Claim Lodged Under Guarantee Advised

Oracle Banking Trade Finance Process Management

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Oracle Banking Trade Finance Process Management - Claim Lodged under Guarantee Advised 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.
- 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.

Claim Lodged Under Guarantee Advised

As part of Lodge Claim - Guarantee advised process, the applicant can lodge a claim against the Guarantee/SBLC advised.

The various scenarios to lodge the complaint against the guarantee issued:

- Claim received at Advising Bank from Beneficiary
- Claim received at Advising Bank from Advise through Bank
- Claim received at Advise through Bank from Beneficiary
- Claim received at Advise through Bank from Beneficiary

In the subsequent sections, let’s look at the details for Lodge Claim - Guarantee Advised process:

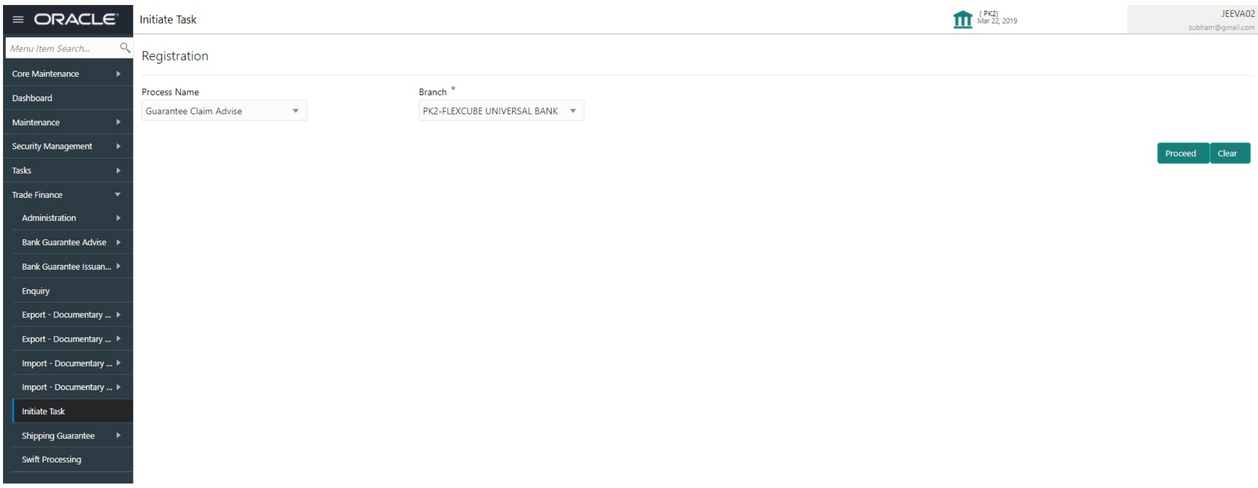
This section contains the following topics:

Common Initiation Stage	Registration
Data Enrichment	Multi Level Approval

Common Initiation Stage

The user can initiate the new Claim under Guarantee Advise request from the common Initiate Task screen.

1. Using the entitled login credentials, login to the OBTFPM application.
2. Click **Trade Finance > Initiate Task.**



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

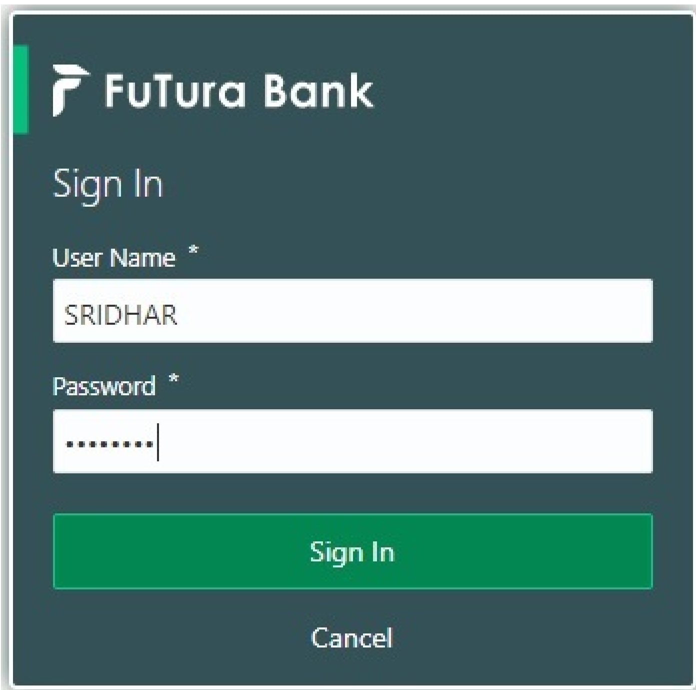
Use action buttons based on the description in the following table:

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

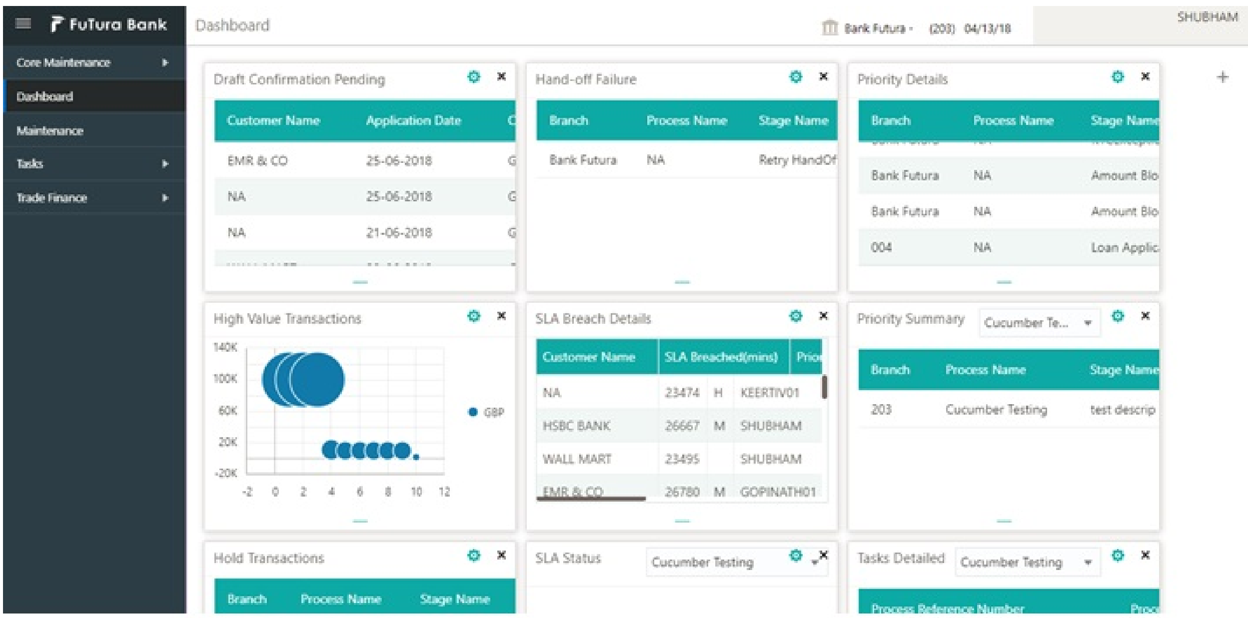
Registration

As a Registration user, you can register a claim request against the Guarantee/SBLC Advised.

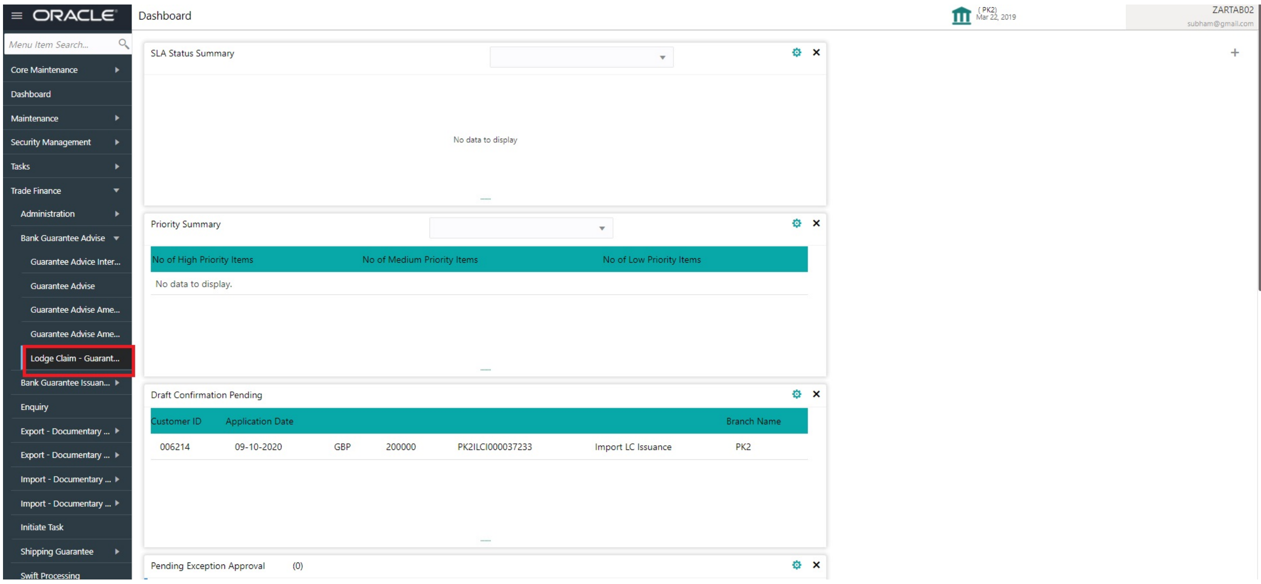
1. Using the entitled login credentials for registration stage, login to the OBTFPM application.



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

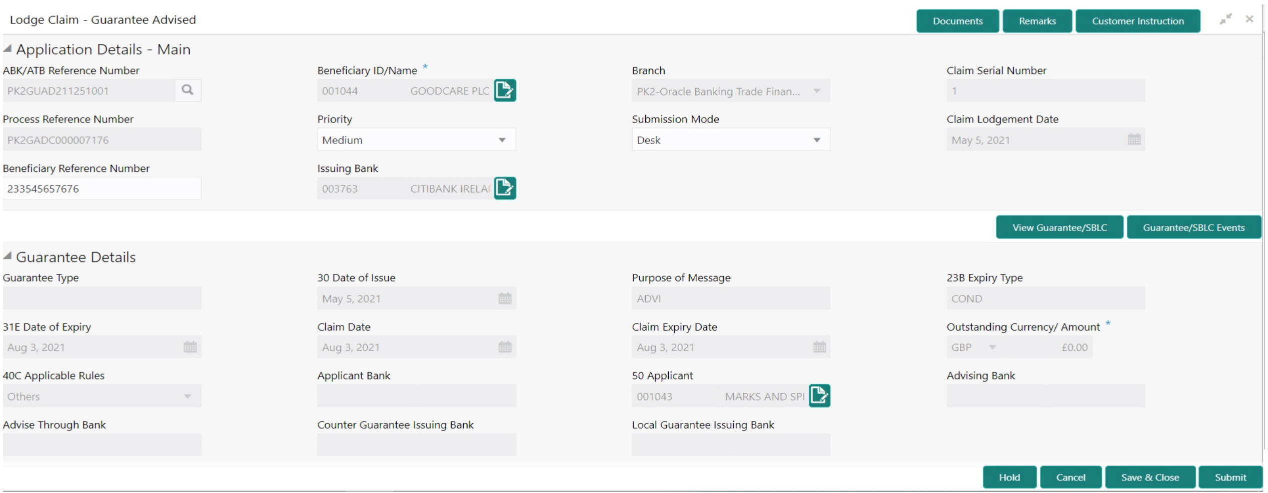


3. Click **Trade Finance> Bank Guarantee Advice> Claim Lodgement.**



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

Application Details



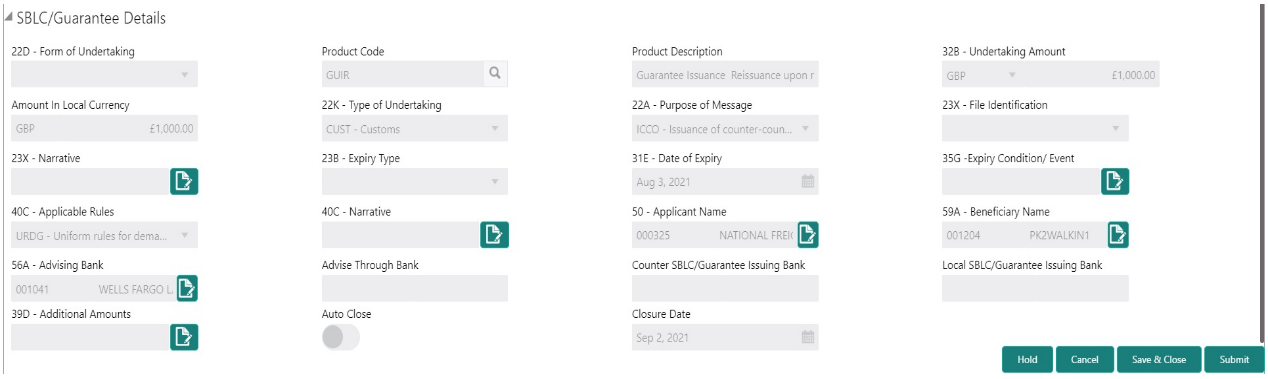
Provide the Application Details based on the description in the following table:

Field	Description	Sample Values
ABK/ATB Reference Number	User can enter the Advising Bank/Advise Through Bank Guarantee Reference or select it from LOV.	
Beneficiary ID/ Name	Read only field. System defaults the Beneficiary ID/ Name from Guarantee/ SBLC Advise.	001345

Field	Description	Sample Values
Branch	Customer's home branch will be displayed. Read only field. System defaults the Customer ID/ Name from Guarantee/ SBLC Advise.	203-Bank Futura -Branch FZ1
Claim Serial Number	Read only field. System defaults the claim serial number from Guarantee/ SBLC Advise. This should be the latest claim number available in back-end system +1.	
Process Reference Number	Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.	203GTEISS000001134
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.	High
Submission Mode	Select the submission mode of Guarantee Advise request. By default the submission mode will have the value as 'Desk'. **Desk-** Request received through Desk **Fax -** Request received through Fax **Email -** Request received through Email	Desk
Claim Lodgement Date	By default, the application will display branch's current date. Read only field. **Note** Future date and back date selection is not allowed.	04/13/2018
Beneficiary Reference Number	User can enter the 'Beneficiary Reference number' if available.	
Issuing Bank	System defaults the issuing bank from Guarantee/ SBLC Advise (applicable for CTB,LTB)	

Guarantee Details

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

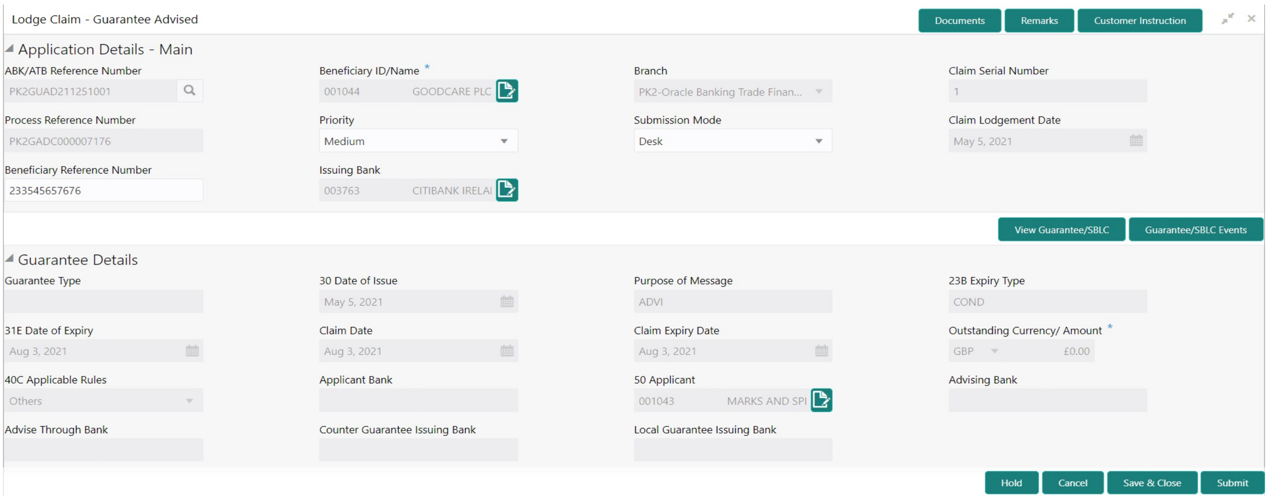


Provide the Guarantee Details based on the description in the following table:

Field	Description	Sample Values
Guarantee Type	Read only field. System defaults the value from Guarantee/ SBLC Advised.	ADVP
Date of Issue	Read only field. System defaults the value from Guarantee/ SBLC Advised.	04/13/18
Purpose of message	Read only field. System defaults the purpose of message from Guarantee/ SBLC Advised.	
Expiry Type	This field indicates whether undertaking has specified expiry date or is open-ended. System defaults the expiry type from Guarantee/ SBLC Advised.	
Date Of Expiry	Expiry date of the Guarantee Advised. System defaults the expiry date from Guarantee/ SBLC Advised.	09/30/18
Claim Date	System defaults the claim date from Guarantee/ SBLC Advised.	04/13/2018
Claim Expiry Date	System defaults the claim expiry date from Guarantee/ SBLC Advised.	04/13/2018
Outstanding Currency/ Amount	System defaults the outstanding currency and amount from Guarantee/ SBLC Advised.	
Applicable Rules	Rules for Guarantee. Read only field. System defaults the value from Guarantee/ SBLC Advised.	URDG - Uniform rules for demand guarantees

Field	Description	Sample Values
Applicant Bank	Read only field. System defaults the applicant bank details from Guarantee/ SBLC Advised.	001345 Nestle
Applicant	Read only field. System defaults the applicant from Guarantee/ SBLC Advised.	001345 Nestle
Advising Bank	Read only field. System defaults the advising bank if available.	001343 - Bank Of America
Advising Through Bank	Read only field. System defaults the advising through bank if available.	Advising Bank Reference
Counter Guarantee Issuing Bank	Read only field. System defaults the counter guarantee issuing through bank if available.	
Local Guarantee Issuing Bank	Read only field. System defaults the local guarantee issuing bank if available.	

Miscellaneous



Enables the user to upload required documents. Provide the Miscellaneous Details based on the description in the following table:

Field	Description	Sample Values
Documents	Upload the required claim documents.	
Remarks	Provide any additional information regarding the Guarantee Advice. This information can be viewed by other users processing the request.	

Field	Description	Sample Values
Customer Instructions	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
View Guarantee/SBLC	User can view the the latest Guarantee/Standby LC details.	
Guarantee/SBLC Events	User can view all the previous events under the Guarantee/Standby LC.	
Action Buttons		
Submit	On Submit, system will give confirmation message for successful submission. Task will get moved to next logical stage of Guarantee Advice. 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 Guarantee Advice Registration stage inputs.	
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 and acknowledge. If mandatory checklist items are not marked, system will display an error on submit. 1. Signatures on Claim verified 2. Documents are verified and uploaded	

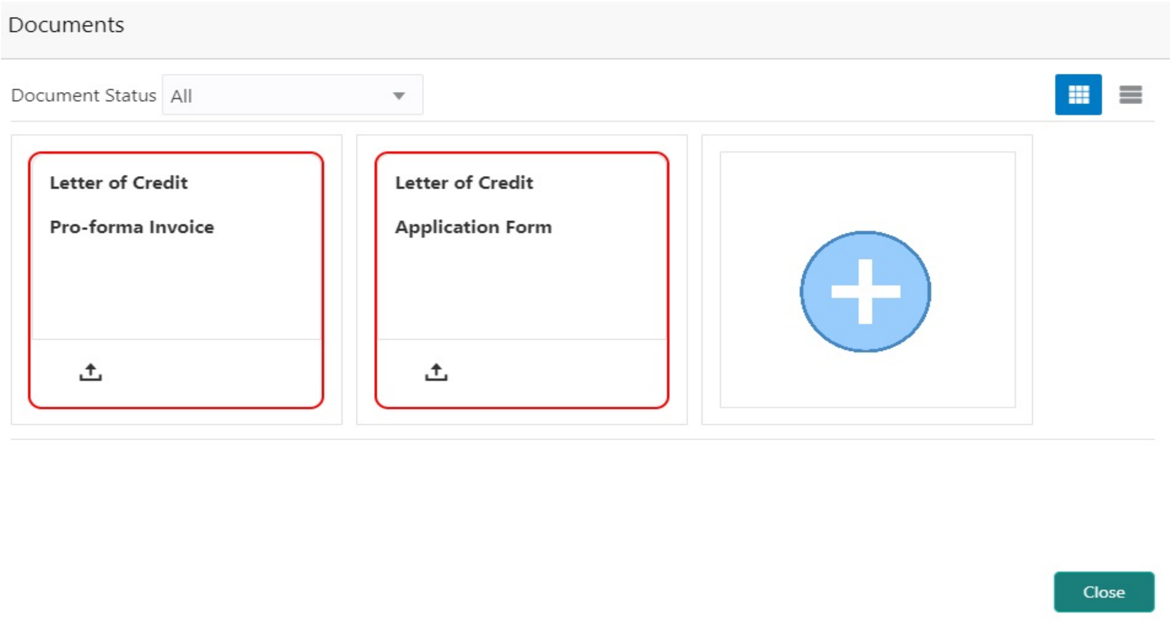
Document Linkage

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

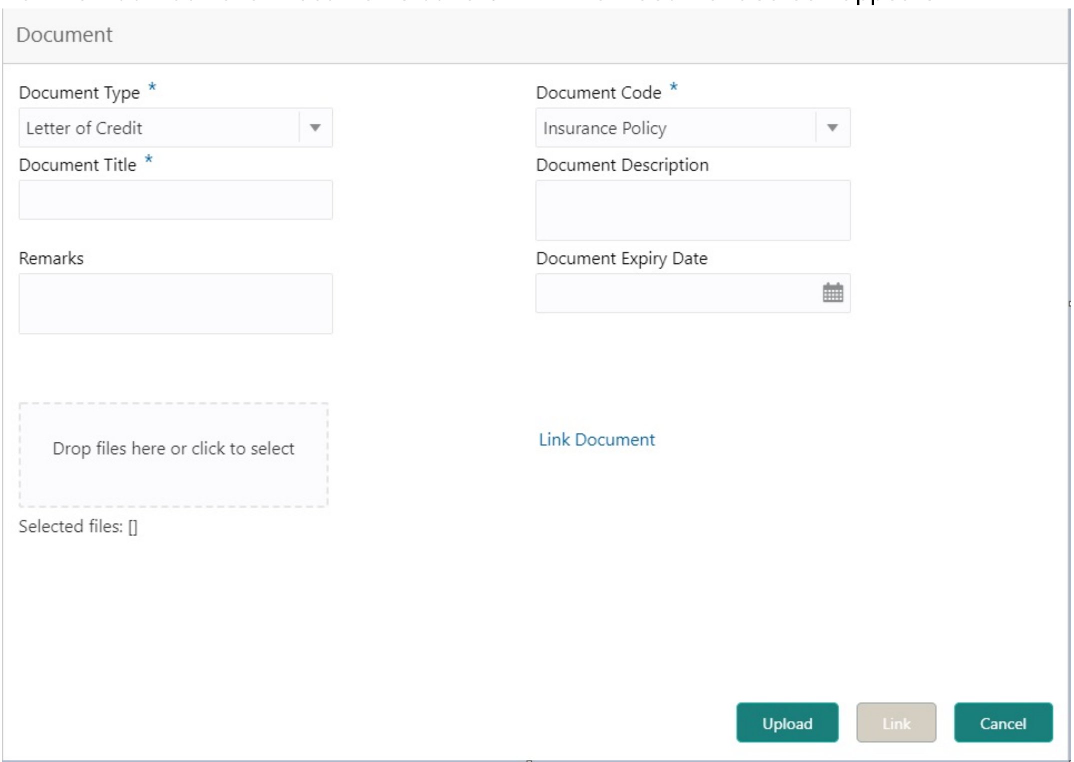
In OBTFPM, system should display Document Ids available in the DMS system. In DMS system, the documents can be Uploaded and stored for future access. Every document stored in DMS will have a unique document id along with other Metadata. The uploaded Document image in the DMS should be available/queried in the Process flow stage screens to link with the task by using the Document ID.

System displays the Documents ids which is not linked with any of the task. Mid office should allow either upload the document or link the document during task processing. The Mid office should allow to Link the same Document in multiple tasks.

1. Navigate to the Registration screen.
2. On the header of **Registration** screen, click **Documents** button. The Document pop-up screen appears.



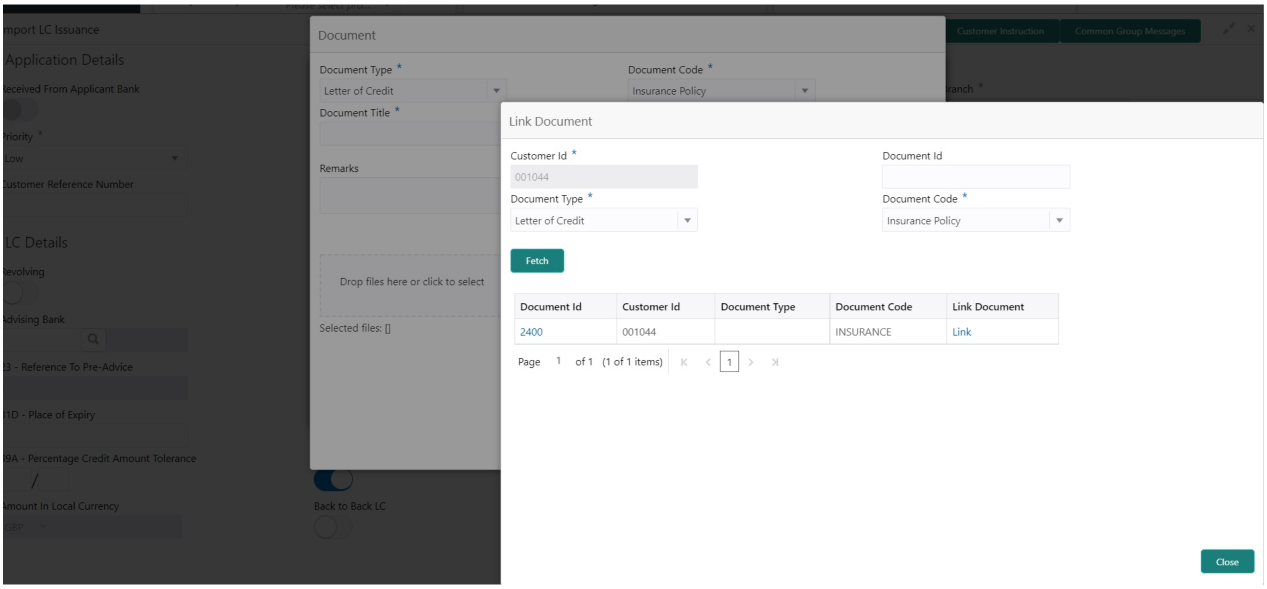
3. Click the Add Additional Documents button/ link. The **Document** screen appears.



Field	Description	Sample Values
Document Type	Select the Document type from list. Indicates the document type from metadata.	

Field	Description	Sample Values
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.	

4. Select the document to be uploaded or linked and click the **Link Document** link. The link Document pop up appears.
   The value selected in Document Type and Document code of Document screen are defaulted in the Link Document Search screen.

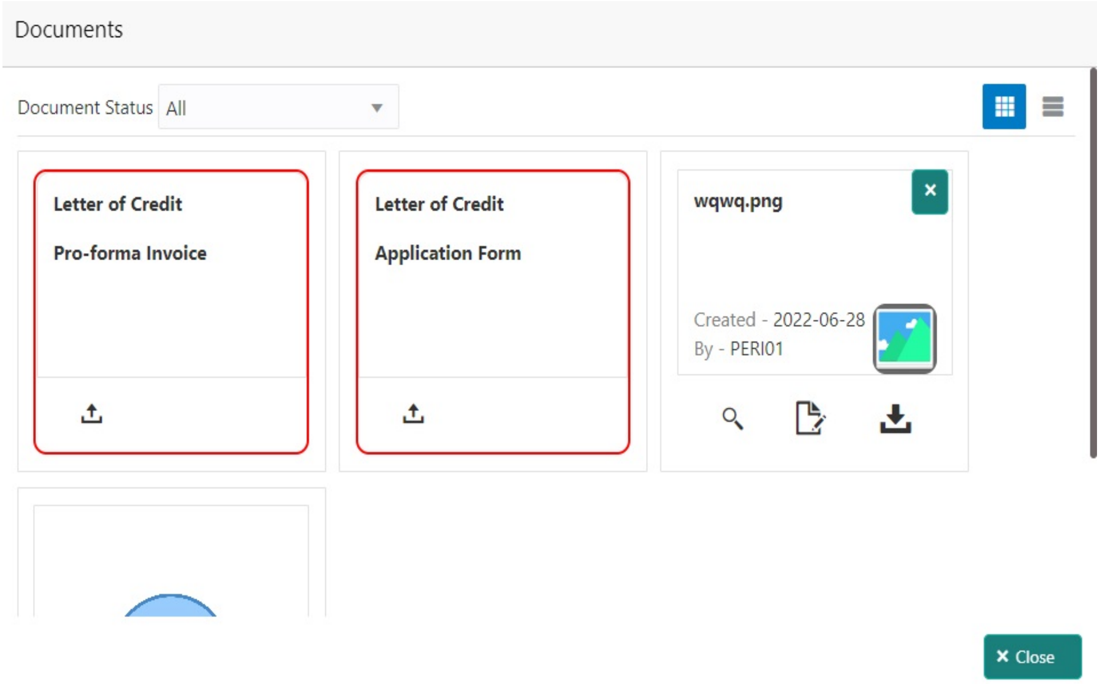


5. Click **Fetch** to retrieve the details from DMS. System Displays all the documents available for the given Document Type and Document Code for the Customer.

Field	Description	Sample Values
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 Code from meta data.	

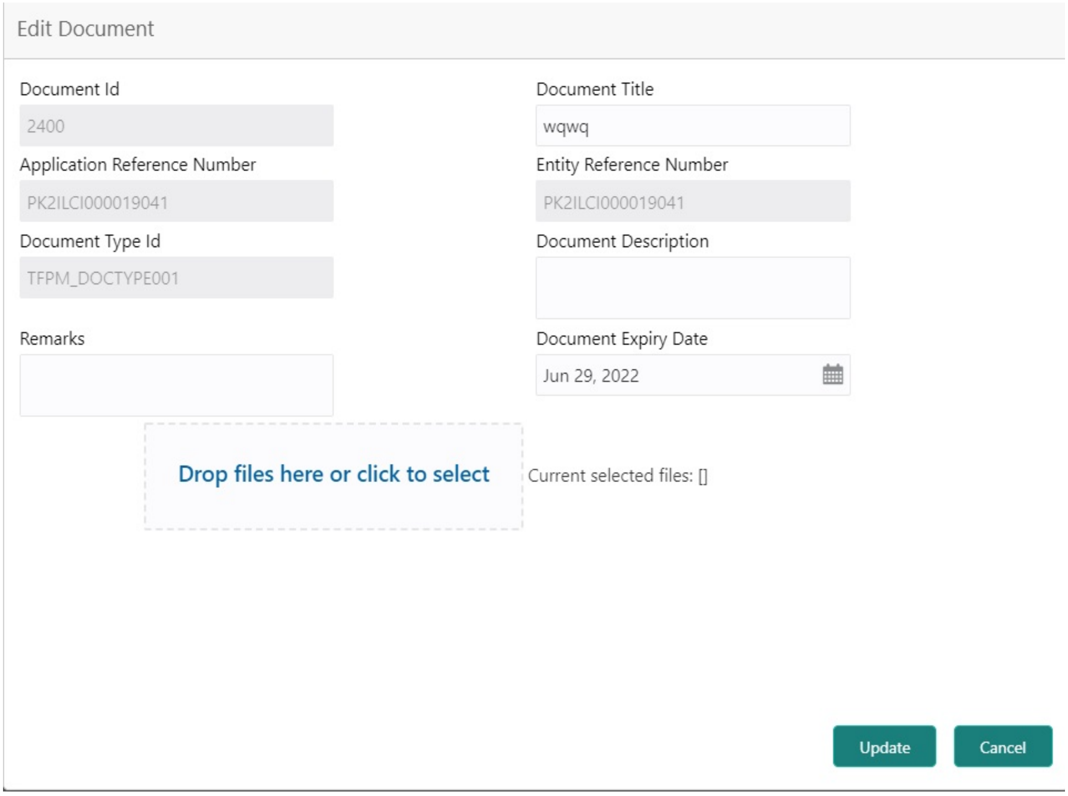
Field	Description	Sample Values
Customer ID	This field displays the transaction Customer ID.	
Document Type	This field displays the document type from meta data.	
Document Code	This field displays the document code from meta data.	
Link Document	The link to link the existing uploaded documents from DMS to the workflow task.	

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



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

7. Click Edit icon to edit the documents. The Edit Document screen appears.



Data Enrichment

As part of Data Enrichment, user can enter/update the various fields of the claim request. The user can also input the transaction details.

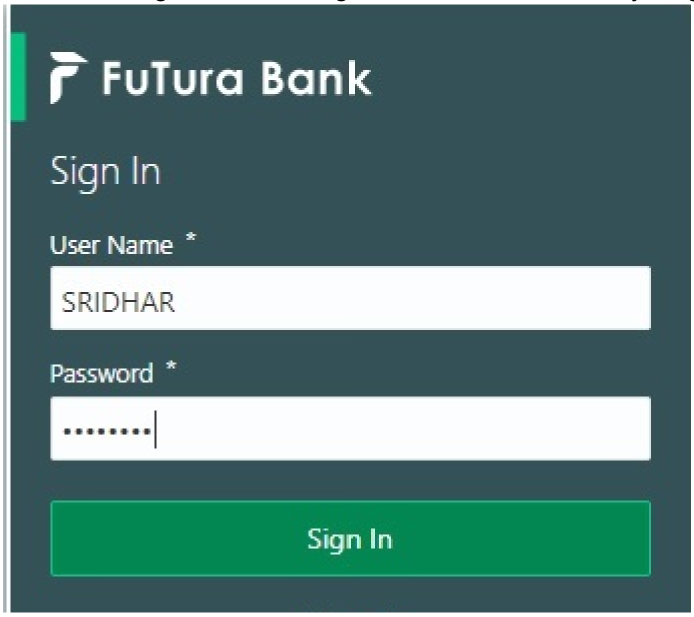
In case of requests received through SWIFT MT765, the task will be created in DE stage directly and the fields will be populated based on the incoming request.

Note

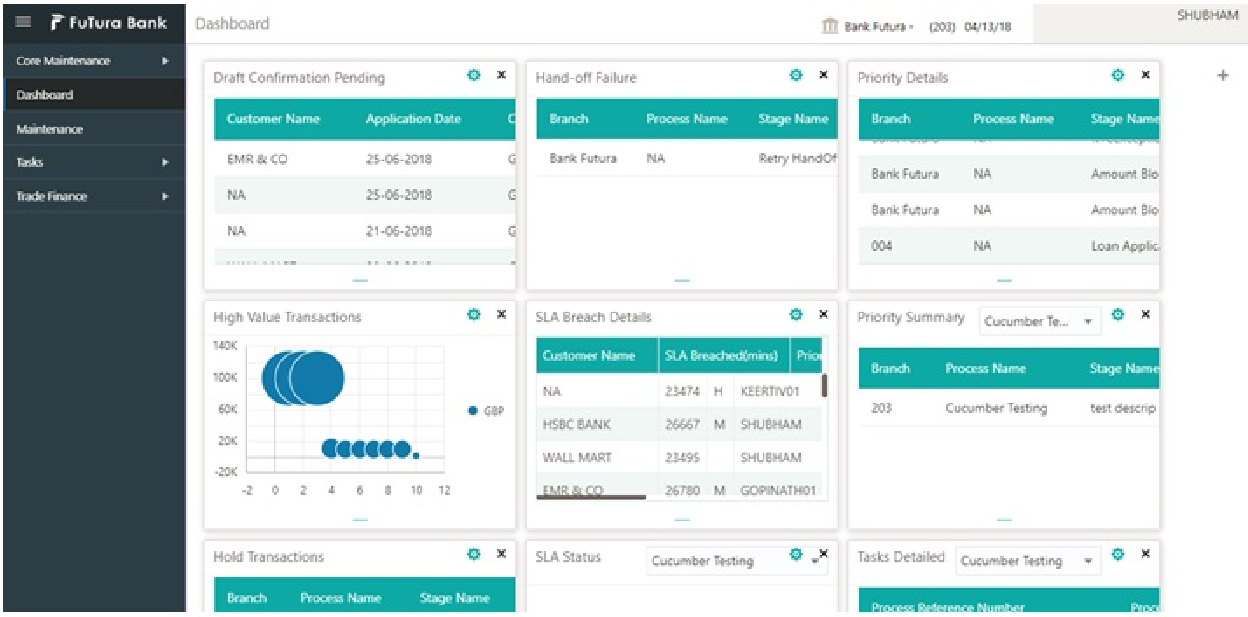
For expired line of limits, the task moves to “Limit Exception” stage under Free Tasks, on ‘Submit’ of DE Stage with the reason for exception as “Limit Expired”.

Do the following steps to acquire a task which completed the Registration and Scrutiny and currently at Data enrichment stage:

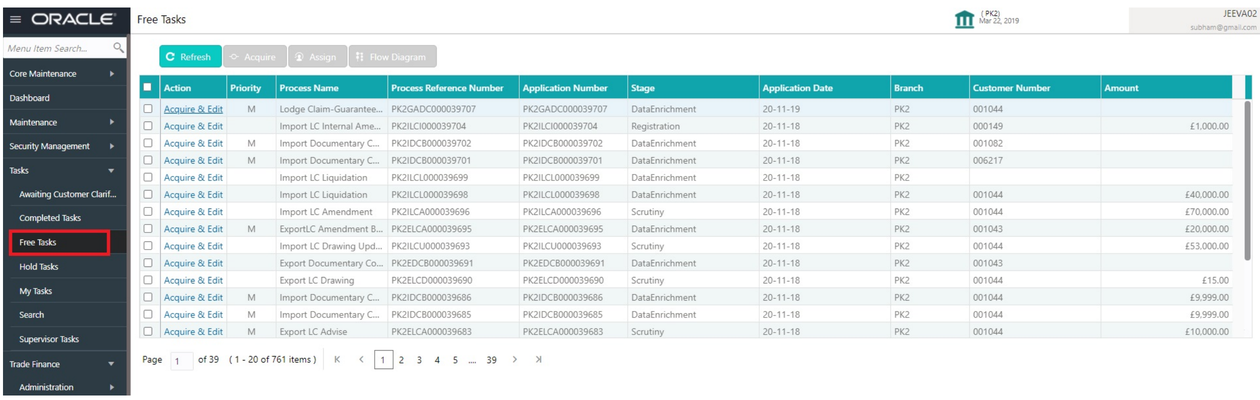
1. Using the entitled login credentials for scrutiny stage, login to the OBTFPM application.



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



3. Click **Trade Finance> Tasks> Free Tasks.**



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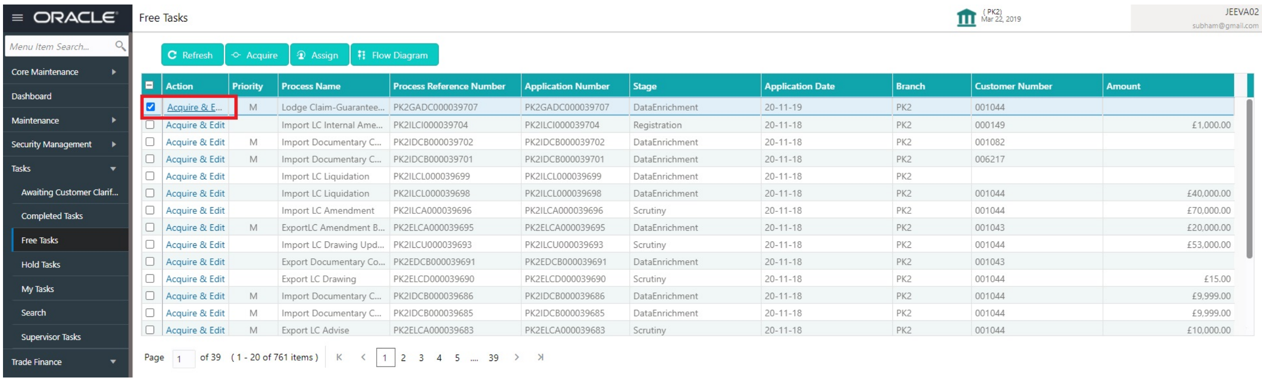
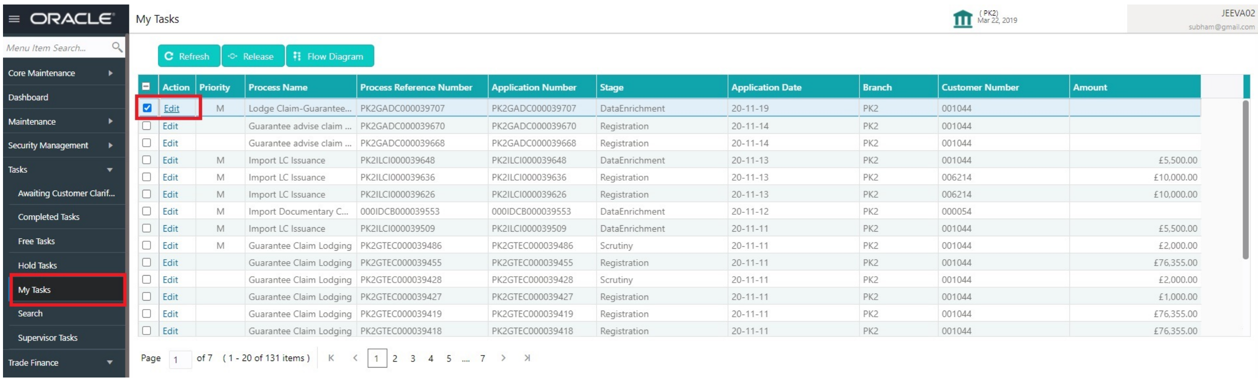
4. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.



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



The Data Enrichment stage has three sections as follows:

- Main Details
- Claim Details
- Document Details
- Additional Fields
- Additional Details
- Summary

Let's look at the details for Data Enrichment stage. User can enter/update the following fields as part of claim under Guarantee/SBLC - DE Stage. Some of the fields that are already having value from registration/online channels may not be editable.

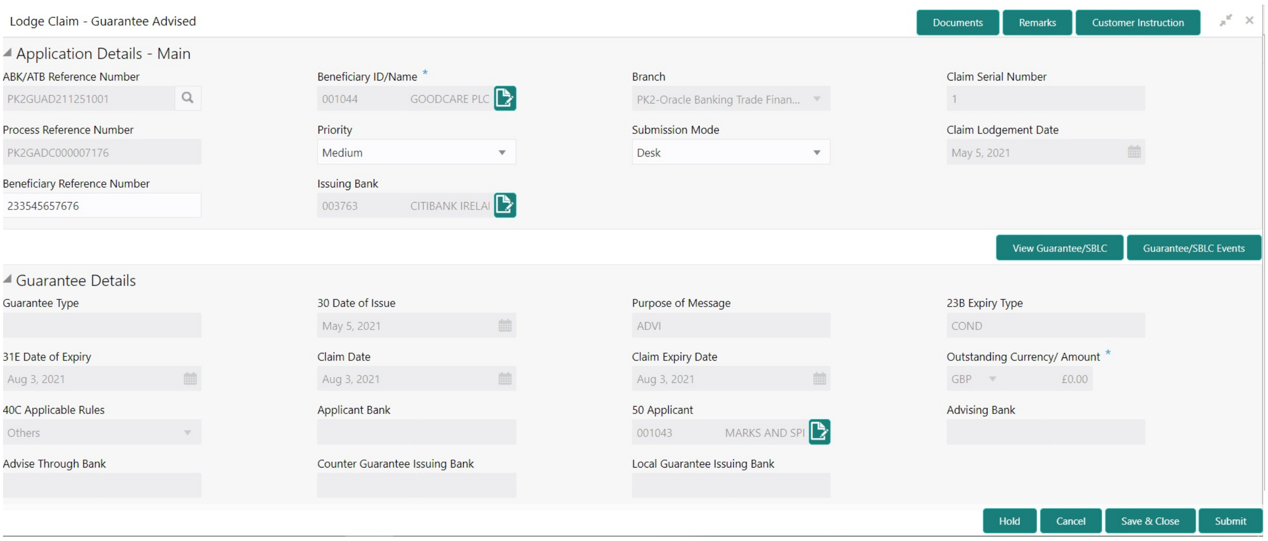
Main Details

Main details section has three sub section as follows:

- Application Details
- Guarantee Details

Application Details

All fields displayed under Application details section, would be read only except for the **Priority** field. Refer to Application Details for more information of the fields.



In case of SWIFT MT 765, the bank/ Financial institution can lodge a claim under a Guarantee/SBLC.

STP of MT 765 for Guarantee/SBLC advised is triggered when an incoming claim is received by the advising bank from the Presenting bank or Advise through bank or Beneficiary through SWIFT.

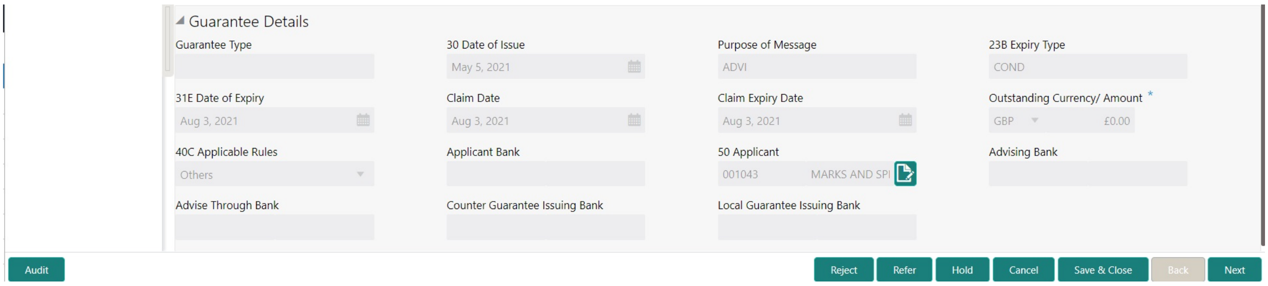
The incoming MT 765 should be parsed and the system should create a task directly in Data Enrichment Stage. Once the user clicks on the free task, the system should display the following fields.

Field	Description	Sample Values
ABK/ATB Reference Number	Read only field. System populates the undertaking number from the incoming SWIFT MT 765, Tag 21 Related Reference.	
Beneficiary ID/ Name	Read only field. System should populate the Applicant ID and Name and address from the underlying Guarantee/SBLC details from Back office.	001345
Branch	Read only field. System defaults the branch code as applicable.	203-Bank Futura -Branch FZ1
Claim Serial Number	Read only field. System defaults the claim serial number from Guarantee/ SBLC Advise. This should be the latest claim number available in back-end system +1.	
Process Reference Number	Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.	203GTEISS000 001134
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

Field	Description	Sample Values
Submission Mode	System should default the submission mode as SWIFT.	SWIFT
Claim Lodgement Date	Read only field. By default, the application will display branch’s current date. **Note** Future date and back date selection is not allowed.	04/13/2018
Beneficiary Reference Number	System populates Tag 23 - Beneficiary Reference Number from the Incoming MT 765.	

Guarantee Details

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



In case of SWIFT MT 765, the system displays the following fields.

Field	Description	Sample Values
Guarantee Type	Read only field. System defaults the value from underlying Guarantee/ SBLC Advised.	ADVP
Date of Issue	Read only field. System defaults the value from underlying Guarantee/ SBLC Advised.	04/13/18
Purpose of message	Read only field. System defaults the purpose of message from underlying Guarantee/ SBLC Advised.	
Expiry Type	Read only field. System defaults the value from underlying Guarantee/ SBLC Advised.	
Date Of Expiry	Read only field. System defaults the expiry date from underlying Guarantee/ SBLC Advised.	09/30/18

Field	Description	Sample Values
Claim Date	Read only field. System defaults the claim date from underlying Guarantee/ SBLC Advised.	04/13/2018
Claim Expiry Date	Read only field. System defaults the claim expiry date from underlying Guarantee/ SBLC Advised.	04/13/2018
Outstanding Currency/ Amount	Read only field. System defaults the outstanding currency and amount from underlying Guarantee/ SBLC Advised.	
Applicable Rules	Read only field. System defaults the value from underlying Guarantee/ SBLC Advised.	URDG - Uniform rules for demand guarantees
Applicant Bank	Read only field. System defaults the applicant bank details from underlying Guarantee/ SBLC Advised.	001345 Nestle
Applicant	Read only field. System defaults the applicant from underlying Guarantee/ SBLC Advised.	001345 Nestle
Advising Bank	Read only field. System defaults the advising bank from underlying Guarantee/ SBLC Advised.	001343 - Bank Of America
Advising Through Bank	Read only field. System defaults the advising through bank from underlying Guarantee/ SBLC Advised.	Advising Bank Reference
Counter Guarantee Issuing Bank	Read only field. System defaults the counter guarantee issuing through bank from underlying Guarantee/ SBLC Advised.	
Local Guarantee Issuing Bank	Read only field. System defaults the local guarantee issuing bank from underlying Guarantee/ SBLC Advised.	

Action Buttons

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

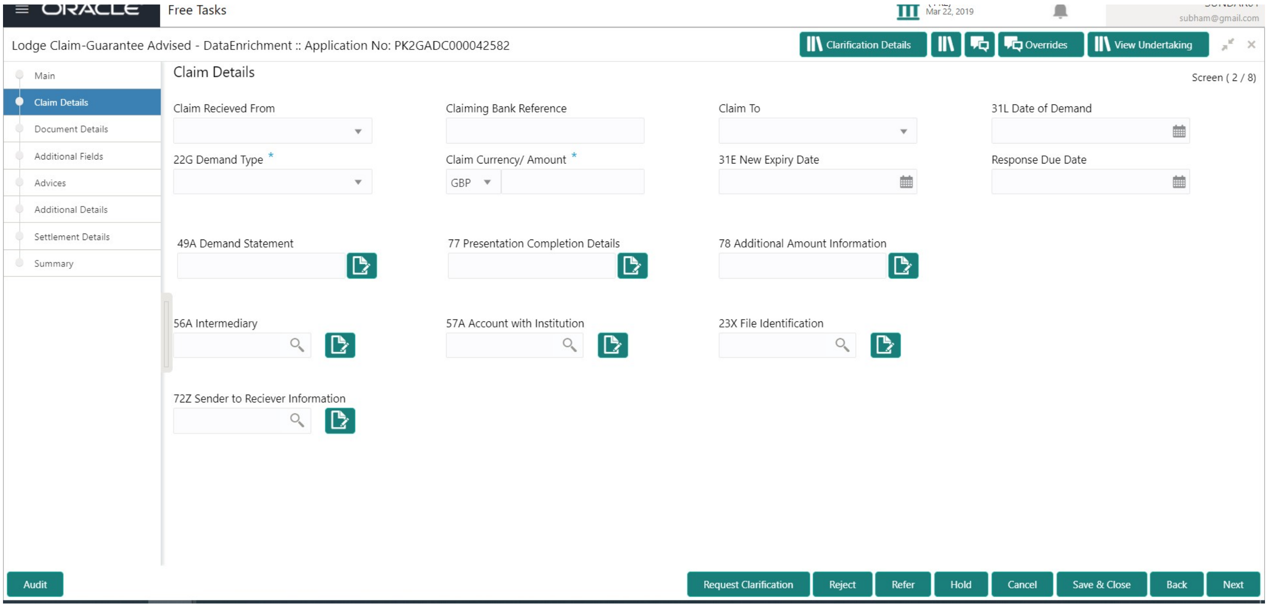
Field	Description	Sample Values
Request Clarification	Not applicable for this process.	

Field	Description	Sample Values
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Cancel	The user can cancel the details captured in the screen.	
Hold	The details provided will be on hold. 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: • 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	On click of Refer, 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. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others.	
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.	
Clarification Details	Not applicable for this process.	

Field	Description	Sample Values
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	
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.	
Customer Instructions	Click to view/ input the following • **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. • **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
Common Group Message	Click Common Group Message button, to send MT799 and MT999 messages from within the task.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Claim Details

As a part of Claim Details user can enter and scrutinize the claim details under a Guarantee/SBLC - DE stage.



Field	Description	Sample Values
Claim Received From	User can select the option from whom the claim has been received from the drop-down list. The values are: • Beneficiary • Local Issuing Bank • Counter Issuing Bank • Advising Bank • Presenting Bank	
Claiming Bank Reference	The user can enter the claiming bank reference details, if the claimed is not received from Beneficiary. In case of SWIFT MT 765, system populates the Tag 20, Transaction Reference Number from the incoming MT 765.	
Date of Demand	User can enter the date on which the demand is issued by the beneficiary. **Note** The date cannot be a future date. In case of SWIFT MT 765, system populates the Tag 31L, Transaction Reference Number from the incoming MT 765.	

Field	Description	Sample Values
Demand Indicator	Read Only field. System defaults value from Guarantee /SBLC Advise.	
Claim To	User can select the party to which the claim has to be sent from the drop-down list. The values are: • Applicant • Counter Issuing Bank • Issuing Bank	
Demand Type	This field specifies the type of demand. The values are: • Extend or Settle • Settle • Extend In case of SWIFT MT 765, system populates the Tag 22G, Transaction Reference Number from the incoming MT 765.	
Claim Currency/ Amount	User can select the currency for claim and enter the claim amount.	
New Expiry Date	System defaults value from Guarantee /SBLC Advise. The New Expiry Date is not earlier than the Expiry Date or not earlier than Branch Date. In case of SWIFT MT 765, system populates the Tag 31E, Transaction Reference Number from the incoming MT 765.	
Response Due Date	User can enter the Response Due Date.	
Demand Statement	This field specifies the narrative text that constitutes the demand. In case of SWIFT MT 765, system populates the Tag 49A, Transaction Reference Number from the incoming MT 765.	

Field	Description	Sample Values
Presentation Completion Details	The user can enter the presentation of completion details, if demand statement is provided. This field specifies information about the presentation documentation. If the presentation is incomplete, this must specify how the presentation will be completed In case of Online, this field is defaulted from the incoming message. In case of Non-Online, as per the value in the incoming message. In case of SWIFT MT 765, system populates the Tag 77, Transaction Reference Number from the incoming MT 765.	
Additional Amount Information	The user can enter the details on additional amount in this field. In case of Online, this field is defaulted from the incoming message. In case of Non-Online, as per the value in the incoming message. In case of SWIFT MT 765, system populates the Tag 78, Transaction Reference Number from the incoming MT 765.	
Intermediary	The user can enter the Intermediary bank details. This field specifies the financial institution through which the amount claimed must pass to reach the account with institution. In case of Online, this field is defaulted from the incoming message. In case of Non-Online, as per the value in the incoming message. In case of SWIFT MT 765, system populates the Tag 56A, Transaction Reference Number from the incoming MT 765.	
Account with Institution	The user can enter the details of Account with Institution. This field specifies the financial institution at which the amount claimed is to be settled. In case of Online, this field is defaulted from the incoming message. In case of Non-Online, as per the value in the incoming message. In case of SWIFT MT 765, system populates the Tag 57A, Transaction Reference Number from the incoming MT 765.	

Field	Description	Sample Values
File Identification	The user can enter the File identification. This field identifies the type of delivery channel and associated file name or reference. In case of Online, this field is defaulted from the incoming message. In case of Non-Online, as per the value in the incoming message. In case of SWIFT MT 765, system populates the Tag 23X, Transaction Reference Number from the incoming MT 765.	
Sender to Receiver Information	The user can enter the Sender to receiver information from the incoming message in this field. In case of Online, this field is defaulted from the incoming message. In case of Non-Online, as per the value in the incoming message. In case of SWIFT MT 765, system populates the Tag 72Z, Transaction Reference Number from the incoming MT 765.	

Action Buttons

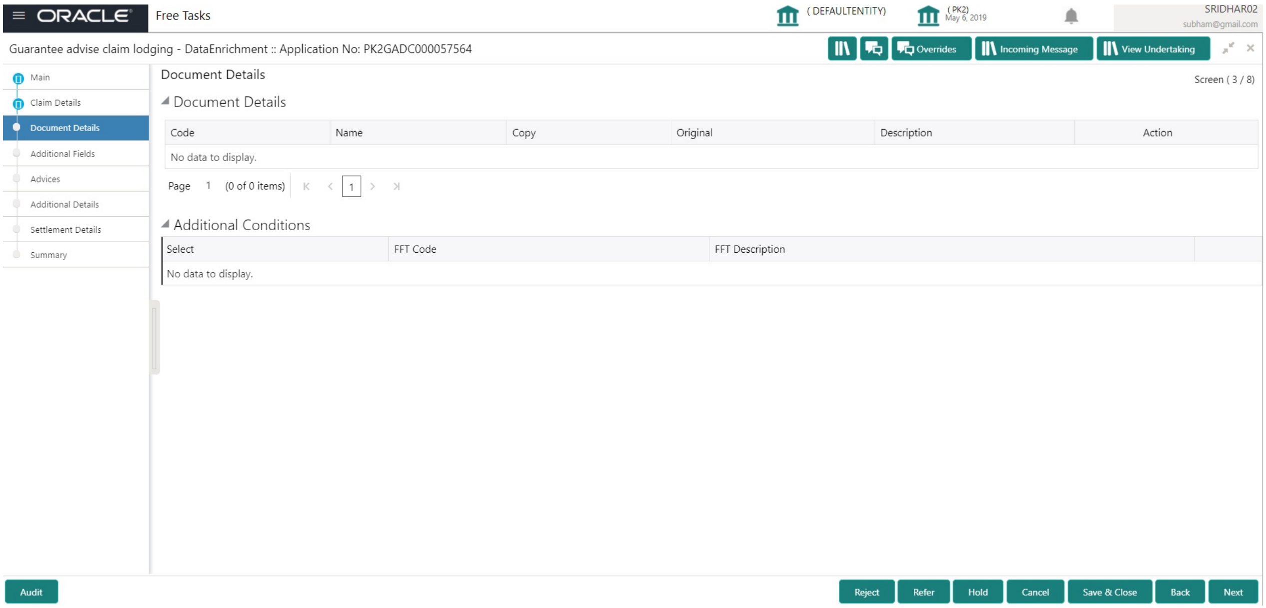
Use action buttons based on the description in the following table:

Field	Description	Sample Values
Request Clarification	Not applicable for this process.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system and the task may be terminated or moved to Reject Approval Stage. Reject Codes: • 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	On click of Refer, 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. Refer Codes: • 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	
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.	
Clarification Details	Not applicable for this process.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	
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.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Document Details

In Document Details, the system defaults the document required under claim. If the claim is received to a Presenting bank, then the documents tile will be read only (non editable).



If documents to be submitted were provided in the Guarantee Advise they will be defaulted, else the user cannot capture the documents submitted under the claim in this documents hop.

All the Document Details fields are also applicable for STP and are processed in the same manner.

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

Field	Description	Sample Values
Code	User can enter the document code.	
Name	System defaults the document name based on the document code.	
Copy	Copy of the document.	
Original	Original claim document.	
Description	User can enter the description of the document if any.	
Documents Received	User can enter the details of document received.	

Action Buttons

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

Field	Description	Sample Values
Request Clarification	Not applicable for this process.	

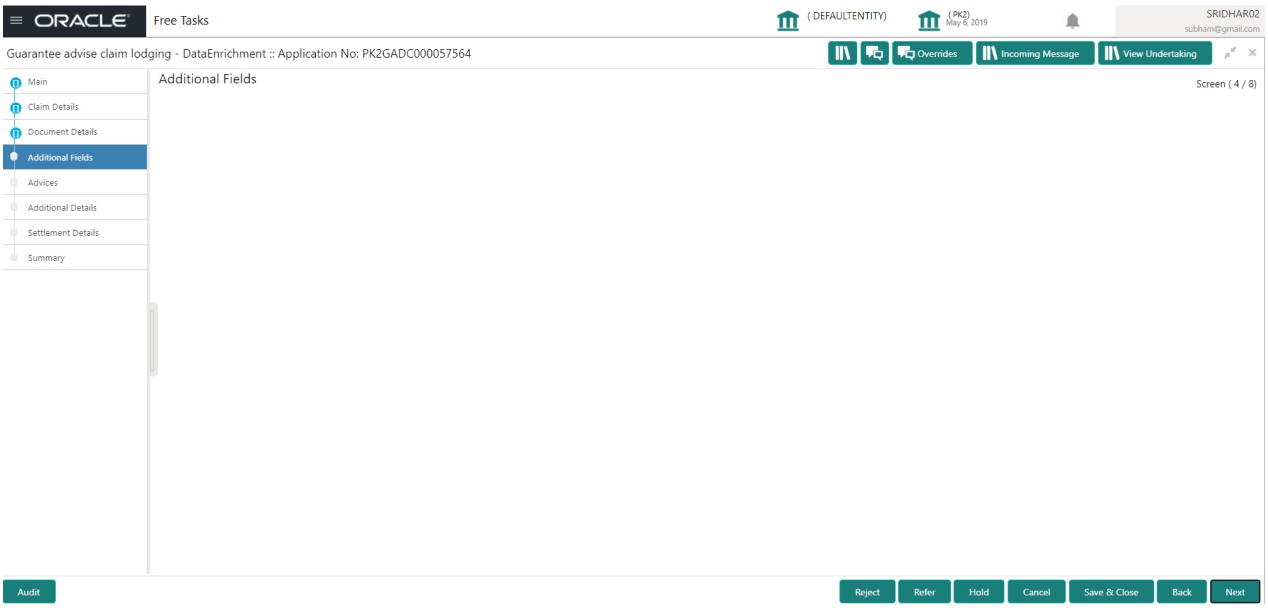
Field	Description	Sample Values
Reject	On click of Reject, user must select a reject reason from a list displayed by the system and the task may be terminated or moved to Reject Approval Stage. Reject Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • 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	On click of Refer, 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. Refer Codes: • 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	
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.	
Clarification Details	Not applicable for this process.	

Field	Description	Sample Values
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	
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.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Additional Fields

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

The Additional fields are also applicable for STP and are processed in the same manner.



Action Buttons

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

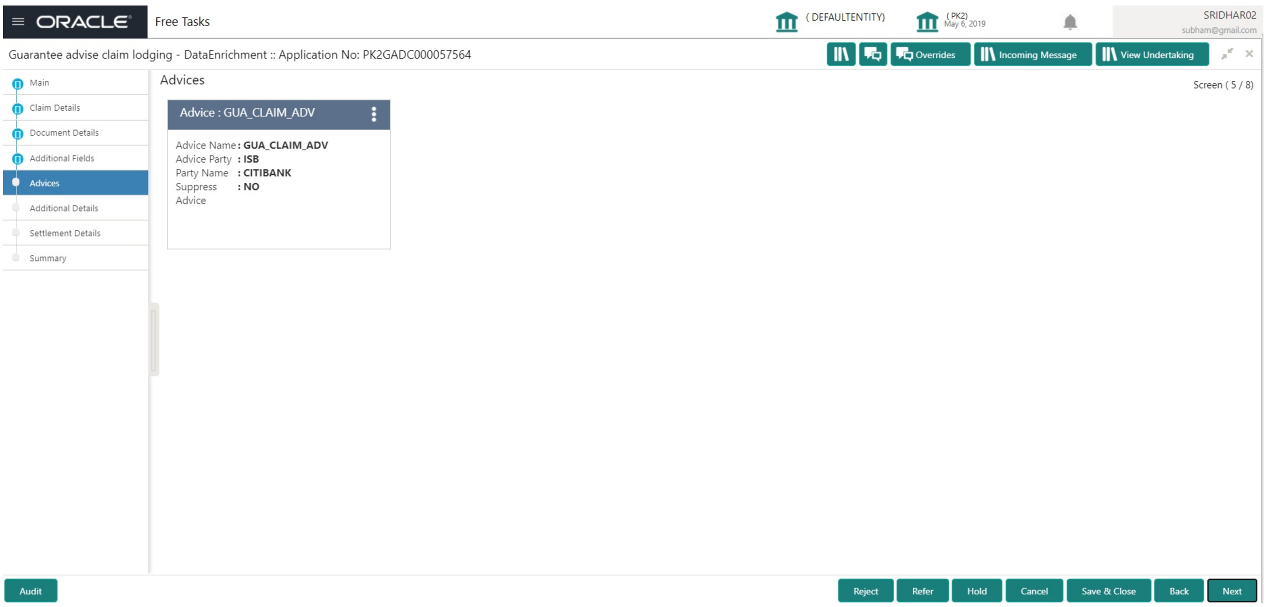
Field	Description	Sample Values
Request Clarification	Not applicable for this process.	
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • 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	On click of Refer, 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. Refer Codes: • 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 Advise Amendment inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Clarification Details	Not applicable for this process.	
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.	

Field	Description	Sample Values
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	
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.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Advices

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

All the Advices maintained are also applicable for STP and are processed in the same manner.

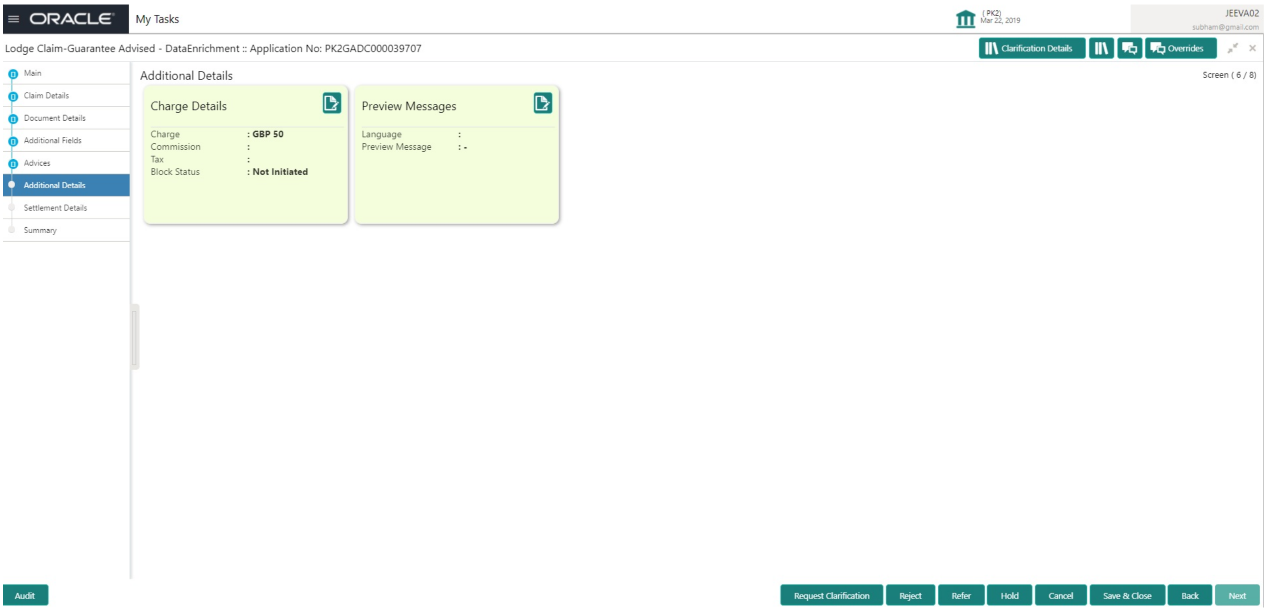


Additional Details

As a part of Additional details section, Guarantee /Standby Advise claim may have impact on the Limits & Collaterals.

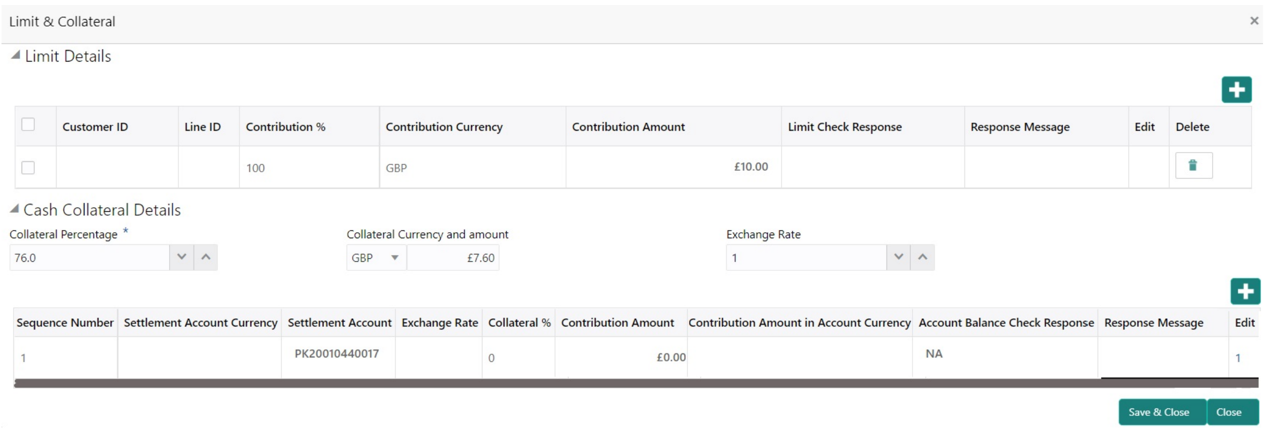
If any of the fields in the financial section of the pop up screen is checked then the limits and collaterals screen will be enabled.

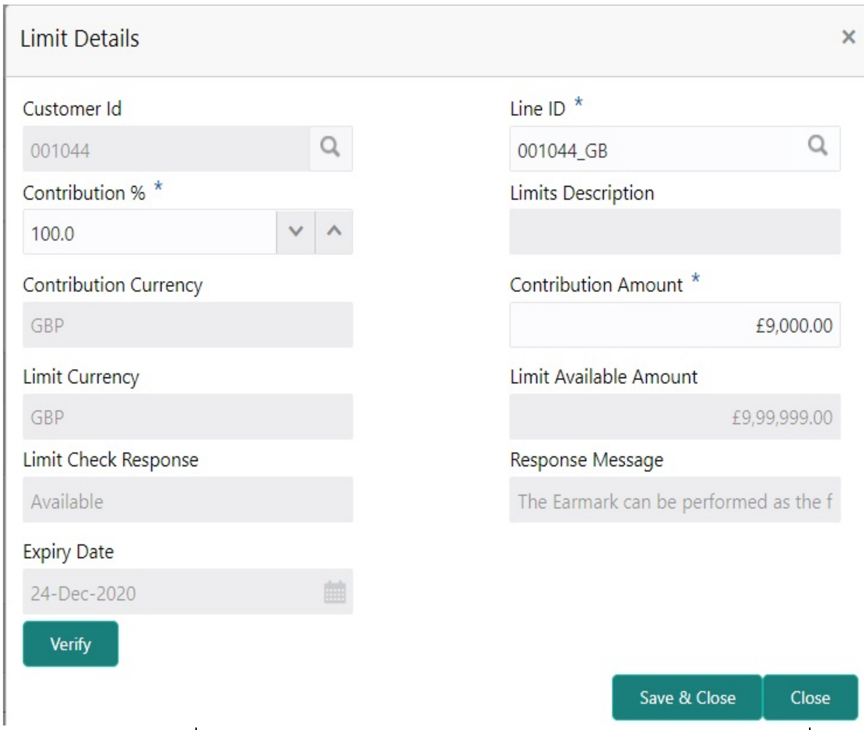
All the Additional Details are also applicable for STP and are processed in the same manner.

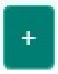


Limits & Collateral

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

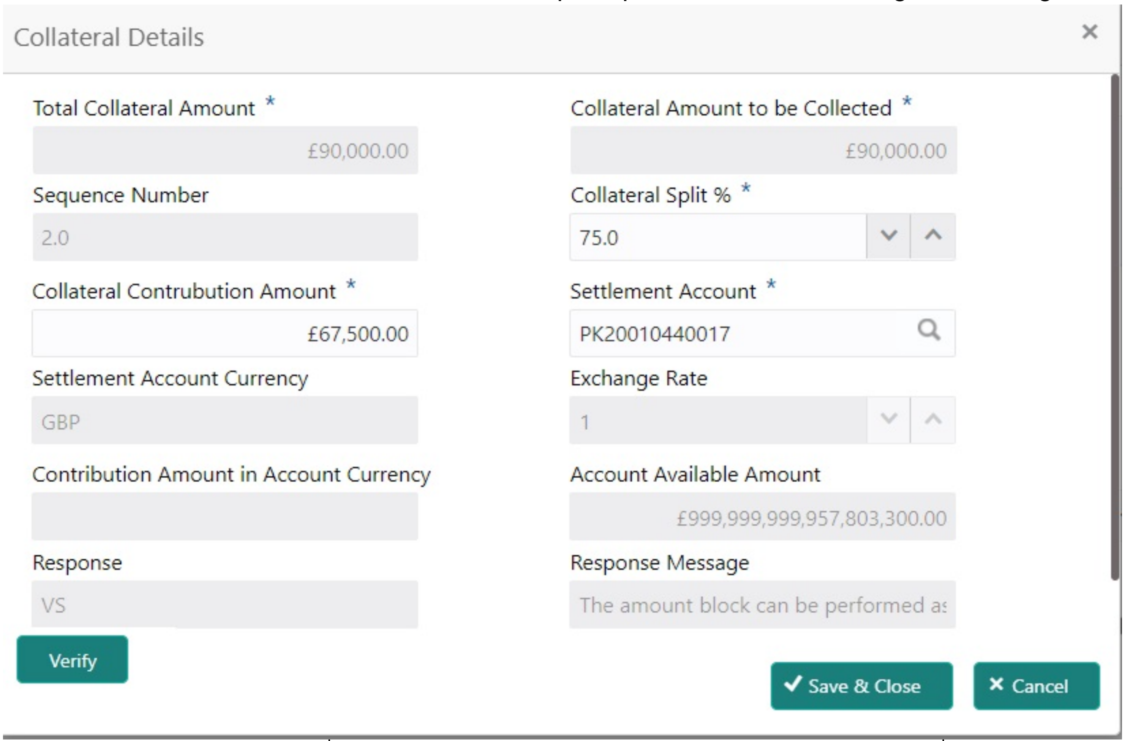




Field	Description	Sample Values
Plus Icon 	Click plus icon to add new Limit Details.	
Delete Icon 	Click delete icon to remove any existing Limit Details.	
Edit	Click edit link to edit the limit details.	
Limit Details Click + plus icon to add new limit details. Below fields are displayed on the Limit Details pop-up screen, if the user clicks plus icon.		
Customer ID	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.	

Field	Description	Sample Values
Contribution%	System will default this to 100% and user can modify. 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.	
Contribution Currency	The guarantee currency will be defaulted in this field.	
Contribution Amount	Contribution amount will default based on the contribution %.	
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. This field displays the value, if you click **Verify** button.	
Limit Check Response	Response can be ‘Success’ or ‘Limit not Available’. This field displays the value, if you click **Verify** button.	
Response Message	Detailed Response message. This field displays the value, if you click **Verify** button.	
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:Charge Details



Field	Description	Sample Values
Cash Collateral Details		
Collateral Percentage	System populates the Collateral % maintained in the Customer / Product for the counter party of the contract. User can modify the collateral percentage.	
Collateral Currency and amount	System populates the contract currency as collateral currency by default. User can modify the collateral Currency and amount.	
Exchange Rate	System populates the exchange rate maintained. User can modify the collateral Currency and amount. System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified.	
Click + plus icon to add new collateral details. Below fields are displayed on the Collateral Details pop-up screen, if the user clicks plus icon.		
Total Collateral Amount	Read only field. This field displays the total collateral amount provided by the user.	
Collateral Amount to be Collected	Read only field. This field displays the collateral amount yet to be collected as part of the collateral split.	

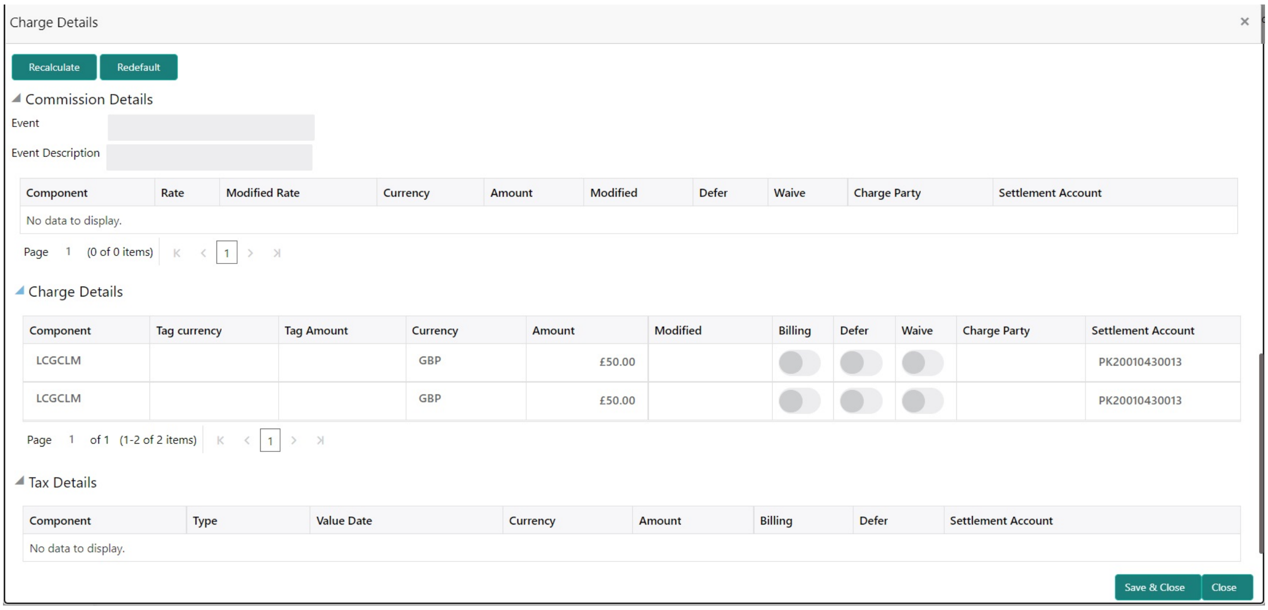
Field	Description	Sample Values
Sequence Number	Read only field. The sequence number is auto populated with the value, generated by the system.	
Collateral Contribution Amount	Collateral contribution amount will get defaulted in this field. The collateral % maintained for the customer is defaulted into 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.	
Collateral Split %	Specify the collateral split% to be collected against the selected settlement account.	
Collateral Contribution Amount	Collateral contribution amount will get defaulted in this field. 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.	
Settlement Account	Select the settlement account for the collateral.	
Settlement Account Currency	Select the Settlement Account Currency.	
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	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.	
Verify	Click to verify the account balance of the Settlement Account.	
Save & Close	Click to save and close the record.	

Field	Description	Sample Values
Cancel	Click to cancel the entry.	
Below fields appear in the **Cash Collateral Details** grid along with the above fields.		
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.	
Account Balance Check Response	Response for account balance check is defaulted in this field.	
Delete Icon 	Click minus icon to remove any existing Collateral Details.	
Edit Link	Click edit link to edit any existing Collateral Details.	

Charge Details

Click on **Default Charges** button to the default commission, charges and tax if any will get populated.

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



Commission Details

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

Field	Description	Sample Values
Event	Read only field. This field displays the event name.	
Event Description	Read only field. This field displays the description of the event.	
Component	Select the commission component	
Rate	Defaults from product. User can change the rate, if required.	
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. User can modify the value, if required.	
Modified Amount	User can enter a new amount in 'Modified amount' field. This will be the new charge for the modified component.	
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.	

Charge Details

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

Field	Description	Sample Values
Tag Currency	Defaults the tag currency in which the charges have to be collected.	
Tag Amount	Tag amount that is maintained under the product code.	
Component	Charge Component type.	
Currency	Defaults the currency in which the charges have to be collected.	

Field	Description	Sample Values
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 amount' field. This will be the new charge for the modified component.	
Billing	If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically checked in OBTFPM. The user can not select/de-select the check box if it is de-selected by default. This field is disabled, if 'Defer' toggle is enabled.	
Defer	If charges have to be deferred and collected at any future step, this check box has to be selected. 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 select/de-select the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.	
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.	

Tax Details

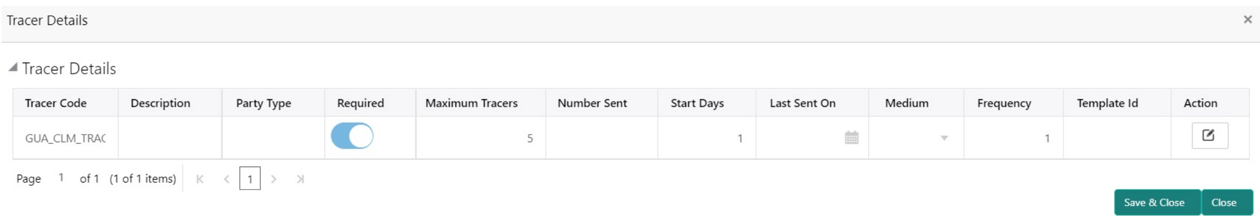
The tax component defaults if maintained in the product level. Tax detail cannot be updated by you and any change in Tax amount on account of modification of charges/ commission will be available on click of Re-Calculate button or on hand off to back-end system.

Following Tax Details will be displayed:

Field	Description	Sample Values
Component	Tax Component type.	
Type	Type of tax Component.	
Value Date	This field displays the value date of tax component.	
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 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	Details of the settlement account.	

Tracers Details

The bank users can capture these tracer details for Claim Lodgment in Guarantee and should send the tracers to the customer till its Settled / Extended / Rejected / Injunction.

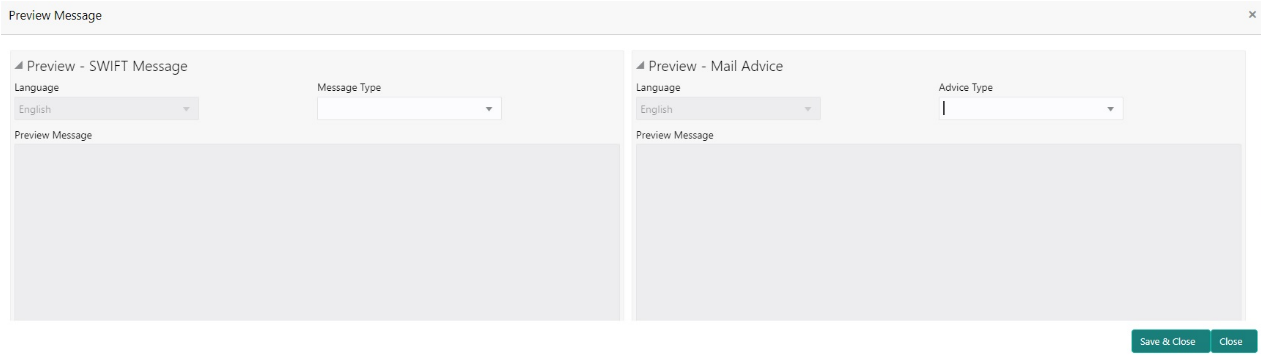


Field	Description	Sample Values
Tracer Code	Read only field. Tracer code is defaulted by the system maintained in the Product level.	
Description	Read only field. Description of the racer code is auto populated.	
Party Type	Specify the party type or click ‘Search’ to search and select the party type from the lookup.	
Required	Enable this option, if the respective tracer is required.	

Field	Description	Sample Values
Maximum Tracers	Specify the value for maximum number of tracers to be sent. Maximum allowed is 99 exceeding the same system should prompt an error message for the same “Maximum number of numerals allowed is: 2” and should clear the field to enter the correct value by the user. Maximum Tracers cannot be less than the “Number Sent”, system needs to validate the same.	
Number Sent	Number Sent is defaulted by the System with the value, where the number of tracers sent so far. And it cannot be greater than the “Maximum Tracers”.	
Start Days	Specify the number of days after which the tracer has to be sent from the Tracer Start date. It should be positive numeric value.	
Last Sent On	Read only field. Tracer last sent date is defaulted by the system.	
Medium	Select the medium in which the Tracer has to be generated. It lists all the possible mediums maintained in the system. The options are: • SWIFT MAIL	
Frequency	Specify the medium in which the Tracer has to be generated. It should be positive numeric value.	
Template ID	Specify the party type or click ‘Search’ to search and select the template ID in which the tracer has to be generated from the lookup. It is a lookup which lists all the possible templates maintained in the system. Template ID is nothing but the data that goes in Tag 79 in MT799. This template ID is applicable only for medium 'SWIFT' Template lookup displays all the template ids applicable for the given Tracer Code.	
Action	Click the Edit icon to edit the tracer details.	

Preview Message

Based on the guarantee Claim captured in the previous screen, the preview message simulated from the back office and the user can view a preview of the outgoing SWIFT message and advise.



Field	Description	Sample Values
Preview SWIFT Message		
Currency	The tax currency is the same as the commission.	
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.	
Message Type	Display a preview of the advice.	
Following fields will have values on receipt of customer response.		
Customer Response	User can enter the response received from customer. If the response is received online, the response is auto populated in this field by the system	
Customer Remarks	Remarks from the customer for the draft	
Response Date	Customer Response received date.	
Default Email list	Default email address of the customer.	
Add Recipients	Enables to add more recipients for the customer response.	

Action Buttons

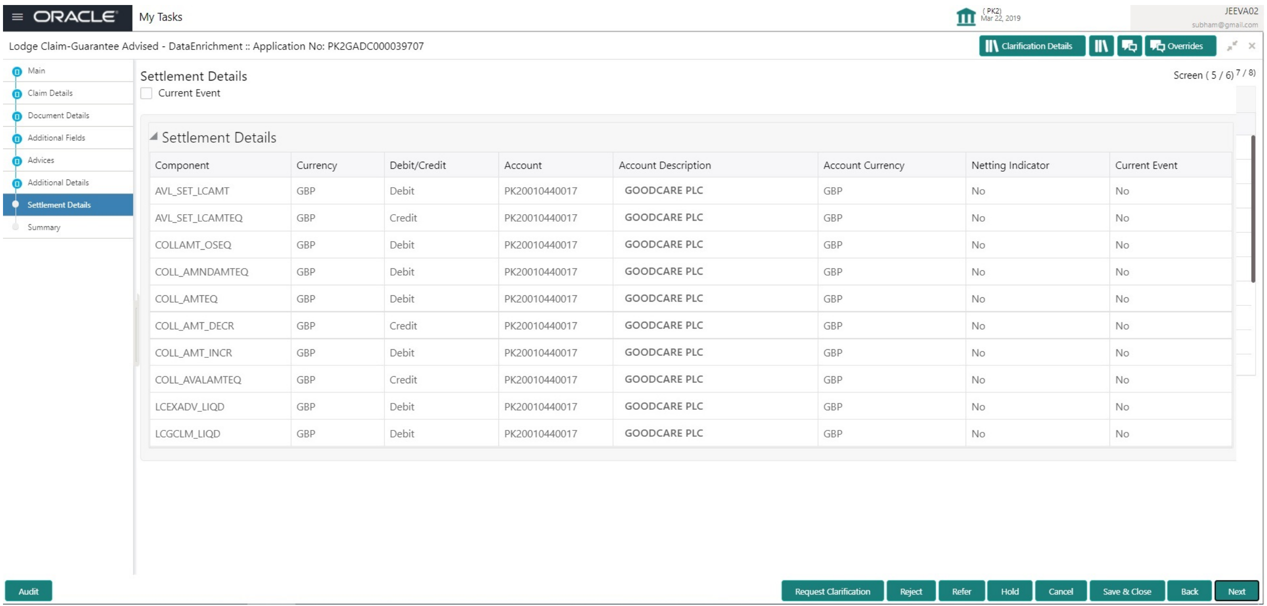
Use action buttons based on the description in the following table:

Field	Description	Sample Values
Submit	Task will get moved to next logical stage of Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Cancel	Cancel the Scrutiny Stage Inputs.	
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.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: • 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.	
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.	
Clarification Details	Not applicable for this process.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	

Field	Description	Sample Values
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.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Settlement Details

All the Settlement Details fields are also applicable for STP and are processed in the same manner.



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

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.	

Field	Description	Sample Values
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
Request Clarification	Not applicable for this process.	
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes: • 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	On click of Refer, 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. Refer Codes: • 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 Advice Scrutiny inputs.	

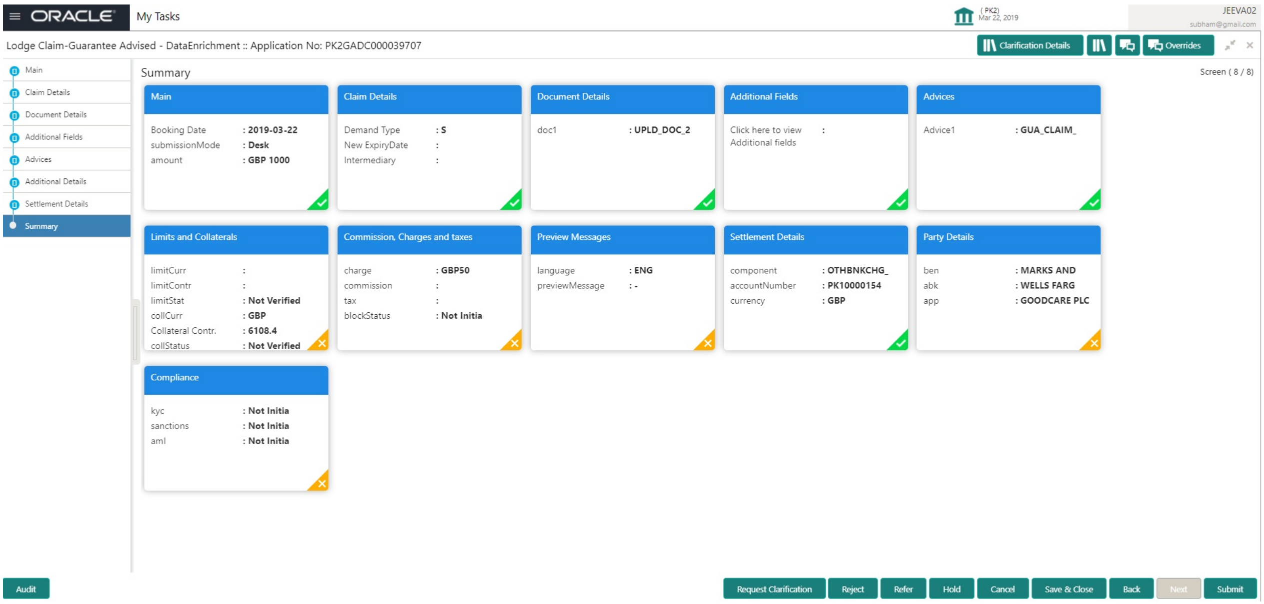
Field	Description	Sample Values
Next	Task will get moved to next logical stage of Guarantee Amendment Advise. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On clicking the Back, system should move the task to the previous segment.	
Clarification Details	Not applicable for this process.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	
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.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Summary

User can review the summary screen for Guarantee Advised Claim request.

Log in to Oracle Banking Trade Finance Process Management (OBTFPM) system, user can see the summary tiles. The tiles must display a list of important fields with values.

The Summary stage is also applicable for STP and are processed in the same manner.



Tiles Displayed in Summary

- Main Details - User can view the application details and Guarantee/ Standby details. User can modify the details if required.
- Party Details - User can view the party details like beneficiary, advising bank etc.
- Claim Details - User can view the claim details.
- Documents Details- User can view the Document details.
- Additional Fields - User can view the additional fields.
- Limits and Collaterals - User can view the limits and collateral details. User can modify any field 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 view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Settlement Details - User can view the settlement details.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Accounting Entries - User can view the accounting entries.

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.

Action Buttons

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

Field	Description	Sample Values
Request Clarification	Not applicable for this process.	

Field	Description	Sample Values
Submit	Task will get moved to next logical stage of Guarantee Advise Claim. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.	
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes: • 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	On click of Refer, 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. Refer Codes: • 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 Advice Scrutiny 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 clicking the Back, system should move the task to the previous segment.	
Clarification Details	Not applicable for this process.	

Field	Description	Sample Values
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. **Note** Not applicable for STP of SWIFT MT 765.	
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.	
Incoming Message	Clicking this button allows the user to see the message in case of STP of incoming MT 767.	
View Undertaking	Clicking this button allows the user to view the undertaking details.	

Multi Level Approval

This stage allows the approver user to approve a Claim Lodged under Guarantee Advised Transaction.

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.

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

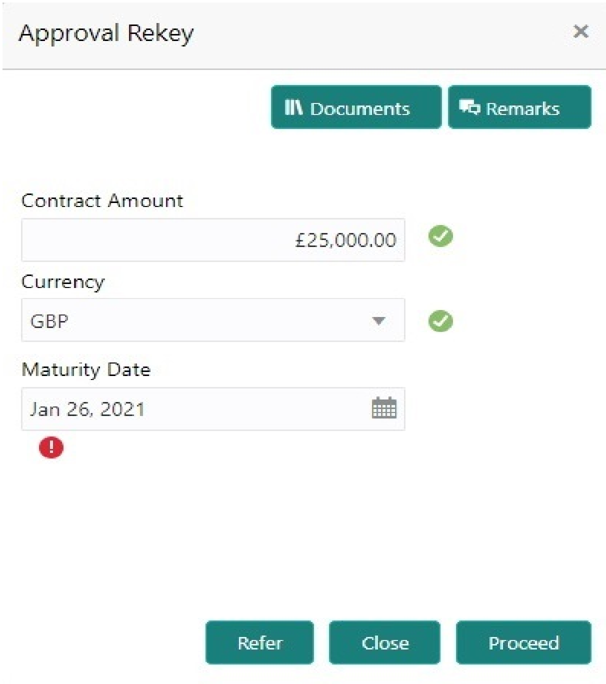
Re-Key Authorization

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

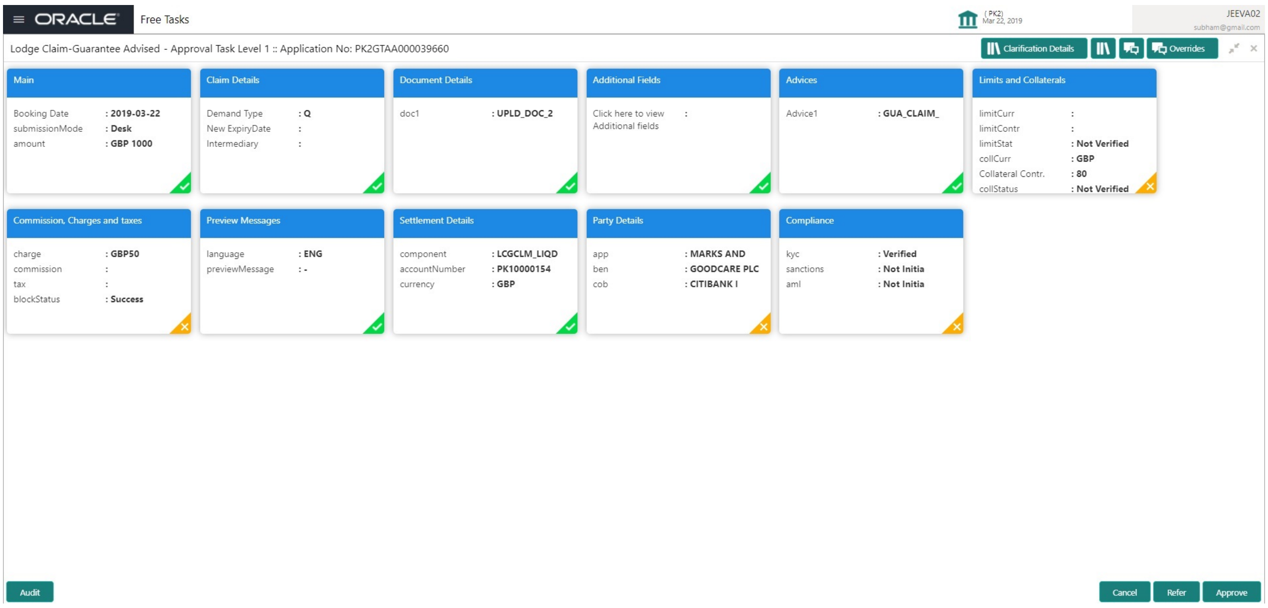
Re-key is applicable to the first approver in case of multiple approvers. All approvers will however be able see the summary tiles and the details in the screen by drill down from tiles.



In Approval the user can view a snapshot of the changes made to this transaction. Corresponding to the field the current latest Guarantee value and the new amended value is displayed.

Click Next to view the Summary

Summary



Tiles Displayed in Summary:

- Main Details - User can view the application details and Guarantee/ Standby details. User can modify the details if required.
- Party Details - User can view the party details like beneficiary, advising bank etc.

- Claim Details - User can view the claim details.
- Documents Details- User can view the Document details.
- Additional Fields - User can view the additional fields.
- Limits and Collaterals - User can view the limits and collateral details. User can modify any field 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 view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Settlement Details - User can view the settlement details.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Accounting Entries - User can view the accounting entries.

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.

Action Buttons

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

Field	Description	Sample Values
Reject	On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes: • 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.	
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.	

Field	Description	Sample Values
Refer	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. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 - Others	
Cancel	Cancel the Guarantee Advice 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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Reference and Feedback

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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