

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](#)

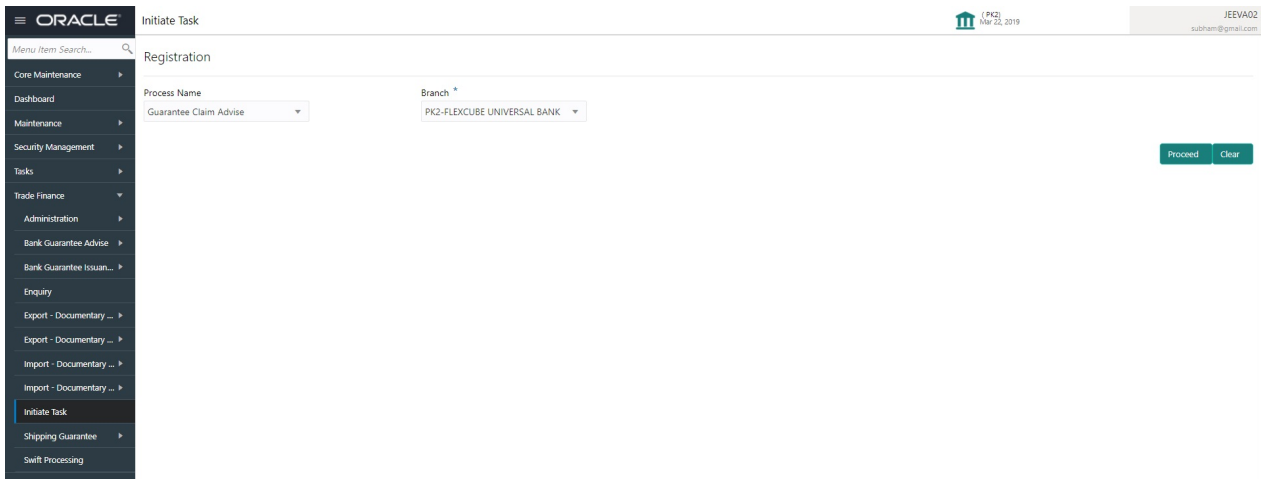
[Data Enrichment](#)

[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

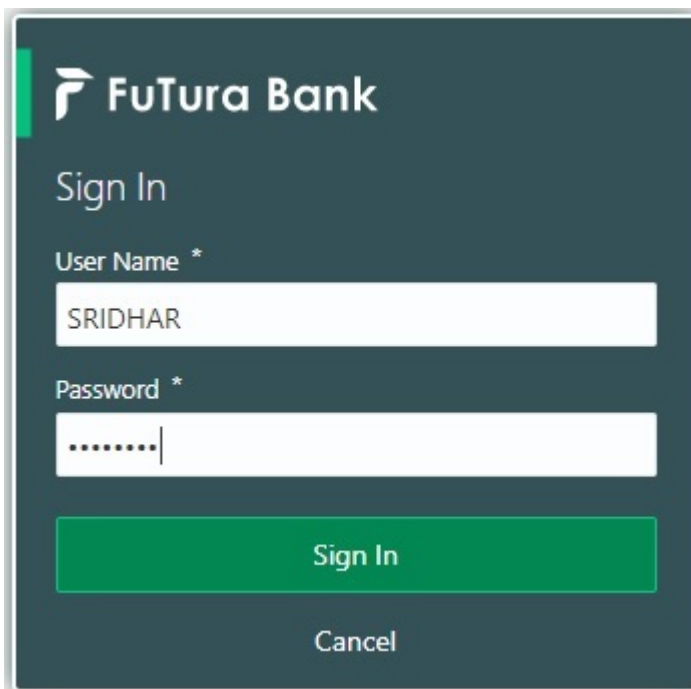
Use action buttons based on the description in the following table:

| 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

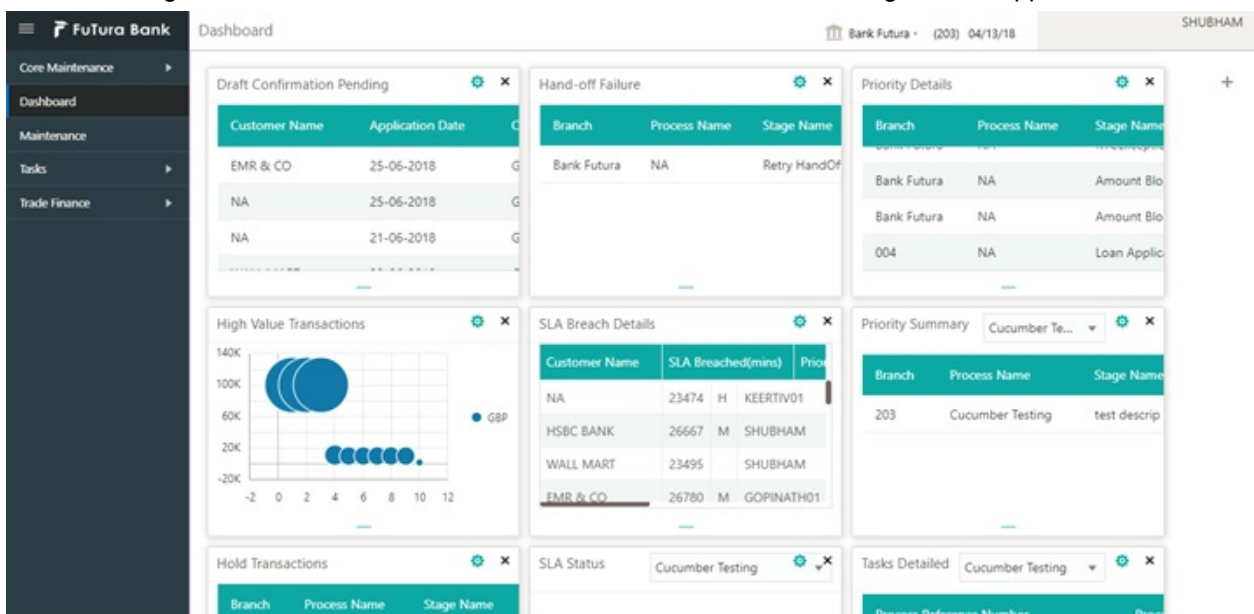
As a Registration user, you can register a claim request against the Guarantee/SBLC Advised.

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



The image shows the 'Sign In' screen of the FuTura Bank application. It features a dark blue header with the 'FuTura Bank' logo. Below the header, the text 'Sign In' is displayed. There are two input fields: 'User Name \*' with the value 'SRIDHAR' and 'Password \*' with masked characters. A green 'Sign In' button and a 'Cancel' button are at the bottom.

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 screenshot shows the Oracle Trade Finance dashboard. The left-hand menu is expanded, and the 'Lodge Claim - Guarantee' option is highlighted with a red box. The main content area displays three summary cards: 'SLA Status Summary' (No data to display), 'Priority Summary' (No data to display), and 'Draft Confirmation Pending' (No data to display). The 'Draft Confirmation Pending' card shows a table with columns for Customer ID, Application Date, Branch Name, and Branch Name. The table contains one row with the following data: Customer ID: 006214, Application Date: 09-10-2020, Branch Name: GBP, Branch Name: 200000, Branch Name: PK2ILC/000037233, Branch Name: Import LC Issuance, Branch Name: PK2.

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

## Application Details

The screenshot shows the 'Lodge Claim - Guarantee Advised' form. The form is divided into two main sections: 'Application Details - Main' and 'Guarantee Details'. The 'Application Details - Main' section contains fields for ABK/ATB Reference Number, Process Reference Number, Beneficiary Reference Number, Beneficiary ID/Name, Priority, Issuing Bank, Branch, Submission Mode, Claim Serial Number, and Claim Lodgement Date. The 'Guarantee Details' section contains fields for Guarantee Type, 30 Date of Issue, Claim Date, Applicant Bank, Counter Guarantee Issuing Bank, Purpose of Message, Claim Expiry Date, 50 Applicant, Local Guarantee Issuing Bank, 23B Expiry Type, Outstanding Currency/ Amount, and Advising Bank. The form includes buttons for 'View Guarantee/SBLC', 'Guarantee/SBLC Events', 'Hold', 'Cancel', 'Save & Close', and 'Submit'.

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.<br>System defaults the Beneficiary ID/ Name from Guarantee/ SBLC Advise.       | 001345        |

| Field                        | Description                                                                                                                                                                                                                                                        | Sample Values               |
|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|
| Branch                       | Customer's home branch will be displayed.<br>Read only field.<br>System defaults the Customer ID/ Name from Guarantee/ SBLC Advise.                                                                                                                                | 203-Bank Futura -Branch FZ1 |
| Claim Serial Number          | Read only field.<br>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.<br>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.                                                                                                        | High                        |
| Submission Mode              | Select the submission mode of Guarantee Advise request. By default the submission mode will have the value as 'Desk'.<br><b>Desk</b> - Request received through Desk<br><b>Fax</b> - Request received through Fax<br><b>Email</b> - Request received through Email | Desk                        |
| Claim Lodgement Date         | By default, the application will display branch's current date. Read only field.<br><br><b>Note</b><br>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.

SBLC/Guarantee Details

|                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>22D - Form of Undertaking</b><br><input type="text"/><br><b>Amount In Local Currency</b><br>GBP £1,000.00<br><b>23X - Narrative</b><br><input type="text"/><br><b>40C - Applicable Rules</b><br>URDG - Uniform rules for dema...<br><b>56A - Advising Bank</b><br>001041 WELLS FARGO L<br><b>39D - Additional Amounts</b><br><input type="text"/> | <b>Product Code</b><br>GUJR<br><b>22K - Type of Undertaking</b><br>CUST - Customs<br><b>23B - Expiry Type</b><br><input type="text"/><br><b>40C - Narrative</b><br><input type="text"/><br><b>Advise Through Bank</b><br><input type="text"/><br><b>Auto Close</b><br><input type="radio"/> | <b>Product Description</b><br>Guarantee Issuance Reissuance upon r<br><b>22A - Purpose of Message</b><br>ICCD - Issuance of counter-coun...<br><b>31E - Date of Expiry</b><br>Aug 3, 2021<br><b>50 - Applicant Name</b><br>000325 NATIONAL FREI<br><b>Counter SBLC/Guarantee Issuing Bank</b><br><input type="text"/><br><b>Closure Date</b><br>Sep 2, 2021 | <b>32B - Undertaking Amount</b><br>GBP £1,000.00<br><b>23X - File Identification</b><br><input type="text"/><br><b>35G - Expiry Condition/ Event</b><br><input type="text"/><br><b>59A - Beneficiary Name</b><br>001204 PK2WALKIN1<br><b>Local SBLC/Guarantee Issuing Bank</b><br><input type="text"/> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Hold Cancel Save & Close Submit

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

| Field                        | Description                                                                                                                                           | Sample Values                              |
|------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|
| Guarantee Type               | Read only field.<br>System defaults the value from Guarantee/ SBLC Advised.                                                                           | ADVP                                       |
| Date of Issue                | Read only field.<br>System defaults the value from Guarantee/ SBLC Advised.                                                                           | 04/13/18                                   |
| Purpose of message           | Read only field.<br>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.<br>System defaults the expiry type from Guarantee/ SBLC Advised. |                                            |
| Date Of Expiry               | Expiry date of the Guarantee Advised.<br>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.<br>System defaults the value from Guarantee/ SBLC Advised.                                                      | URDG - Uniform rules for demand guarantees |

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

## Miscellaneous

Lodge Claim - Guarantee Advised
Documents
Remarks
Customer Instruction

Application Details - Main

ABK/ATB Reference Number  
PK2GUAD211251001

Beneficiary ID/Name  
001044 GOODCARE PLC

Branch  
PK2-Oracle Banking Trade Finan...

Claim Serial Number  
1

Process Reference Number  
PK2GADC000007176

Priority  
Medium

Submission Mode  
Desk

Claim Lodgement Date  
May 5, 2021

Beneficiary Reference Number  
233545657676

Issuing Bank  
003763 CITIBANK IRELA

View Guarantee/SBLC
Guarantee/SBLC Events

Guarantee Details

Guarantee Type

30 Date of Issue  
May 5, 2021

Purpose of Message  
ADVI

23B Expiry Type  
COND

31E Date of Expiry  
Aug 3, 2021

Claim Date  
Aug 3, 2021

Claim Expiry Date  
Aug 3, 2021

Outstanding Currency/ Amount  
GBP £0.00

40C Applicable Rules  
Others

Applicant Bank

50 Applicant  
001043 MARKS AND SPI

Advising Bank

Advise Through Bank

Counter Guarantee Issuing Bank

Local Guarantee Issuing Bank

Hold
Cancel
Save & Close
Submit

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 | <p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |               |
| 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.                                                                                                                                                                                                                                                                                                                                                                                                                                               |               |
| <b>Action Buttons</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |               |
| Submit                | <p>On Submit, system will give confirmation message for successful submission. Task will get moved to next logical stage of Guarantee Advice.</p> <p>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.</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>                                                                                                                                                                                                                                                                                                                                                                             |               |
| Cancel                | Cancels the Guarantee Advice Registration stage inputs.                                                                                                                                                                                                                                                                                                                                                                                                                                                             |               |
| 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>                                                                                                                                                                                                                                                                                                                                      |               |
| Checklist             | <p>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.</p> <ol style="list-style-type: none"> <li>1. Signatures on Claim verified</li> <li>2. Documents are verified and uploaded</li> </ol>                                                                                                                                                                                                            |               |

## 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.

Documents

Document Status All

Letter of Credit

Pro-forma Invoice

Letter of Credit

Application Form

Close

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

Document

Document Type \*

Letter of Credit

Document Code \*

Insurance Policy

Document Title \*

Document Description

Remarks

Document Expiry Date

Drop files here or click to select

[Link Document](#)

Selected files: []

Upload Link Cancel

| Field         | Description                                                                       | Sample Values |
|---------------|-----------------------------------------------------------------------------------|---------------|
| Document Type | Select the Document type from list.<br>Indicates the document type from metadata. |               |

| Field                | Description                                                                       | Sample Values |
|----------------------|-----------------------------------------------------------------------------------|---------------|
| Document Code        | Select the Document Code from list.<br>Indicates the document Code from metadata. |               |
| Document Title       | Specify the document title.                                                       |               |
| Document Description | Specify the document description.                                                 |               |
| Remarks              | Specify the remarks.                                                              |               |
| Document Expiry Date | Select the document expiry date.                                                  |               |
| Link Document        | The link to link the existing uploaded documents from DMS to the workflow task.   |               |

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.

The screenshot shows the 'Link Document' pop-up window. It has a 'Fetch' button and a table with the following data:

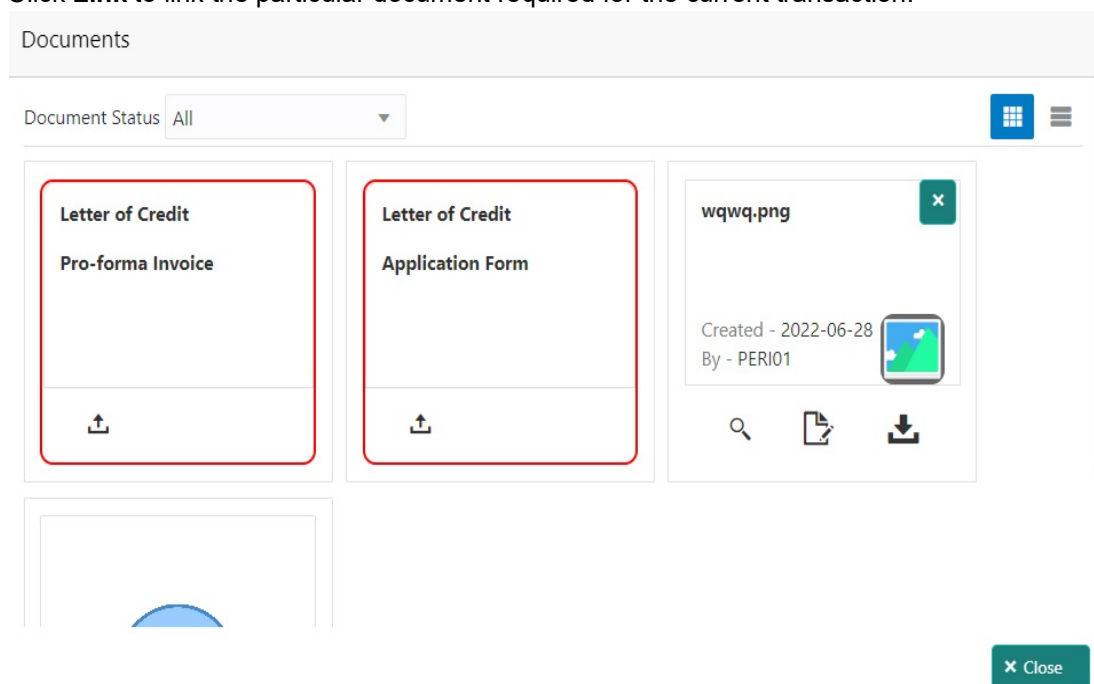
| Document Id | Customer Id | Document Type | Document Code | Link Document        |
|-------------|-------------|---------------|---------------|----------------------|
| 2400        | 001044      | INSURANCE     |               | <a href="#">Link</a> |

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.

Edit Document

|                                               |                         |
|-----------------------------------------------|-------------------------|
| Document Id                                   | Document Title          |
| 2400                                          | wqwq                    |
| Application Reference Number                  | Entity Reference Number |
| PK2ILCI000019041                              | PK2ILCI000019041        |
| Document Type Id                              | Document Description    |
| TSPM_DOCTYPE001                               |                         |
| Remarks                                       | Document Expiry Date    |
|                                               | Jun 29, 2022            |
| <div>Drop files here or click to select</div> |                         |
| Current selected files: []                    |                         |

Update

Cancel

## 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.

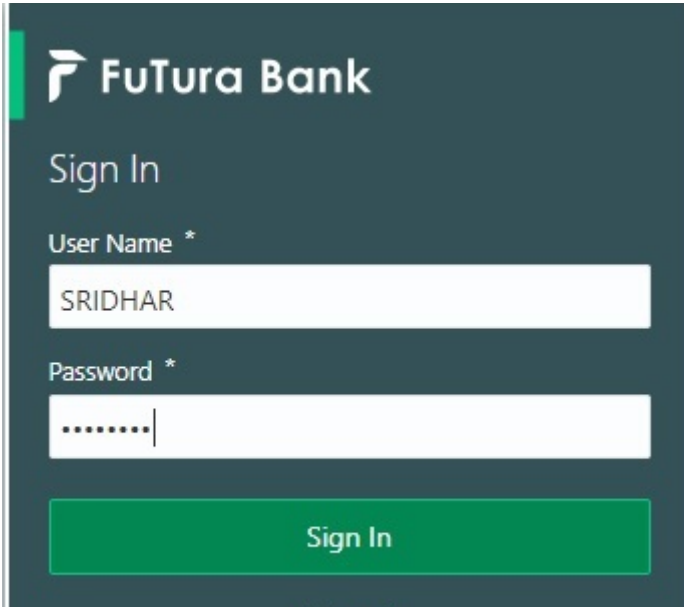


### Note

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.



**FuTura Bank**

Sign In

User Name \*

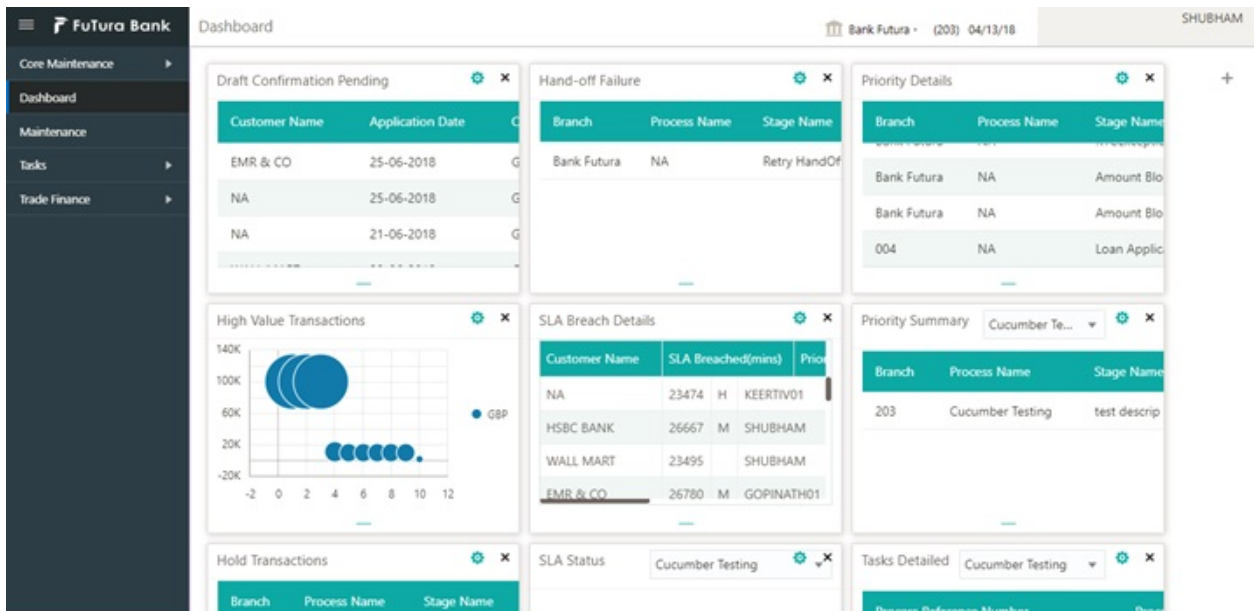
SRIDHAR

Password \*

.....

Sign In

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



**FuTura Bank** Dashboard

Bank Futura • (203) 04/13/18 SHUBHAM

**Draft Confirmation Pending**

| Customer Name | Application Date | Stage Name |
|---------------|------------------|------------|
| EMR & CO      | 25-06-2018       | G          |
| NA            | 25-06-2018       | G          |
| NA            | 21-06-2018       | G          |

**Hand-off Failure**

| Branch      | Process Name | Stage Name    |
|-------------|--------------|---------------|
| Bank Futura | NA           | Retry HandOff |

**Priority Details**

| Branch      | Process Name | Stage Name  |
|-------------|--------------|-------------|
| Bank Futura | NA           | Amount Blo  |
| Bank Futura | NA           | Amount Blo  |
| 004         | NA           | Loan Applic |

**High Value Transactions**

140K  
100K  
60K  
20K  
-20K

-2 0 2 4 6 8 10 12

GBP

**SLA Breach Details**

| Customer Name | SLA Breached(mins) | Prior        |
|---------------|--------------------|--------------|
| NA            | 23474              | H KEERTIVO1  |
| HSBC BANK     | 26667              | M SHUBHAM    |
| WALL MART     | 23495              | SHUBHAM      |
| EMR & CO      | 26780              | M GOPINATH01 |

**Priority Summary**

| Branch | Process Name     | Stage Name   |
|--------|------------------|--------------|
| 203    | Cucumber Testing | test descrip |

**Hold Transactions**

| Branch | Process Name | Stage Name |
|--------|--------------|------------|
|--------|--------------|------------|

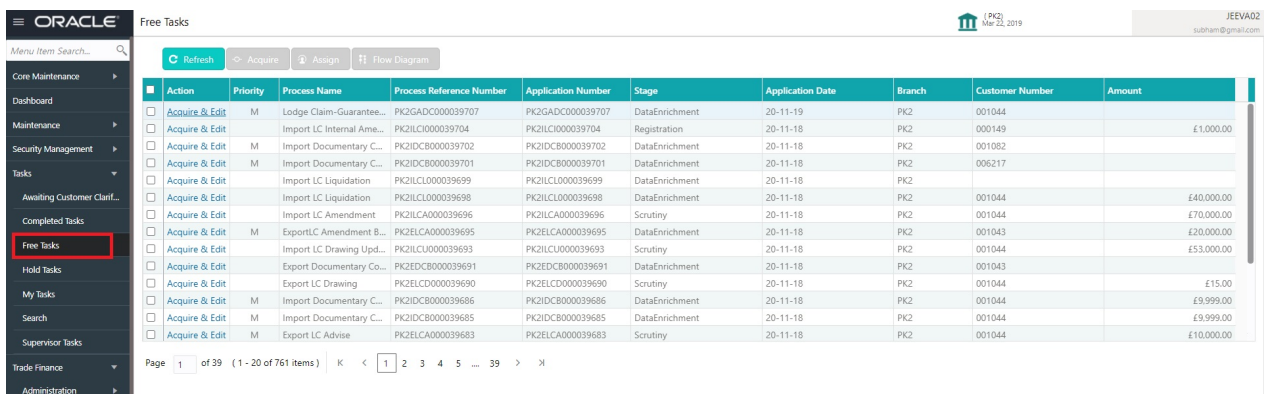
**SLA Status**

Cucumber Testing

**Tasks Detailed**

| Process Reference Number | Process |
|--------------------------|---------|
|--------------------------|---------|

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



**ORACLE** Free Tasks

Menu Item Search...

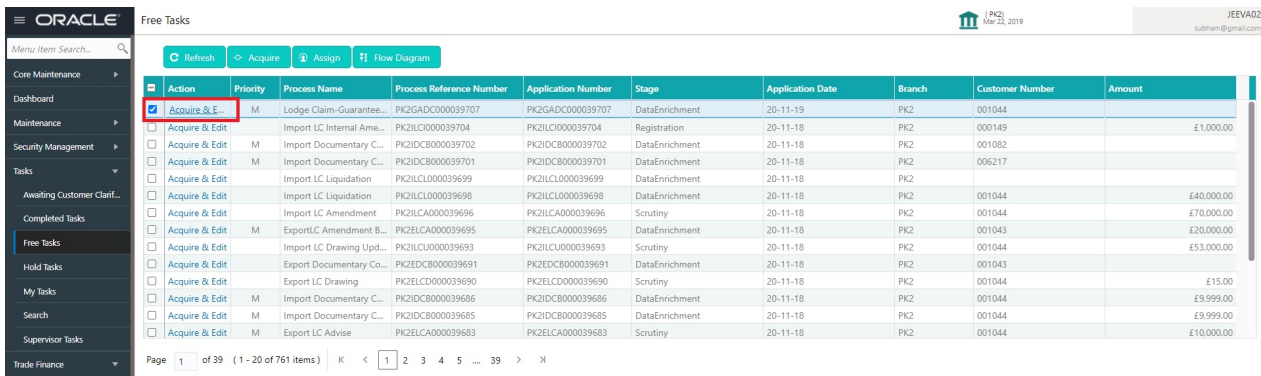
Core Maintenance > Dashboard > Maintenance > Security Management > Tasks > Free Tasks

Refresh Acquire Assign Flow Diagram

| Action         | Priority | Process Name              | Process Reference Number | Application Number | Stage          | Application Date | Branch | Customer Number | Amount     |
|----------------|----------|---------------------------|--------------------------|--------------------|----------------|------------------|--------|-----------------|------------|
| Acquire & Edit | M        | Lodge Claim-Guarantee...  | PK2GADC000039707         | PK2GADC000039707   | DataEnrichment | 20-11-19         | PK2    | 001044          |            |
| Acquire & Edit | M        | Import LC Internal Ame... | PK2ILCI000039704         | PK2ILCI000039704   | Registration   | 20-11-18         | PK2    | 000149          | £1,000.00  |
| Acquire & Edit | M        | Import Documentary C...   | PK2IDCB000039702         | PK2IDCB000039702   | DataEnrichment | 20-11-18         | PK2    | 001082          |            |
| Acquire & Edit | M        | Import Documentary C...   | PK2IDCB000039701         | PK2IDCB000039701   | DataEnrichment | 20-11-18         | PK2    | 006217          |            |
| Acquire & Edit | M        | Import LC Liquidation     | PK2ILCL000039699         | PK2ILCL000039699   | DataEnrichment | 20-11-18         | PK2    |                 |            |
| Acquire & Edit | M        | Import LC Liquidation     | PK2ILCL000039698         | PK2ILCL000039698   | DataEnrichment | 20-11-18         | PK2    | 001044          | £40,000.00 |
| Acquire & Edit | M        | Import LC Amendment       | PK2ILCA000039696         | PK2ILCA000039696   | Scrutiny       | 20-11-18         | PK2    | 001044          | £70,000.00 |
| Acquire & Edit | M        | Export LC Amendment B...  | PK2ELCA000039695         | PK2ELCA000039695   | DataEnrichment | 20-11-18         | PK2    | 001043          | £20,000.00 |
| Acquire & Edit | M        | Import LC Drawing Upd...  | PK2ILCU000039693         | PK2ILCU000039693   | Scrutiny       | 20-11-18         | PK2    | 001044          | £53,000.00 |
| Acquire & Edit | M        | Export Documentary Co...  | PK2EDCB000039691         | PK2EDCB000039691   | DataEnrichment | 20-11-18         | PK2    | 001043          |            |
| Acquire & Edit | M        | Export LC Drawing         | PK2ELCD000039690         | PK2ELCD000039690   | Scrutiny       | 20-11-18         | PK2    | 001044          | £15.00     |
| Acquire & Edit | M        | Import Documentary C...   | PK2IDCB000039686         | PK2IDCB000039686   | DataEnrichment | 20-11-18         | PK2    | 001044          | £9,999.00  |
| Acquire & Edit | M        | Import Documentary C...   | PK2IDCB000039685         | PK2IDCB000039685   | DataEnrichment | 20-11-18         | PK2    | 001044          | £9,999.00  |
| Acquire & Edit | M        | Export LC Advise          | PK2ELCA000039683         | PK2ELCA000039683   | Scrutiny       | 20-11-18         | PK2    | 001044          | £10,000.00 |

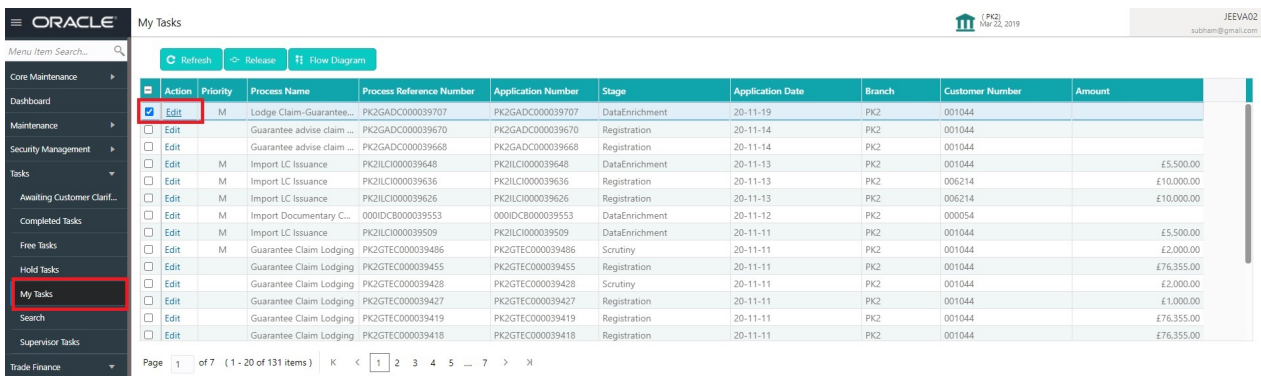
Page 1 of 39 (1 - 20 of 761 items) K < 1 2 3 4 5 ... 39 > X

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



| Action                                                        | Priority | Process Name              | Process Reference Number | Application Number | Stage          | Application Date | Branch | Customer Number | Amount     |
|---------------------------------------------------------------|----------|---------------------------|--------------------------|--------------------|----------------|------------------|--------|-----------------|------------|
| <input checked="" type="checkbox"/> <b>Acquire &amp; Edit</b> | M        | Lodge Claim-Guarantee...  | PK2GADC000039707         | PK2GADC000039707   | DataEnrichment | 20-11-19         | PK2    | 001044          |            |
| <input type="checkbox"/> Acquire & Edit                       |          | Import LC Internal Ame... | PK2ILCI000039704         | PK2ILCI000039704   | Registration   | 20-11-18         | PK2    | 000149          | £1,000.00  |
| <input type="checkbox"/> Acquire & Edit                       | M        | Import Documentary C...   | PK2IDCB000039702         | PK2IDCB000039702   | DataEnrichment | 20-11-18         | PK2    | 001082          |            |
| <input type="checkbox"/> Acquire & Edit                       | M        | Import Documentary C...   | PK2IDCB000039701         | PK2IDCB000039701   | DataEnrichment | 20-11-18         | PK2    | 006217          |            |
| <input type="checkbox"/> Acquire & Edit                       |          | Import LC Liquidation     | PK2ILCL000039699         | PK2ILCL000039699   | DataEnrichment | 20-11-18         | PK2    |                 |            |
| <input type="checkbox"/> Acquire & Edit                       |          | Import LC Liquidation     | PK2ILCL000039698         | PK2ILCL000039698   | DataEnrichment | 20-11-18         | PK2    | 001044          | £40,000.00 |
| <input type="checkbox"/> Acquire & Edit                       |          | Import LC Amendment       | PK2ILCA000039696         | PK2ILCA000039696   | Scrutiny       | 20-11-18         | PK2    | 001044          | £70,000.00 |
| <input type="checkbox"/> Acquire & Edit                       | M        | Export LC Amendment B...  | PK2ELCA000039695         | PK2ELCA000039695   | DataEnrichment | 20-11-18         | PK2    | 001043          | £20,000.00 |
| <input type="checkbox"/> Acquire & Edit                       |          | Import LC Drawing Upd...  | PK2ILCU000039693         | PK2ILCU000039693   | Scrutiny       | 20-11-18         | PK2    | 001044          | £53,000.00 |
| <input type="checkbox"/> Acquire & Edit                       |          | Export Documentary Co...  | PK2EDCB000039691         | PK2EDCB000039691   | DataEnrichment | 20-11-18         | PK2    | 001043          |            |
| <input type="checkbox"/> Acquire & Edit                       |          | Export LC Drawing         | PK2ELCD000039690         | PK2ELCD000039690   | Scrutiny       | 20-11-18         | PK2    | 001044          | £15.00     |
| <input type="checkbox"/> Acquire & Edit                       | M        | Import Documentary C...   | PK2IDCB000039686         | PK2IDCB000039686   | DataEnrichment | 20-11-18         | PK2    | 001044          | £9,999.00  |
| <input type="checkbox"/> Acquire & Edit                       | M        | Import Documentary C...   | PK2IDCB000039685         | PK2IDCB000039685   | DataEnrichment | 20-11-18         | PK2    | 001044          | £9,999.00  |
| <input type="checkbox"/> Acquire & Edit                       | M        | Export LC Advise          | PK2ELCA000039683         | PK2ELCA000039683   | Scrutiny       | 20-11-18         | PK2    | 001044          | £10,000.00 |

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



| Action                                          | Priority | Process Name               | Process Reference Number | Application Number | Stage          | Application Date | Branch | Customer Number | Amount     |
|-------------------------------------------------|----------|----------------------------|--------------------------|--------------------|----------------|------------------|--------|-----------------|------------|
| <input checked="" type="checkbox"/> <b>Edit</b> | M        | Lodge Claim-Guarantee...   | PK2GADC000039707         | PK2GADC000039707   | DataEnrichment | 20-11-19         | PK2    | 001044          |            |
| <input type="checkbox"/> Edit                   |          | Guarantee advise claim ... | PK2GADC000039670         | PK2GADC000039670   | Registration   | 20-11-14         | PK2    | 001044          |            |
| <input type="checkbox"/> Edit                   |          | Guarantee advise claim ... | PK2GADC000039668         | PK2GADC000039668   | Registration   | 20-11-14         | PK2    | 001044          |            |
| <input type="checkbox"/> Edit                   | M        | Import LC Issuance         | PK2ILCI000039648         | PK2ILCI000039648   | DataEnrichment | 20-11-13         | PK2    | 001044          | £5,500.00  |
| <input type="checkbox"/> Edit                   | M        | Import LC Issuance         | PK2ILCI000039636         | PK2ILCI000039636   | Registration   | 20-11-13         | PK2    | 006214          | £10,000.00 |
| <input type="checkbox"/> Edit                   | M        | Import LC Issuance         | PK2ILCI000039626         | PK2ILCI000039626   | Registration   | 20-11-13         | PK2    | 006214          | £10,000.00 |
| <input type="checkbox"/> Edit                   | M        | Import Documentary C...    | 000IDCB000039553         | 000IDCB000039553   | DataEnrichment | 20-11-12         | PK2    | 000054          |            |
| <input type="checkbox"/> Edit                   | M        | Import LC Issuance         | PK2ILCI000039509         | PK2ILCI000039509   | DataEnrichment | 20-11-11         | PK2    | 001044          | £5,500.00  |
| <input type="checkbox"/> Edit                   | M        | Guarantee Claim Lodging    | PK2GTGEC000039486        | PK2GTGEC000039486  | Scrutiny       | 20-11-11         | PK2    | 001044          | £2,000.00  |
| <input type="checkbox"/> Edit                   |          | Guarantee Claim Lodging    | PK2GTGEC000039455        | PK2GTGEC000039455  | Registration   | 20-11-11         | PK2    | 001044          | £76,355.00 |
| <input type="checkbox"/> Edit                   |          | Guarantee Claim Lodging    | PK2GTGEC000039428        | PK2GTGEC000039428  | Scrutiny       | 20-11-11         | PK2    | 001044          | £2,000.00  |
| <input type="checkbox"/> Edit                   |          | Guarantee Claim Lodging    | PK2GTGEC000039427        | PK2GTGEC000039427  | Registration   | 20-11-11         | PK2    | 001044          | £1,000.00  |
| <input type="checkbox"/> Edit                   |          | Guarantee Claim Lodging    | PK2GTGEC000039419        | PK2GTGEC000039419  | Registration   | 20-11-11         | PK2    | 001044          | £76,355.00 |
| <input type="checkbox"/> Edit                   |          | Guarantee Claim Lodging    | PK2GTGEC000039418        | PK2GTGEC000039418  | Registration   | 20-11-11         | PK2    | 001044          | £76,355.00 |

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.

Lodge Claim - Guarantee Advised

Documents Remarks Customer Instruction

#### Application Details - Main

|                                              |                                              |                                             |                                     |
|----------------------------------------------|----------------------------------------------|---------------------------------------------|-------------------------------------|
| ABK/ATB Reference Number<br>PK2GUAD211251001 | Beneficiary ID/Name *<br>001044 GOODCARE PLC | Branch<br>PK2-Oracle Banking Trade Finan... | Claim Serial Number<br>1            |
| Process Reference Number<br>PK2GADC000007176 | Priority<br>Medium                           | Submission Mode<br>Desk                     | Claim Lodgement Date<br>May 5, 2021 |
| Beneficiary Reference Number<br>233545657676 | Issuing Bank<br>003763 CITIBANK IRELAND      |                                             |                                     |

View Guarantee/SBLC Guarantee/SBLC Events

#### Guarantee Details

|                                   |                                 |                                          |                                             |
|-----------------------------------|---------------------------------|------------------------------------------|---------------------------------------------|
| Guarantee Type                    | 30 Date of Issue<br>May 5, 2021 | Purpose of Message<br>ADVI               | 23B Expiry Type<br>COND                     |
| 31E Date of Expiry<br>Aug 3, 2021 | Claim Date<br>Aug 3, 2021       | Claim Expiry Date<br>Aug 3, 2021         | Outstanding Currency/ Amount *<br>GBP £0.00 |
| 40C Applicable Rules<br>Others    | Applicant Bank                  | 50 Applicant<br>001043 MARKS AND SPENCER | Advising Bank                               |
| Advise Through Bank               | Counter Guarantee Issuing Bank  | Local Guarantee Issuing Bank             |                                             |

Hold Cancel Save & Close Submit

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.

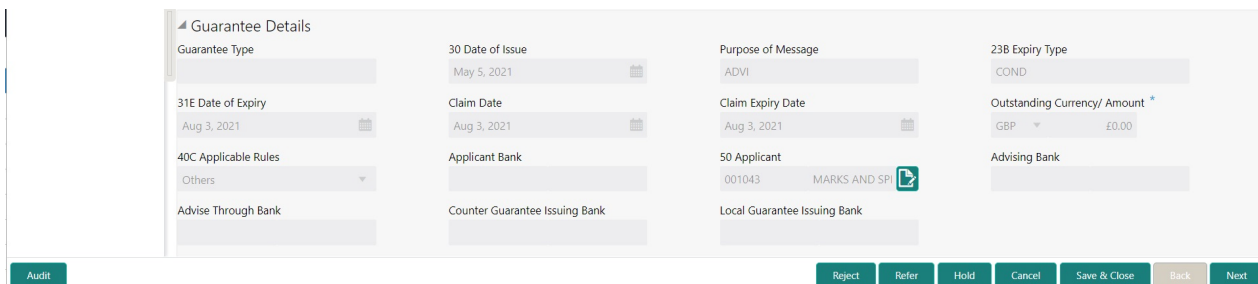
The incoming MT 765 should be parsed and the system should create a task directly in Data Enrichment Stage. Once the user clicks on the free task, the system should display the following fields.

| 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.<br>System should populate the Applicant ID and Name and address from the underlying Guarantee/SBLC details from Back office.                    | 001345                      |
| Branch                   | Read only field.<br>System defaults the branch code as applicable.                                                                                               | 203-Bank Futura -Branch FZ1 |
| Claim Serial Number      | Read only field.<br>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.<br>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.<br><br><br><b>Note</b><br>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.<br>System defaults the value from underlying Guarantee/ SBLC Advised.              | ADVP          |
| Date of Issue      | Read only field.<br>System defaults the value from underlying Guarantee/ SBLC Advised.              | 04/13/18      |
| Purpose of message | Read only field.<br>System defaults the purpose of message from underlying Guarantee/ SBLC Advised. |               |
| Expiry Type        | Read only field.<br>System defaults the value from underlying Guarantee/ SBLC Advised.              |               |
| Date Of Expiry     | Read only field.<br>System defaults the expiry date from underlying Guarantee/ SBLC Advised.        | 09/30/18      |

| Field                             | Description                                                                                                             | Sample Values                                       |
|-----------------------------------|-------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| Claim Date                        | Read only field.<br>System defaults the claim date from underlying Guarantee/ SBLC Advised.                             | 04/13/2018                                          |
| Claim Expiry Date                 | Read only field.<br>System defaults the claim expiry date from underlying Guarantee/ SBLC Advised.                      | 04/13/2018                                          |
| Outstanding Currency/<br>Amount   | Read only field.<br>System defaults the outstanding currency and amount from underlying Guarantee/ SBLC Advised.        |                                                     |
| Applicable Rules                  | Read only field.<br>System defaults the value from underlying Guarantee/ SBLC Advised.                                  | URDG -<br>Uniform rules<br>for demand<br>guarantees |
| Applicant Bank                    | Read only field.<br>System defaults the applicant bank details from underlying Guarantee/ SBLC Advised.                 | 001345 Nestle                                       |
| Applicant                         | Read only field.<br>System defaults the applicant from underlying Guarantee/ SBLC Advised.                              | 001345 Nestle                                       |
| Advising Bank                     | Read only field.<br>System defaults the advising bank from underlying Guarantee/ SBLC Advised.                          | 001343 - Bank<br>Of America                         |
| Advising Through Bank             | Read only field.<br>System defaults the advising through bank from underlying Guarantee/ SBLC Advised.                  | Advising Bank<br>Reference                          |
| Counter Guarantee<br>Issuing Bank | Read only field.<br>System defaults the counter guarantee issuing through bank from underlying Guarantee/ SBLC Advised. |                                                     |
| Local Guarantee Issuing<br>Bank   | Read only field.<br>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.<br>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.<br>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.<br>Reject Codes: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window 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.<br>Refer Codes: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul>                                                                    |               |
| 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             | <p>Click the Documents icon to View/Upload the required documents.</p> <p>Application will display the mandatory and optional documents.</p>  <p><b>Note</b><br/>Not applicable for STP of SWIFT MT 765.</p>                                                                                                                                                                                                                       |               |
| 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 | <p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul> |               |
| Common Group 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     | <p>User can select the option from whom the claim has been received from the drop-down list.</p> <p>The values are:</p> <ul style="list-style-type: none"> <li>Beneficiary</li> <li>Local Issuing Bank</li> <li>Counter Issuing Bank</li> <li>Advising Bank</li> <li>Presenting Bank</li> </ul>                                                           |               |
| Claiming Bank Reference | <p>The user can enter the claiming bank reference details, if the claimed is not received from Beneficiary.</p> <p>In case of SWIFT MT 765, system populates the Tag 20, Transaction Reference Number from the incoming MT 765.</p>                                                                                                                       |               |
| Date of Demand          | <p>User can enter the date on which the demand is issued by the beneficiary.</p> <p><br/><b>Note</b></p> <p>The date cannot be a future date.</p> <p>In case of SWIFT MT 765, system populates the Tag 31L, Transaction Reference Number from the incoming MT 765.</p> |               |

| Field                  | Description                                                                                                                                                                                                                                                                        | Sample Values |
|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Demand Indicator       | Read Only field.<br>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.<br>The values are: <ul style="list-style-type: none"> <li>• Applicant</li> <li>• Counter Issuing Bank</li> <li>• Issuing Bank</li> </ul>                                                      |               |
| Demand Type            | This field specifies the type of demand.<br>The values are: <ul style="list-style-type: none"> <li>• Extend or Settle</li> <li>• Settle</li> <li>• Extend</li> </ul> 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.<br>The New Expiry Date is not earlier than the Expiry Date or not earlier than Branch Date.<br>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.<br>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 | <p>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</p> <p>In case of Online, this field is defaulted from the incoming message.</p> <p>In case of Non-Online, as per the value in the incoming message.</p> <p>In case of SWIFT MT 765, system populates the Tag 77, Transaction Reference Number from the incoming MT 765.</p> |               |
| Additional Amount Information   | <p>The user can enter the details on additional amount in this field.</p> <p>In case of Online, this field is defaulted from the incoming message.</p> <p>In case of Non-Online, as per the value in the incoming message.</p> <p>In case of SWIFT MT 765, system populates the Tag 78, Transaction Reference Number from the incoming MT 765.</p>                                                                                                                                                                                             |               |
| Intermediary                    | <p>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.</p> <p>In case of Online, this field is defaulted from the incoming message.</p> <p>In case of Non-Online, as per the value in the incoming message.</p> <p>In case of SWIFT MT 765, system populates the Tag 56A, Transaction Reference Number from the incoming MT 765.</p>                                                                            |               |
| Account with Institution        | <p>The user can enter the details of Account with Institution.</p> <p>This field specifies the financial institution at which the amount claimed is to be settled.</p> <p>In case of Online, this field is defaulted from the incoming message.</p> <p>In case of Non-Online, as per the value in the incoming message.</p> <p>In case of SWIFT MT 765, system populates the Tag 57A, Transaction Reference Number from the incoming MT 765.</p>                                                                                               |               |

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

## 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                | <p>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.</p> <p>Reject Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> <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> |               |

| Field                 | Description                                                                                                                                                                                                                                                                                                                                                                                           | Sample Values |
|-----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Refer                 | <p>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.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> |               |
| Hold                  | <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 Guarantee Issuance scrutiny 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>                                                                                                                                                                                                                                                                |               |
| 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             | <p>Click the Documents icon to View/Upload the required documents.</p> <p>Application will display the mandatory and optional documents.</p> <div style="text-align: center;">  <p><b>Note</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div>                                                           |               |
| 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. |               |

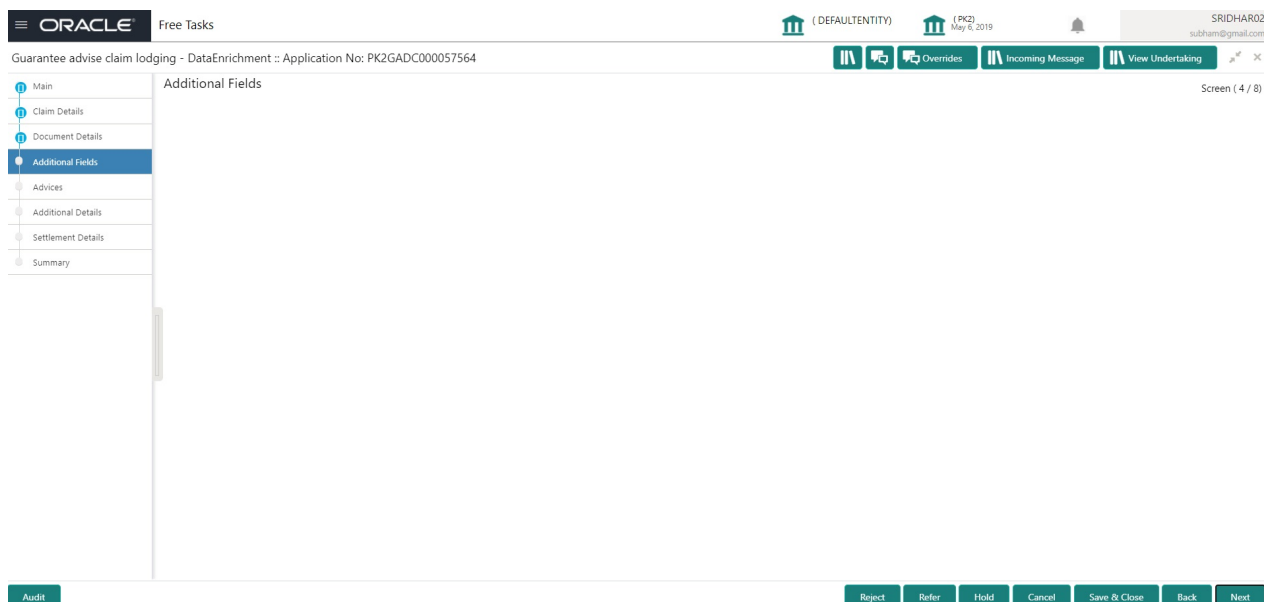
| Field                 | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Sample Values |
|-----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Reject                | <p>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.</p> <p>Reject Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> <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> |               |
| Refer                 | <p>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.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul>                                                                                                                                                |               |
| Hold                  | <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 Guarantee Issuance scrutiny 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>                                                                                                                                                                                                                                                                                                                                                                                                               |               |
| 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        | <p>Click the Documents icon to View/Upload the required documents.</p> <p>Application will display the mandatory and optional documents.</p> <div style="text-align: center;">  <p><b>Note</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div> |               |
| 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:

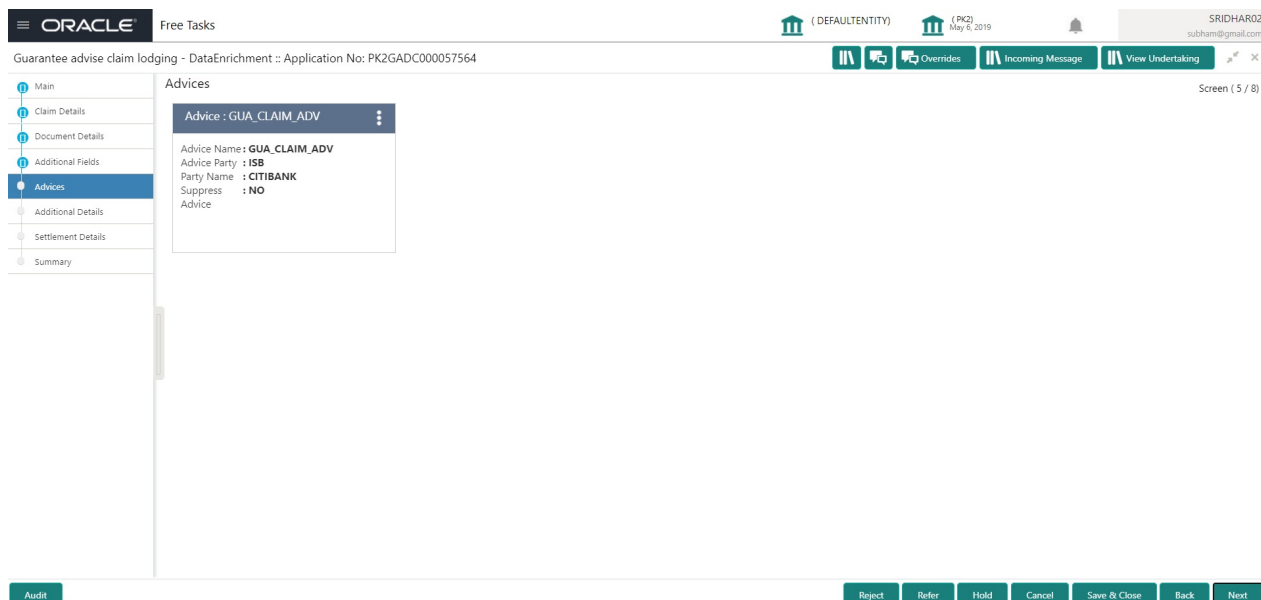
| Field                 | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Sample Values |
|-----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Request Clarification | Not applicable for this process.                                                                                                                                                                                                                                                                                                                                                                                                                                                    |               |
| Reject                | <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"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> <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> |               |
| Refer                 | <p>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.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul>                                                                               |               |
| Hold                  | <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 Guarantee Advise Amendment 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>                                                                                                                                                                                                                                                                                                                                              |               |
| Clarification Details | Not applicable for this process.                                                                                                                                                                                                                                                                                                                                                                                                                                                    |               |
| 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>                                                                                                                                                                                                                                                    |               |

| 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> <div style="text-align: center;">  <p><b>Note</b></p> <p>Not applicable for STP of SWIFT MT 765.</p> </div> |               |
| 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:

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"/> |             |         | 100            | GBP                   | £10.00              |                      |                  |      |        |

Cash Collateral Details

Collateral Percentage \* 76.0

Collateral Currency and amount GBP £7.60

Exchange Rate 1

| Sequence Number | Settlement Account Currency | Settlement Account | Exchange Rate | Collateral % | Contribution Amount | Contribution Amount in Account Currency | Account Balance Check Response | Response Message | Edit |
|-----------------|-----------------------------|--------------------|---------------|--------------|---------------------|-----------------------------------------|--------------------------------|------------------|------|
| 1               |                             | PK20010440017      |               | 0            | £0.00               |                                         | NA                             |                  | 1    |

Save & Close Close

Limit Details

Customer Id

001044

Q

Line ID \*

001044\_GB

Q

Contribution % \*

100.0

▼

▲

Limits Description

Contribution Currency

GBP

Contribution Amount \*

£9,000.00

Limit Currency

GBP

Limit Available Amount

£9,99,999.00

Limit Check Response

Available

Response Message

The Earmark can be performed as the f

Expiry Date

24-Dec-2020

Verify

Save & Close

Close

| Field                                                                                              | Description                                             | Sample Values |
|----------------------------------------------------------------------------------------------------|---------------------------------------------------------|---------------|
| Plus Icon<br>   | Click plus icon to add new Limit Details.               |               |
| Delete Icon<br> | 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%          | <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> |               |
| 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 | <p>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.</p> <p>This field displays the value, if you click <b>Verify</b> button.</p>                                                                                                              |               |
| Limit Check Response   | <p>Response can be 'Success' or 'Limit not Available'.</p> <p>This field displays the value, if you click <b>Verify</b> button.</p>                                                                                                                                                                                                                                    |               |
| Response Message       | <p>Detailed Response message.</p> <p>This field displays the value, if you click <b>Verify</b> button.</p>                                                                                                                                                                                                                                                             |               |
| 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

Collateral Details

Total Collateral Amount \*

£90,000.00

Sequence Number

2.0

Collateral Contrubution Amount \*

£67,500.00

Settlement Account Currency

GBP

Contribution Amount in Account Currency

Response

VS

Verify

Collateral Amount to be Collected \*

£90,000.00

Collateral Split % \*

75.0

Settlement Account \*

PK20010440017

Exchange Rate

1

Account Available Amount

£999,999,999,957,803,300.00

Response Message

The amount block can be performed as

Save & Close

Cancel

| 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.<br>User can modify the collateral percentage.                                                 |               |
| Collateral Currency and amount | System populates the contract currency as collateral currency by default.<br>User can modify the collateral Currency and amount.                                                                            |               |
| Exchange Rate                  | System populates the exchange rate maintained.<br>User can modify the collateral Currency and amount.<br>System validates for the Override Limit and the Stop limit if defaulted 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.<br>This field displays the total collateral amount provided by the user.                          |  |
| Collateral Amount to be Collected | Read only field.<br>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.<br>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.<br><br>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.<br><br>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.<br><br>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.<br><br>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 <b>Cash Collateral Details</b> 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<br> | 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.

Charge Details

Recalculate
Redefault

Commission Details

Event

Event Description

| Component           | Rate | Modified Rate | Currency | Amount | Modified | Defer | Waive | Charge Party | Settlement Account |
|---------------------|------|---------------|----------|--------|----------|-------|-------|--------------|--------------------|
| No data to display. |      |               |          |        |          |       |       |              |                    |

Page 1 of 0 items

Charge Details

| Component | Tag currency | Tag Amount | Currency | Amount | Modified | Billing               | Defer                 | Waive                 | Charge Party | Settlement Account |
|-----------|--------------|------------|----------|--------|----------|-----------------------|-----------------------|-----------------------|--------------|--------------------|
| LCGCLM    |              |            | GBP      | £50.00 |          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |              | PK20010430013      |
| LCGCLM    |              |            | GBP      | £50.00 |          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |              | PK20010430013      |

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Tax Details

| Component           | Type | Value Date | Currency | Amount | Billing | Defer | Settlement Account |
|---------------------|------|------------|----------|--------|---------|-------|--------------------|
| No data to display. |      |            |          |        |         |       |                    |

Save & Close
Close

## Commission Details

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

| Field              | Description                                                                                                                                             | Sample Values |
|--------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Event              | Read only field.<br>This field displays the event name.                                                                                                 |               |
| Event Description  | Read only field.<br>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.<br><br>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            | <p>If charges are handled by separate billing engine, then by selecting billing 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>                                                      |               |
| Waive              | <p>If charges have to be waived, this check box has to be selected.</p> <p>Based on the customer maintenance, the charges should be marked for Billing or for Defer.</p> <p>This field is disabled, if 'Defer' toggle is enabled.</p>                                                                                                                                                                                                                                                                                                         |               |
| 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.<br><br>This field is disabled, if 'Defer' toggle is enabled.                                      |               |
| Defer              | If taxes have to be deferred and collected at any future step, this option has to be enabled.<br><br>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.

Tracer Details ×

Tracer Details

| Tracer Code  | Description | Party Type | Required                            | Maximum Tracers | Number Sent | Start Days | Last Sent On | Medium | Frequency | Template Id | Action |
|--------------|-------------|------------|-------------------------------------|-----------------|-------------|------------|--------------|--------|-----------|-------------|--------|
| GUA_CLM_TRAC |             |            | <input checked="" type="checkbox"/> | 5               |             | 1          |              |        | 1         |             |        |

Page 1 of 1 (1 of 1 items)

Save & Close
Close

| Field       | Description                                                                                   | Sample Values |
|-------------|-----------------------------------------------------------------------------------------------|---------------|
| Tracer Code | Read only field.<br>Tracer code is defaulted by the system maintained in the Product level.   |               |
| Description | Read only field.<br>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 | <p>Specify the value for maximum number of tracers to be sent.</p> <p>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.</p> <p>Maximum Tracers cannot be less than the "Number Sent", system needs to validate the same.</p>                                                                                   |               |
| Number Sent     | <p>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".</p>                                                                                                                                                                                                                                                                                                            |               |
| Start Days      | <p>Specify the number of days after which the tracer has to be sent from the Tracer Start date. It should be positive numeric value.</p>                                                                                                                                                                                                                                                                                                                               |               |
| Last Sent On    | <p>Read only field.</p> <p>Tracer last sent date is defaulted by the system.</p>                                                                                                                                                                                                                                                                                                                                                                                       |               |
| Medium          | <p>Select the medium in which the Tracer has to be generated. It lists all the possible mediums maintained in the system.</p> <p>The options are:</p> <ul style="list-style-type: none"> <li>• SWIFT<br/>MAIL</li> </ul>                                                                                                                                                                                                                                               |               |
| Frequency       | <p>Specify the medium in which the Tracer has to be generated. It should be positive numeric value.</p>                                                                                                                                                                                                                                                                                                                                                                |               |
| Template ID     | <p>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.</p> <p>It is a lookup which lists all the possible templates maintained in the system.</p> <p>Template ID is nothing but the data that goes in Tag 79 in MT799.</p> <p>This template ID is applicable only for medium 'SWIFT'</p> <p>Template lookup displays all the template ids applicable for the given Tracer Code.</p> |               |
| Action          | <p>Click the Edit icon to edit the tracer details.</p>                                                                                                                                                                                                                                                                                                                                                                                                                 |               |

## 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.<br><br>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.<br>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.<br>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.<br><br>Reject Codes: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> Select a Reject code and give a reject description.<br><br>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.<br><br>Application will display the mandatory and optional documents.<br><br> <b>Note</b><br>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.

| Component       | Currency | Debit/Credit | Account       | Account Description | Account Currency | Netting Indicator | Current Event |
|-----------------|----------|--------------|---------------|---------------------|------------------|-------------------|---------------|
| AVI_SET_LCAMT   | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| AVI_SET_LCAMTEQ | GBP      | Credit       | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| COLLAMT_OSEQ    | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| COLLAMNDAMTEQ   | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| COLLAMTEQ       | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| COLLAMT_DECR    | GBP      | Credit       | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| COLLAMT_INCR    | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| COLLAVALAMTEQ   | GBP      | Credit       | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| LCEXADV_LIQD    | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |
| LCGLM_LIQD      | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |

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                | <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"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> <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> |               |
| Refer                 | <p>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.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul>                                                                               |               |
| Hold                  | <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 Guarantee Advice Scrutiny inputs.                                                                                                                                                                                                                                                                                                                                                                                                                                        |               |

| Field                 | Description                                                                                                                                                                                                                                                                           | Sample Values |
|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| Next                  | Task will get moved to next logical stage of Guarantee Amendment Advise.<br><br>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.<br><br>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.<br><br>Application will display the mandatory and optional documents.<br><br> <b>Note</b><br>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.

The screenshot shows the Oracle Summary stage interface. The top navigation bar includes the Oracle logo, 'My Tasks', and user information (JEEVA02, subham@gmail.com). The main header displays 'Lodge Claim-Guarantee Advised - DataEnrichment :: Application No: PK2GADC000039707'. The left sidebar lists navigation options: Main, Claim Details, Document Details, Additional Fields, Advices, Additional Details, Settlement Details, and Summary (selected). The main content area is titled 'Summary' and contains several tiles: Main (Booking Date: 2019-03-22, submissionMode: Desk, amount: GBP 1000), Claim Details (Demand Type: 5, New ExpiryDate, Intermediary), Document Details (doc1: UPLD\_DOC\_2), Additional Fields (Click here to view Additional fields), Advices (Advice1: GUA\_CLAIM), Limits and Collaterals (limitCurr, limitContr, limitStat: Not Verified, collCurr, Collateral Contr: 6108.4, collStatus: Not Verified), Commission, Charges and taxes (charge: GBP50, commission, tax, blockStatus: Not Initia), Preview Messages (language: ENG, previewMessage: -), Settlement Details (component: OTHBNKCHG, accountNumber: PK10000154, currency: GBP), Party Details (ben: MARKS AND, abk: WELLS FARG, app: GOODCARE PLC), and Compliance (kyc: Not Initia, sanctions, aml: Not Initia). The bottom of the interface features an 'Audit' button and a row of action buttons: Request Clarification, Reject, Refer, Hold, Cancel, Save & Close, Back, Next, and Submit.

### 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                | <p>Task will get moved to next logical stage of Guarantee Advise Claim.</p> <p>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.</p>                                                                                                                                                                                                                                                                   |               |
| 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"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> <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> |               |
| Refer                 | <p>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.</p> <p>Refer Codes:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul>                                                                               |               |
| Hold                  | <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 Guarantee Advice Scrutiny 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 clicking the Back, system should move the task to the previous segment.                                                                                                                                                                                                                                                                                                                                                                                                          |               |
| Clarification Details | Not applicable for this process.                                                                                                                                                                                                                                                                                                                                                                                                                                                    |               |

| 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><b>Note</b><br/>Not applicable for STP of SWIFT MT 765.</p> |               |
| 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 to see the summary tiles and the details in the screen by drill down from tiles.

Approval Rekey

Documents

Remarks

Contract Amount

£25,000.00

Currency

GBP

Maturity Date

Jan 26, 2021

Refer

Close

Proceed

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

ORACLE

Free Tasks

PK2

Mar 23, 2019

JEEVA02

subm-em@gmail.com

Clarification Details

Documents

Remarks

Overrides

Lodge Claim-Guarantee Advised - Approval Task Level 1 :: Application No: PK2GTAA000039660

Main

Booking Date : 2019-03-22

submissionMode : Desk

amount : GBP 1000

Claim Details

Demand Type : Q

New ExpiryDate :

Intermediary :

Document Details

doc1 : UPLD\_DOC\_2

Additional Fields

Click here to view Additional fields

Advices

Advice1 : GUA\_CLAIM\_

Limits and Collaterals

limitCurr :

limitContr :

limitStat : Not Verified

collCurr : GBP

Collateral Contr: 80

collStatus : Not Verified

Commission, Charges and taxes

charge : GBP50

commission :

tax :

blockStatus : Success

Preview Messages

language : ENG

previewMessage : -

Settlement Details

component : LCGLM\_LIQD

accountNumber : PK10000154

currency : GBP

Party Details

app : MARKS AND

ben : GOODCARE PLC

cob : CITIBANK I

Compliance

kyc : Verified

sanctions : Not Initia

aml : Not Initia

Audit

Cancel

Refer

Approve

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 | <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"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others.</li> </ul> <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>                                                                                                                                                                                                                                                                                                      |               |

| Field   | Description                                                                                                                                                                                                                                                                                                                                                                        | Sample Values |
|---------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| 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"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance- Limits</li> <li>• R5 - Others</li> </ul> |               |
| 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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### 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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