO Advice |

Audit

Reject Refer Hold Cancel Save & Close Back Next

User can also suppress the Advice, if required.

Advice Details

Advice Details
✕

Suppress Advice
 Advice Name: LC_CASH_COL_ADV
Medium: SWIFT
Advice Party: APP

Party ID: 000585
Party Name: NESTLE

Free Format Text
 + -




| Select | FFT Code | FFT Description | |
|---------------------|----------|-----------------|--|
| No data to display. | | | |

Instructions
 + -

| Select | Instruction Code | Instruction Description | Action |
|--------------------------|------------------|--------------------------------------|--------|
| <input type="checkbox"/> | DELIVERACC | DELIVER DOCUMENTS AGAINST ACCEPTANCE | |

OK
Cancel

| Field | Description | Sample Values |
|------------------|--|---------------|
| Suppress Advice | <p>Toggle on: Switch on the toggle if advice is suppressed.</p> <p>Toggle off: Switch off the toggle if suppress advice is not required for the amendments</p> | |
| Advice Name | Value be defaulted from Guarantee /SBLC Issuance. User can update if required. | |
| Medium | The medium of advices is defaulted from the system. User can update if required. | |
| Advice Party | Value be defaulted from Guarantee /SBLC Issuance. User can update if required. | |
| Party ID | Value be defaulted from Guarantee /SBLC Issuance. User can update if required. | |
| Party Name | <p>Read only field.</p> <p>Value be defaulted from Guarantee /SBLC Issuance.</p> | |
| Free Format Text | | |
| FFT Code | User can select the FFT code as a part of free text. | |
| FFT Description | FFT description is populated based on the FFT code selected. | |
| | Click plus icon to add new FFT code. | |

| Field | Description | Sample Values |
|---|--|---------------|
|  | Click minus icon to remove any existing FFT code. | |
| Instruction Details | | |
| Instruction Code | User can select the instruction code as a part of free text. | |
| Instruction Description | Instruction description is populated based on the FFT code selected. | |
|  | Click plus icon to add new instruction code. | |
|  | Click minus icon to remove any existing selected instruction code. | |

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|-----------|--|---------------|
| Documents | Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Reject | On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process. | |

| Field | Description | Sample Values |
|--------------|--|---------------|
| Refer | <p>User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others | |
| Hold | <p>The details provided will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Cancel | Cancel the Shipping Guarantee Data Enrichment stage inputs. | |
| Save & Close | <p>Save the information provided and holds the task in you queue for working later.</p> <p>This option will not submit the request</p> | |
| Back | On click Back , user navigates to previous step. | |
| Next | On click of Next, system should validate 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. | |

Additional Details

As part of DE, user will verify and enter the basic additional details available in the Islamic Shipping Guarantee request. In case the request is received through online channel, user will verify the details populated.

Islamic Shipping Guarantee Issuance
DataEnrichment :: Application No:- PK2ISGI000071221

Documents Remarks Overrides Customer Instruction Common Group Messages

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

Additional Details

| Limit & Collateral | Charge Details | Preview Message |
|------------------------------------|----------------|---------------------|
| Limit Currency : GBP | Charge : | Language : |
| Limit Contribution : 100000 | Commission : | Preview Message : - |
| Limit Status : Not Verified | Tax : | |
| Collateral Currency : GBP | Block Status : | |
| Collateral : 8000 | | |
| Contribution : Not Verified | | |
| Collateral Status | | |

Audit Reject Refer Hold Cancel Save & Close Back Next

Screen (5 / 7)

Limits & Collateral

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

Limit & Collateral
✕

Limit Details +

| <input type="checkbox"/> | Customer ID | Line ID | Contribution % | Contribution Currency | Contribution Amount | Limit Check Response | Response Message | Edit | Delete |
|--------------------------|-------------|---------|----------------|-----------------------|---------------------|----------------------|------------------|--------|--------|
| <input type="checkbox"/> | 001044 | 001044 | 100 | GBP | \$100,000.00 | Not Verified | | 001044 | |

Collateral Details +

| Collateral Type | Collateral % | Currency | Contribution Amount | Settlement Account | Account Balance Check Response | Response Message | Edit | Delete |
|-----------------|--------------|----------|---------------------|--------------------|--------------------------------|------------------|-----------------|--------|
| Cash Collateral | 8 | GBP | \$8,000.00 | PK20010440017 | | | Cash Collateral | |

Deposit Linkage Details +

| <input type="checkbox"/> | Deposit Account | Deposit Currency | Deposit Maturity Date | Transaction Currency | Deposit Available In Transaction Currency | Linkage Amount(Transaction Currency) | Edit |
|--------------------------|------------------|------------------|-----------------------|----------------------|---|--------------------------------------|------------------|
| <input type="checkbox"/> | PK2CDP1210860501 | GBP | 2022-03-27 | GBP | 199100 | \$67.20 | PK2CDP1210860501 |

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

Save & Close Close

Limit Details
✕

Customer Id
001044

Contribution % *
100.0 v ^

Contribution Currency
GBP

Limit Currency
GBP

Limit Check Response
Available

Expiry Date
24-Dec-2020

Verify

Line ID *
001044_GB

Limits Description

Contribution Amount *

£9,000.00

Limit Available Amount


£9,99,999.00

Response Message
The Earmark can be performed as the f

Save & Close Close

| Field | Description | Sample Values |
|---------------|---|---------------|
| Edit Link | Click edit link to edit any existing Limit Details. | |
| Plus Icon | Click plus icon to add new Limit Details. | |
| Delete Icon | Click Delete icon to remove any existing Limit Details. | |

Limit Details

| Field | Description | Sample Values |
|------------------------|--|---------------|
| Customer ID | Applicant's/Applicant Bank customer ID will get defaulted. | |
| Line ID | User can choose 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. | |
| Contribution% | <p>System will default this to 100% and user can modify. System will display an alert message, if modified.</p> <p>Once contribution % is provided, system will default the amount.</p> <p>System to validate that if Limit Contribution% plus Collateral% is equal to 100. If the total percentage is not equal to 100 application will display an alert message.</p> <p> Note</p> <p>The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified."</p> | |
| Contribution Currency | The guarantee currency will be defaulted in this field. | |
| Contribution Amount | User captures the contribution amount to be utilized under the selected limit. | |
| Limit Currency | Limit Currency will be defaulted in this field. | |
| Limit Available Amount | This field will display the value of available limit, i.e., limit available without any earmark. The Limit Available Amount must be greater than the Contribution Amount. | |
| Limit Check Response | Response can be 'Success' or 'Limit not Available'. | |
| Response Message | Detailed Response message. | |

| Field | Description | Sample Values |
|-------------|--|---------------|
| Expiry Date | This field displays the date up to which the Line is valid | |

Provide the collateral details based on the description provided in the following table:

Collateral Details +

| Collateral Type | Collateral % | Currency | Contribution Amount | Settlement Account | Account Balance Check Response | Response Message | Edit | Delete |
|-----------------|--------------|----------|---------------------|--------------------|--------------------------------|------------------|-----------------|--------|
| Cash Collateral | 0 | GBP | US\$0.00 | PK20010440017 | | | Cash Collateral | |


Save & Close Close

Collateral Details ×

| | |
|--|--|
| <p>Collateral Type * Cash Collateral ▼</p> <p>Currency GBP</p> <p>Settlement Account * 20300134500000000010 🔍</p> <p>Settlement Account Currency GBP</p> <p>Response Available</p> <p>Verify</p> | <p>Collateral % * 10 ▼ ▲</p> <p>Contribution Amount * £3,000.00</p> <p>Settlement Account Branch 203</p> <p>Account Available Amount £6,938,234.82</p> <p>Response Message The amount block can be performed as:</p> |
|--|--|

✓ Save & Close
✕ Cancel

| Field | Description | Sample Values |
|-----------------|--|---------------|
| Edit Link | Click edit link to edit any existing Limit Details. | |
| Plus Icon | Click plus icon to add new Collateral Details. | |
| Delete Icon | Click Delete icon to remove any existing Collateral Details. | |
| Collateral Type | Cash Collateral (CASA) will be the default value available as collateral type. User can select either Cash Collateral or Deposits. | |

| Field | Description | Sample Values |
|-----------------------------|--|---------------|
| Collateral % | User must enter the percentage of collateral to be linked to this transaction. If the value is more than 100% system will display an alert message. | |
| Currency | The guarantee currency will get defaulted in this field. | |
| Contribution Amount | Collateral contribution amount will get defaulted in this field. | |
| Settlement Account | Select the settlement account for the collateral. User captures the contribution amount to be utilized under the selected limit. | |
| Settlement Account Branch | Settlement Account Branch will be auto-populated based on the Settlement Account selection.  Note Additional collaterals can be included in case the Shipping Guarantee is issued under LC. | |
| Settlement Account Currency | Select the Settlement Account Currency. | |
| Account Available Amount | Account Available Amount will be auto-populated based on the Settlement Account selection. | |
| Response | Response can be 'Success' or 'Amount not Available'. | |
| Response Message | Detailed Response message. | |

Charge Details

After Advices, click on **Next** and landing on the Additional Details tab, the default commission, charges and tax if any will get populated.

If default charges are available under the product, they should be defaulted here with values. If customer or customer group specific charges are maintained, then the same will be defaulted from back end system.

Fields and Description of Charge Details provided in the following table:x

| Edit | Component | Currency | Amount | Modified | Billing | Defer | Waive | Charge Party | Settlement Account |
|-------------------------------------|-----------|----------|---------|----------|--------------------------|--------------------------|--------------------------|--------------|--------------------|
| <input checked="" type="checkbox"/> | LCCOUBC | GBP | £500.00 | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| <input checked="" type="checkbox"/> | LCCOURISS | GBP | £50.00 | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | PK20010440017 |
| <input checked="" type="checkbox"/> | LCSWIFTIS | GBP | £50.00 | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | PK20010440017 |
| <input checked="" type="checkbox"/> | OTHBNKCHG | GBP | £50.00 | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | PK20010440017 |

Page 1 of 1 (1-4 of 4 items) K < 1 > X

| Field | Description | Sample Values |
|-----------|--|---------------|
| Component | Charge Component type. | |
| Currency | Defaults the currency in which the charges have to be collected. | |
| Amount | An amount that is maintained under the product code gets defaulted in this field. User can edit the value, if required. | |
| Modified | User can enter a new amount in 'Modified' field. From the default value, if the rate is changed or the amount is changed, the same is updated in the modified amount field. | |
| Billing | <p>If charges are handled AZ the details to be available for billing engine for further processing.</p> <p>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 checked in OBTFPM.</p> <p>The user can not select/de-select the check box if it is de-selected by default.</p> <p>This field is disabled, if 'Defer' toggle is enabled.</p> | |
| Defer | <p>If charges have to be deferred and collected at any future step, this check box has to be selected.</p> <p>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.</p> <p>The user can select/de-select the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.</p> | |

| Field | Description | Sample Values |
|--------------------|--|---------------|
| Waive | If charges have to be waived, this check box has to be selected. Based on the customer maintenance, the charges should be marked for Billing or for Defer. This field is disabled, if 'Defer' toggle is enabled. | |
| Charge Party | Charge party will be applicant by default. You can change the value to beneficiary. | |
| Settlement Account | Details of the settlement account. | |

Commission Details

The Commission Details with values is defaulted here, if default commission is available under the product.

Provide the Commission Details based on the description provided in the following table:

Commission Details

| Component | Rate | Modified | Currency | Amount | Modified | Defer | Waive | Charge Party | |
|------------|------|----------|----------|--------|----------|--------------------------|--------------------------|--------------|---------------|
| AILUN_COM2 | 1 | | GBP | £33.33 | | <input type="checkbox"/> | <input type="checkbox"/> | | PK20010440017 |
| AILUN_COMM | 1 | | GBP | £33.33 | | <input type="checkbox"/> | <input type="checkbox"/> | | PK20010440017 |

Page 1 of 1 (1-2 of 2 items) K < 1 > X

| Field | Description | Sample Values |
|-----------|---|---------------|
| Component | Select the commission component | |
| Rate | Defaults from product. User can change the rate, if required. 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. | |
| Currency | Defaults the currency in which the commission needs to be collected | |
| Amount | An amount that is maintained under the product code defaults in this field. 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. | |

| Field | Description | Sample Values |
|--------------------|--|---------------|
| Modified | User can enter a new amount in 'Modified amount' field. From the default value, if the rate is changed or the amount is changed, the same is updated in the modified amount field. | |
| Billing | If charges/commission is handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. | |
| Defer | Select the check box, if charges/commissions has to be deferred and collected at any future step. | |
| Waive | Select the check box to waive charges/ commission. Based on the customer maintenance, the charges/commission can be marked for Billing or Defer. | |
| Charge Party | Charge party will be 'Applicant' by Default. You can change the value to Beneficiary. | |
| Settlement Account | Details of the Settlement Account. | |

Tax Details

The tax component is calculated based on the commission. The tax component defaults if maintained in the product level. Tax detail cannot be updated by you 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.

Following Tax Details will be displayed:

Tax Details

| Component | Currency | Amount | Billing | Defer | Settlement Account |
|-----------|----------|---------|--------------------------|--------------------------|--------------------|
| LCTAX | GBP | £800.00 | <input type="checkbox"/> | <input type="checkbox"/> | PK20010440017 |
| LCTAX1 | GBP | £4.00 | <input type="checkbox"/> | <input type="checkbox"/> | PK20010440017 |
| LCTAX2 | GBP | £2.67 | <input type="checkbox"/> | <input type="checkbox"/> | PK20010440017 |

Save & Close

Close

| Field | Description | Sample Values |
|-----------|---|---------------|
| Component | Tax Component type. | |
| Currency | The tax currency is the same as the commission. | |
| Amount | The tax amount defaults based on the percentage of commission maintained. User can edit the tax amount, if required. | |
| Billing | If charges/commission is handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. | |

| Field | Description | Sample Values |
|--------------------|---|---------------|
| Defer | Select the check box, if charges/commissions has to be deferred and collected at any future step. | |
| Settlement Account | Details of the settlement account. | |

Preview

The Bank user can view a preview of the outgoing advise.

The Preview section consists of following.

Preview Message

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

The screenshot shows a 'Preview Message' window with two side-by-side preview panels. The left panel, titled 'Preview - SWIFT Message', has a 'Language' dropdown set to 'English' and a 'Message Type' dropdown set to 'Select'. Below these is a 'Preview Advice' section which is currently blank. The right panel, titled 'Preview - Mail Advice', has a 'Language' dropdown set to 'English' and an 'Advice Type' dropdown set to 'GUARANTEE'. Below these is a 'Preview Advice' section showing a simulated mail message. The message content includes: '01-JAN-16 PAGE: 1', 'WALTER WHITE BANGALOR PAGE: 1', 'LETTER OF GUARANTEE', and 'TYPE OF GUARANTEE:'. At the bottom right of the preview area are two buttons: 'Save & Close' and 'Close'.

| Field | Description | Sample Values |
|-----------------------------|---|---------------|
| Preview SWIFT Message | | |
| Language | Select the language for the SWIFT message. | |
| Message Type | Select the message type. | |
| Preview Advice | Display a preview of the draft message. | |
| Preview Mail Device | | |
| Language | Select the language for the advice message. | |
| Advice Type | Select the advice type. | |
| Preview Advice | Display a preview of the advice. | |
| Draft Confirmation Required | This toggle enables the user to select if draft confirmation is required or not | |

Following fields will have values on receipt of customer response.

| Field | Description | Sample Values |
|--------------------|--|---------------|
| Customer Response | User can enter the response received from customer. If the response is received online, the response is auto populated in this field by the system | |
| Customer Remarks | Remarks from the customer for the draft | |
| Response Date | Customer Response received date. | |
| Default Email list | Default email address of the customer. | |
| Add Recipients | Enables to add more recipients for the customer response. | |

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|-----------|---|---------------|
| Documents | Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Reject | On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance/Limits ● R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process. | |

| Field | Description | Sample Values |
|--------------|--|---------------|
| Refer | <p>User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others | |
| Hold | <p>The details provided will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Cancel | <p>Cancel the Guarantee Issuance scrutiny stage inputs.</p> | |
| Save & Close | <p>Save the information provided and holds the task in you queue for working later.</p> <p>This option will not submit the request</p> | |
| Back | <p>On click Back, user navigates to previous step.</p> | |
| Next | <p>On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.</p> | |

Settlement Details

As part of DE, user will verify and enter the settlement details available in the Islamic Shipping Guarantee request. In case the request is received through online channel, user will verify the details populated.

Provide the settlement details based on the description in the following table:

Islamic Shipping Guarantee Issuance
DataEnrichment :: Application No:- PK2ISGI000071223

Documents Remarks Overrides Customer Instruction Common Group Messages

Main
Shipment Details
Additional Fields
Advices
Additional Details
Settlement Details
Summary

Settlement Details
 Current Event

Screen (6 / 7)

| Component | Currency | Debit/Credit | Account | Account Description | Account Currency | Netting Indicator | Current Event |
|-----------------|----------|--------------|---------------|---------------------|------------------|-------------------|---------------|
| ASGLC_COM1_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | Yes |
| ASGLC_COMM_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | Yes |
| COLLAMT_OSEQ | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No |
| COLLAT_DECR | GBP | Credit | PK20010440017 | GOODCARE PLC | GBP | Yes | No |
| COLL_AMNDAMTEQ | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No |
| COLL_AMT_DECR | GBP | Credit | PK20010440017 | GOODCARE PLC | GBP | No | No |
| COLL_AMT_INCR | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | Yes | No |
| COLL_AVALAMTEQ | GBP | Credit | PK20010440017 | GOODCARE PLC | GBP | No | No |
| LCCOURISS_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | Yes | No |
| LCSWIFTIS_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | Yes | No |

Audit

Reject Refer Hold Cancel Save & Close Back Next

| Field | Description | Sample Values |
|---------------------|---|---------------|
| Current Event | The user can 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 | Components gets defaulted based on the product selected. | |
| Currency | Application displays the default currency for the component. | |
| Debit/Credit | Application displays the debit/credit indicators for the components. | |
| Account | Application Displays the account details for the components. | |
| Account Description | Application displays the description of the selected account. | |
| Account Currency | Application defaults the currency for all the items based on the account number. | |
| Netting Indicator | Application displays the applicable netting indicator. | |
| Current Event | System displays the current event as Y or N. | |

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|--------------|---|---------------|
| Documents | Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Reject | On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: <ul style="list-style-type: none"> ● 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 | 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: <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 – Others | |
| Hold | The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant. | |
| Cancel | Cancel the Guarantee Issuance scrutiny stage inputs. | |
| Save & Close | Save the information provided and holds the task in you queue for working later. This option will not submit the request | |
| Back | On click Back , user navigates to previous step. | |

| Field | Description | Sample Values |
|-------|---|---------------|
| Next | On click of Next, system should validate 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. | |

Summary

User can review the summary of details updated in DE stage for Islamic Shipping Guarantee Issuance.

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.

Islamic Shipping Guarantee Issuance
DataEnrichment :: Application No:- PK2ISGI000071221

Documents Remarks Overrides Customer Instruction Common Group Messages

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

| Summary | | | |
|---|--|---|---|
| Main | Shipment Details | Additional Fields | Advices |
| Booking Date : 2021-05-05 Submission Mode : Desk Issued Against : LC | Port of Loading : Chennai Port of Discharge : London Shipment Date : 2020-03-10 Carrier Name : Broom Carr | Click here to view : Additional fields | Advice 1 : Advice 2 : |
| Limits and Collaterals | Commission,Charges and Taxes | Preview Messages | Accounting Details |
| Limit Currency : GBP Limit Contribution : 100000 Limit Status : Not Verified Collateral Currency : GBP Collateral Contr. : 8000 Collateral Status : Not Verified | Charge : Commission : Tax : Block Status : Not Initia | Language : ENG Preview Message : - | Event : Account Number : Branch : |
| Party Details | Compliance | Settlement Details | |
| Beneficiary : NATIONAL F Advising Bank : WELLS FARG Applicant : GOODCARE PLC | KYC : Not Initia Sanctions : Not Initia AML : Not Initia | Component : Account Number : Currency : | |

Audit Reject Refer Hold Cancel Save & Close Back Next Submit

Tiles Displayed in Summary

- Main Details - User can view the application details and 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 provided charge details, if required. 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 the 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.

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|--------------|---|---------------|
| Documents | Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. | |
| Remarks | Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Reject | On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: <ul style="list-style-type: none"> ● 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 | 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: <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 – Others | |
| Hold | The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant. | |
| Cancel | Cancel the Scrutiny Stage Inputs. | |
| Save & Close | Save the information provided and holds the task in you queue for working later. This option will not submit the request | |
| Back | On click Back , user navigates to previous step. | |

| Field | Description | Sample Values |
|--------|--|---------------|
| Submit | <p>On Submit, system should validate for all mandatory field values Task will get moved to next logical stage of Guarantee Issuance.</p> <p>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.</p> | |

Amount Block Exception Approval - Trade Finance Transactions

As a part of Amount Block Exception, the user has to review the amount block exception for Trade Finance requests that failed to create Amount Block in backend system.

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

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.

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

Approve:

- Settlement amount will be funded (outside of this process)
- Allow account to be overdrawn during hand-off

Refer:

- Refer back to DE providing alternate settlement account to be used for block.
- Different collateral to be mapped or utilize lines in place of collateral.

Reject:

Reject the transaction due to non-availability of sufficient balance in settlement account

Application Details

Refer to [Application Details](#). The fields are read only.

Summary

Tiles Displayed in Summary:

- Main Details - User can view about the application details and guarantee issuance details.
- Party Details - User can view and modify party details like beneficiary, advising bank etc., if required.
- Limits and Collaterals - User can view the captured details of limits and collaterals.
- Charges - User can view the provided charge details.
- Remarks - User can view the remarks captured during earlier stages.
- Documents - User can view all the documents uploaded as part of the process.

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|---------|---|---------------|
| Reject | <p>On click of Reject, user must select a reject reason from a list displayed by the system.</p> <p>Reject Codes:</p> <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance/Limits ● R5 - Others. <p>Select a Reject code and give a reject description.</p> <p>This reject reason will be available in the remarks window throughout the process.</p> | |
| Hold | <p>The details provided will be registered and status will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Refer | <p>User will be able to refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 - Others | |
| Cancel | Cancel the Amount Block Exception Inputs. | |
| 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. | |

Amount Block Details

Limits & Collateral

All the fields in the tables below will be read-only in the Amount Block exception System'

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

| Field | Description | Sample Values |
|-----------------------|---|---------------|
| Customer ID | Unique Customer Identification Number of the customer for whom the credit exception approval is required. | |
| Line ID | Line ID under which the limit check was originally performed. | |
| Contribution% | Percentage of the transaction amount that need to be earmarked. | |
| Contribution Currency | Currency of transaction. | |
| Contribution Amount | Indicates the amount that is required in the contribution currency for Earmark. | |
| Limit Check Response | Response received from backend system. Response can be Limit Earmark Created or Limits not available. | |

Collateral Details

| Field | Description | Sample Values |
|--------------------|---|---------------|
| Collateral Type | The type for which the amount block is required eg: charges, cash collateral, deposit etc. | |
| Collateral % | Percentage of the transaction amount that needs to be marked against a collateral. | |
| Currency | Currency of transaction. | |
| Amount | Amount that is marked as collateral. | |
| Settlement Account | The account that will be blocked for collateral. | |

Charge Details

| Field | Description | Sample Values |
|------------------------|--|---------------|
| Type | The type for which the amount block is required eg: charges, cash collateral, deposit etc. | |
| Contract Currency | The currency of the contract. | |
| Block Amount | The amount for which the block is required. | |
| Branch | The branch under which the amount block has to be made. | |
| Account | Settlement account to be used. | |
| Account Currency | Currency in which the settlement account is maintained. | |
| Available Balance | The outstanding balance in the account when the amount block was placed in contract currency. | |
| Block Reference Number | Unique Amount Block reference. | |
| Block Status | The status of amount block – Success or failure. | |
| Block Status Detail | Failed Reason (This field will have value only if amount block is failed). | |

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|---------|---|---------------|
| Reject | <p>On click of Reject, user must select a reject reason from a list displayed by the system.</p> <p>Reject Codes:</p> <ul style="list-style-type: none"> • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others. <p>Select a Reject code and give a reject description.</p> <p>This reject reason will be available in the remarks window throughout the process.</p> | |
| Hold | <p>The details provided will be registered and status will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Refer | <p>User will be able to refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 - Others | |
| Cancel | Cancel the Guarantee Issuance approval. | |
| 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. | |

Multi Level Authorization

Log in into OBTFPM application and open the task to see 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.

Authorization Re-Key

The application will request approver for few critical field values as an authorization step. If the values captured match with the values available in the screen, system will allow user to open the transaction



screens for further verification. If the re-key values are different from the values captured, then application will display an error message.


Open the task and re-key some of the critical field values from the request in the Re-key screen. Some of the fields below will dynamically be available for re-key.:


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

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

Approval Rekey ✕

 Documents  Remarks

Currency
 

Amount
 

Click Next to view the Summary screen.

Summary

Islamic Shipping Guarantee Issuance
Approval Task Level 1 :: Application No:- PK2ISGI000071223

Documents

Remarks

0

| Main | Shipment Details | Additional Fields | Advices |
|---|--|---|---|
| Booking Date : 2021-05-05 Submission Mode : Desk Issued Against : LC | Port of Loading : Chennai Port of Discharge : London Shipment Date : 2020-03-03 Carrier Name : ytyt | Click here to view : Additional fields | Advice 1 : Advice 2 : |
| Commission,Charges and Taxes | Preview Messages | Party Details | Compliance |
| Charge : Commission : Tax : Block Status : Not Initia | Language : ENG Preview Message : - | Beneficiary : Trade Indi Applicant : GOODCARE PLC Advising Bank : WELLS FARG | KYC : Not Verified Sanctions : Verified AML : Verified |
| Exception(Approval) | | | |
| KYC : EXCEPTION PLEASE VISIT : - | | | |

Tiles Displayed in Summary:

- Main Details - User can view the application details and guarantee/ Standby details. User can modify the details if required.
- Guarantee Preferences - User can view guarantee preferences.
- Local Guarantee - User can view local guarantee details.
- Party Details - User can view the party details like beneficiary, advising bank etc.
- Additional Fields - User can view the details of additional fields.
- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.
- Charge - User can view the details provided for charges. User can modify the details if required.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

Action Buttons

Use action buttons based on the description in the following table:

| Field | Description | Sample Values |
|---------|---|---------------|
| Reject | <p>On click of Reject, user must select a reject reason from a list displayed by the system.</p> <p>Reject Codes:</p> <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance/Limits ● R5 - Others. <p>Select a Reject code and give a reject description.</p> <p>This reject reason will be available in the remarks window throughout the process.</p> | |
| Hold | <p>The details provided will be registered and status will be on hold.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p> | |
| Refer | <p>User will be able to refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 - Others | |
| Cancel | Cancel the Guarantee Issuance approval. | |
| 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. | |

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References

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

- Getting Started User Guide
- Common Core User Guide

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