

Export LC Cancellation User Guide

# **Oracle Banking Trade Finance Process Management**

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Oracle Banking Trade Finance Process Management - Export LC Cancellation 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.

## 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.

# Export LC Cancellation

Export LC Cancellation process enables the user to cancel the LC which had been already advised.

The cancellation require consent from the beneficiary of the LC. In such scenarios, after the processing of cancellation, the cancelled LC is parked awaiting beneficiary consent.

In the following sections, let's look at the details for export LC cancellation process.

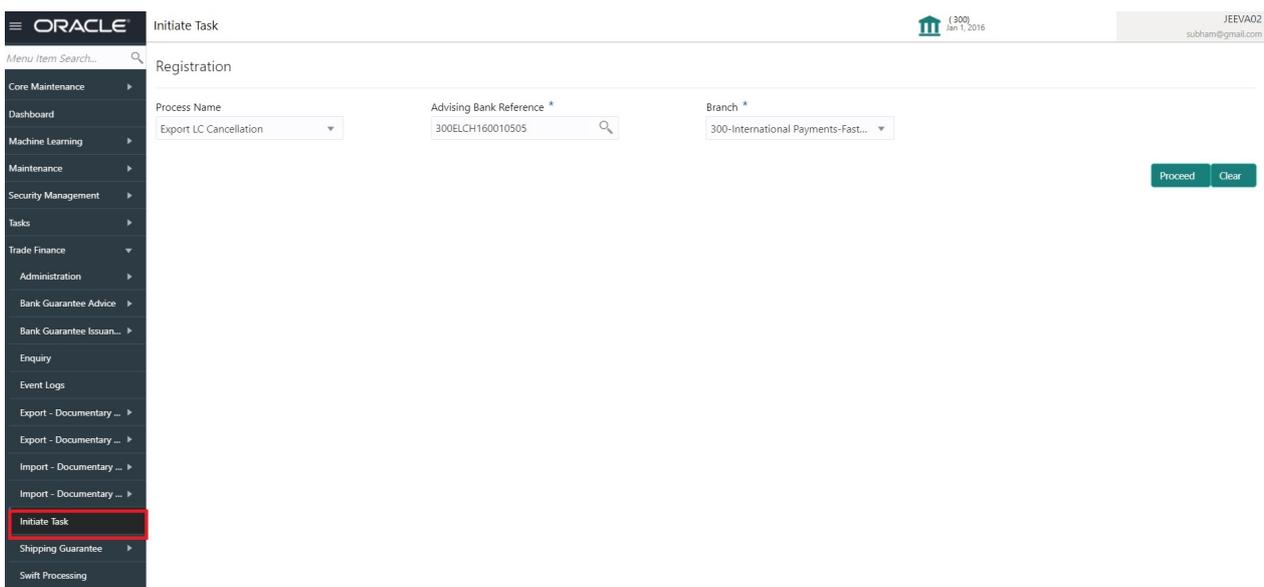
This section contains the following topics:

|   |                                 |
|---|---------------------------------|
| <a href="#">Common Initiation Stage</a> | <a href="#">Registration</a>    |
| <a href="#">Document Linkage</a>        | <a href="#">Exceptions</a>      |
| <a href="#">Multi Level Approval</a>    | <a href="#">Reject Approval</a> |

## Common Initiation Stage

The user can initiate the new export LC cancellation 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. |
| Advising Bank Reference | Select the advising bank reference.           |
| Branch                  | Select the branch.                            |

## Action Buttons

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

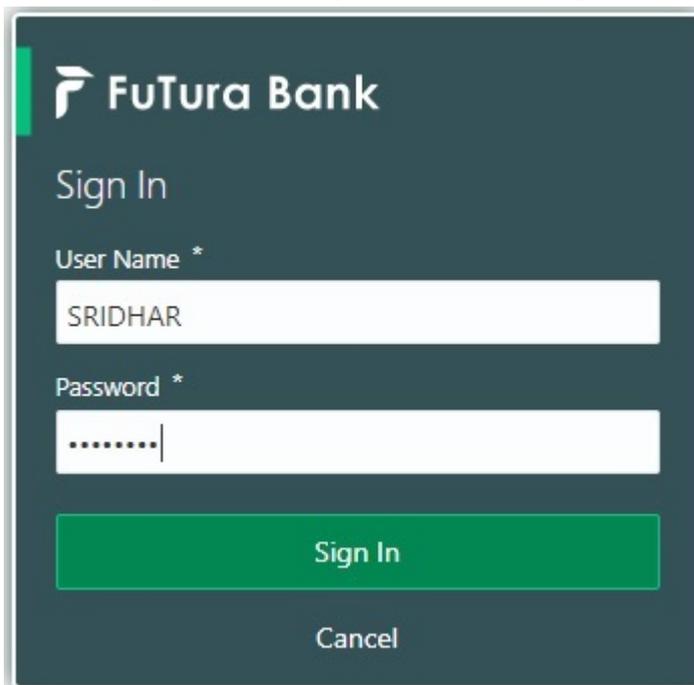
| Field   | Description  |
|---------|--|
| Proceed | Task will get initiated to next logical stage.                     |
| Clear   | The user can clear the contents update and can input values again. |

## Registration

If the Letter Of Credit cancellation request is submitted through branch, the Export LC Cancellation process starts from the Registration Stage.

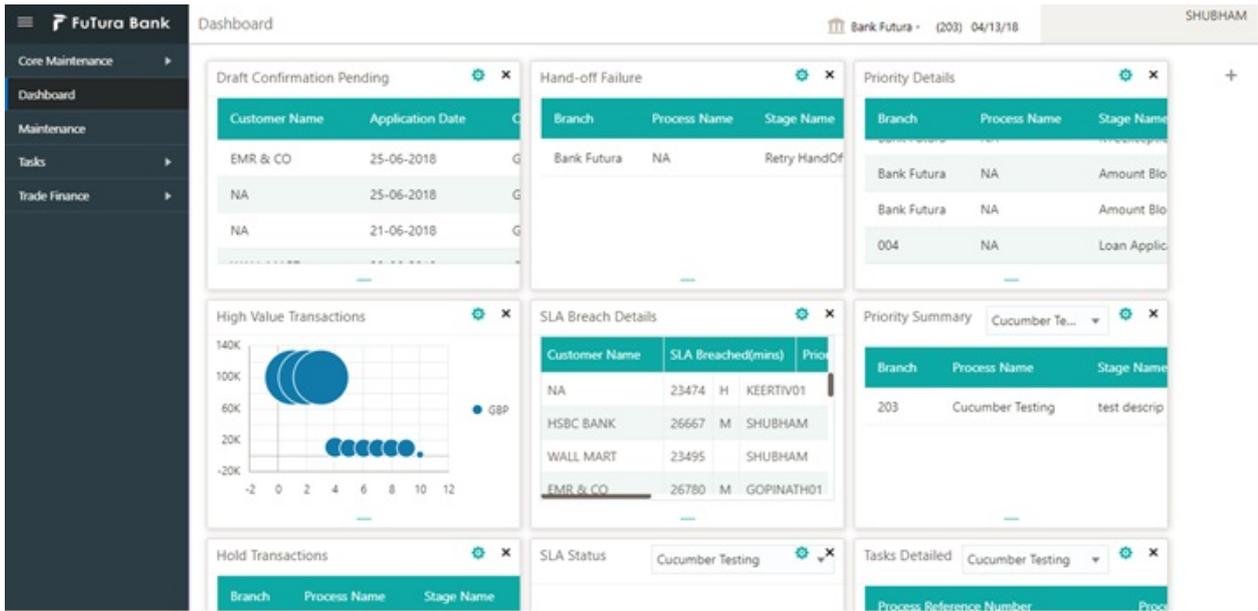
During registration stage, user can capture the basic details of the application and upload the related documents of the applicant. On submit of the request, the request will be available for an LC cancellation expert to handle the request in the next stage.

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

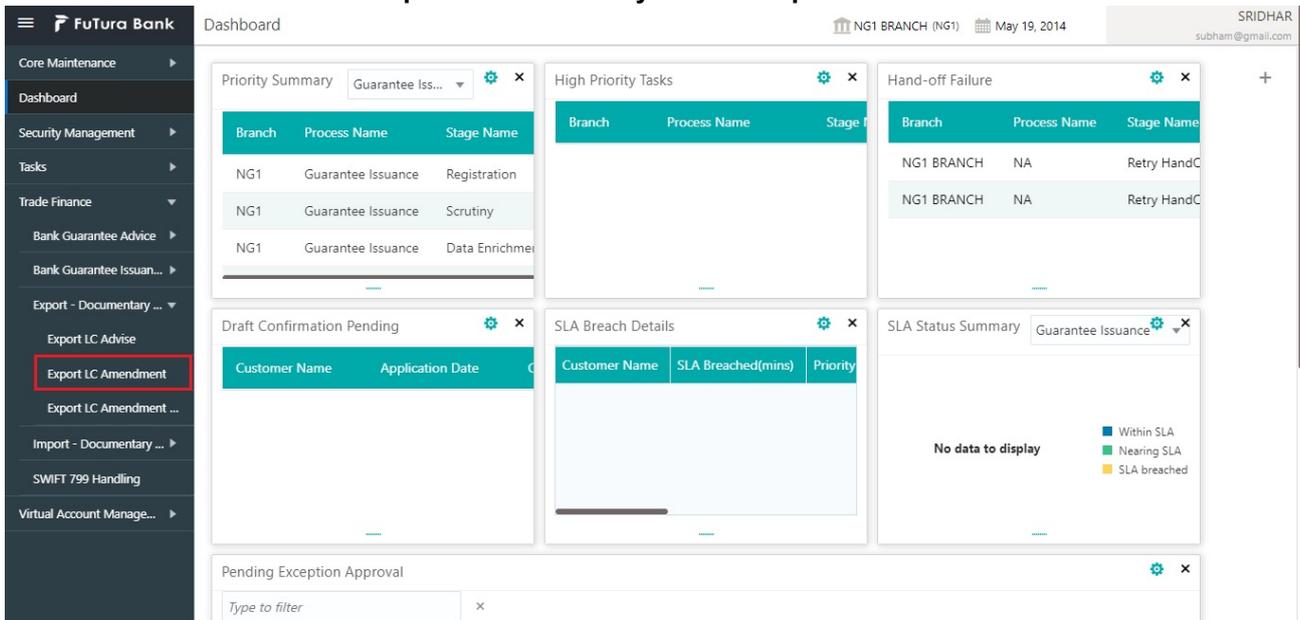


The image shows a login interface for Futura Bank. At the top left is the Futura Bank logo. Below it, the text 'Sign In' is displayed. There are two input fields: 'User Name \*' containing the text 'SRIDHAR' and 'Password \*' containing masked characters. Below these fields are two buttons: a green 'Sign In' button and a 'Cancel' button.

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



5. Click Trade Finance> Export - Documentary Credit> Export LC Cancellation.



The registration stage has two sections Application Details and LC Details. Let's look at the details of registration screens below:

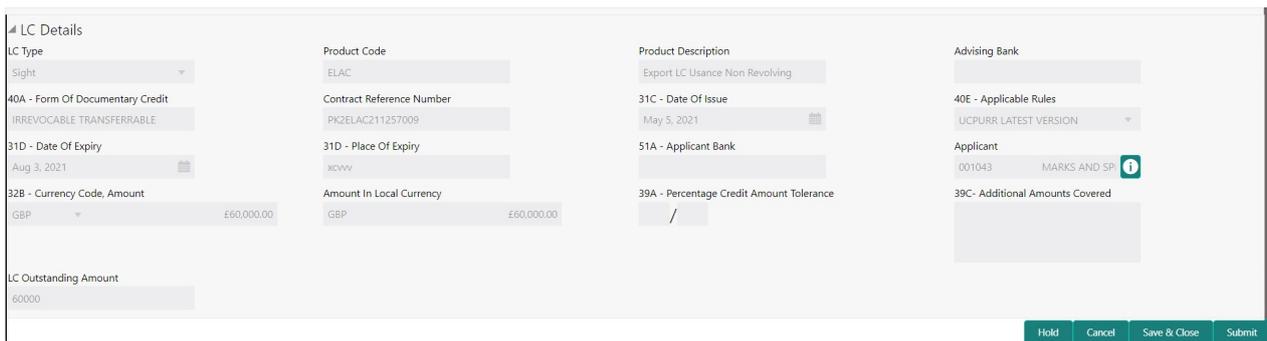
# Application Details

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

| Field                          | Description   | Sample Values               |
|--------------------------------|---|-----------------------------|
| Advising Bank Reference Number | Provide the advising bank reference number. Alternatively, user can search the advising bank reference number using LOV.<br><br>In the LOV, user can input Customer ID, Applicant, Currency, Amount and User Reference to fetch the Export LC details. Based on the search result, select the applicable Export LC to be amended. |                             |
| Beneficiary ID                 | Read only field.<br><br>Beneficiary ID will be auto-populated based on the selected LC from the LOV.  | 001344                      |
| Beneficiary                    | Read only field.<br><br>Beneficiary Name will be auto-populated based on the selected LC from the LOV.  | EMR & CO                    |
| Branch                         | Read only field.<br><br>Branch details will be auto-populated based on the selected LC from the LOV.  | 203-Bank Futura -Branch FZ1 |
| Process Reference Number       | Unique sequence number for the transaction.<br><br>This is auto generated by the system based on process name and branch code.  |                             |
| Priority                       | System will default the Priority as Low/Medium/High based on maintenance.   | High                        |

| Field                        | Description   | Sample Values |
|------------------------------|---|---------------|
| Submission Mode              | Select the submission mode of Export LC Cancellation request. By default the submission mode will have the value as 'Desk'. User can change the defaulted priority.<br><br><b>Desk-</b> Request received through Desk<br><b>Courier-</b> Request received through Courier | Desk          |
| Cancellation Date            | By default, the application will display branch's current date and enables the user to change the date to any back date.<br><br><br><b>Note</b><br>Future date selection is not allowed. | 04/13/2018    |
| Issuing Bank                 | Read only field.<br><br>Issuing Bank details will be auto-populated based on the selected LC from the LOV.  |               |
| Non Bank Issuer              | Read only field.<br><br>Non Bank Issuer details will be auto-populated based on the selected LC from the LOV.   |               |
| User Reference Number        | Read only field.<br><br>User Reference Number will be auto populated by the system based on the selected Export LC.   |               |
| Beneficiary Consent Required | By default, the toggle must be 'On' for Export LC Cancellation process.   |               |

## LC Details



This screen displays the data from the LC advised.

| Field   | Description   | Sample Values |
|---------|---|---------------|
| LC Type | Read only field.<br><br>LC type will be populated based on selected LC. |               |

| Field                              | Description   | Sample Values |
|------------------------------------|---|---------------|
| Product Code                       | Read only field.<br>This field displays the product code of the selected LC.                                      |               |
| Product Description                | Read only field.<br>This field displays the description of the product as per the product code.                   |               |
| Advising Bank                      | This field displays the advising bank details of the selected LC.   |               |
| 40A - Form of Documentary Credit   | Read only field.<br>This field displays the form of documentary credit details of the selected LC.                |               |
| Contract Reference Number          | Read only field.<br>This field displays the form of contract reference number of the selected LC.                 |               |
| Date of Issue                      | Read only field.<br>This field displays the LC issuance date.   |               |
| Applicable Rules                   | This field displays the rules of the selected Export LC.  |               |
| Date Of Expiry                     | This field displays the expiry date of the selected LC.   |               |
| Place of Expiry                    | This field displays the place of expiry of the selected LC.   |               |
| Applicant Bank                     | Read only field.<br>This field displays the applicant bank details of the selected LC.                            |               |
| Applicant                          | Read only field.<br>This field displays the details of the applicant of the selected LC.                          |               |
| Currency Code, Amount              | Read only field.<br>This field displays the details of the currency/ amount of the selected LC.                   |               |
| Amount In Local Currency           | System fetches the local currency equivalent value for the LC amount from back office (with decimal places).      |               |
| Percentage Credit Amount Tolerance | Read only field.<br>This field displays the details of the percentage credit amount tolerance of the selected LC. |               |
| Additional Amount Covered          | Read only field.<br>This field displays the details of the additional amount covered of the selected LC.          |               |

| Field                 | Description  | Sample Values |
|-----------------------|--|---------------|
| LC Outstanding Amount | Read only field.<br>This field displays the details of the LC outstanding amount of the selected LC. |               |

## Miscellaneous

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

| Field                 | Description  | Sample Values |
|-----------------------|--|---------------|
| Documents             | Upload the required documents.   |               |
| Remarks               | Provide any additional information regarding the cancellation request. This information can be viewed by other users processing the request.   |               |
| Customer Instructions | Click to view/ input the following <ul style="list-style-type: none"> <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.  |               |

| Field                 | Description   | Sample Values |
|-----------------------|---|---------------|
| View LC               | Enables the user to view the latest LC values displayed in the respective fields. All fields displayed in LC details section are read only fields.  |               |
| <b>Action Buttons</b> |   |               |
| Submit                | On submit, task will get moved to next logical stage of Export LC Cancellation.<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 displays the task in you queue for working later.<br><br>This option will not submit the request.   |               |
| Cancel                | Cancels the Export LC Cancellation Registration stage inputs.   |               |
| Hold                  | The details provided will be registered and status will be on hold.<br><br>This option is used, if there are any pending information yet to be received from applicant.   |               |
| Checklist             | Make sure that the details in the checklist are completed and acknowledge. If mandatory checklist items are not marked, system will display an error on submit.   |               |

## Document Linkage

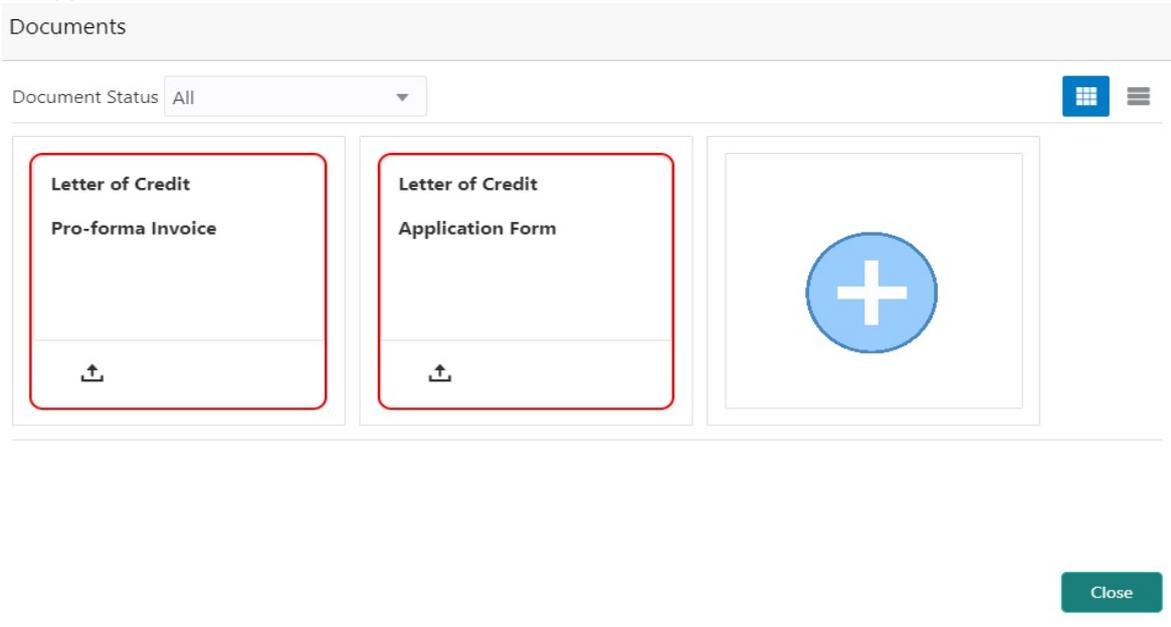
The user can link an existing uploaded document in any of the process stages.

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

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

1. Navigate to the Registration screen.

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



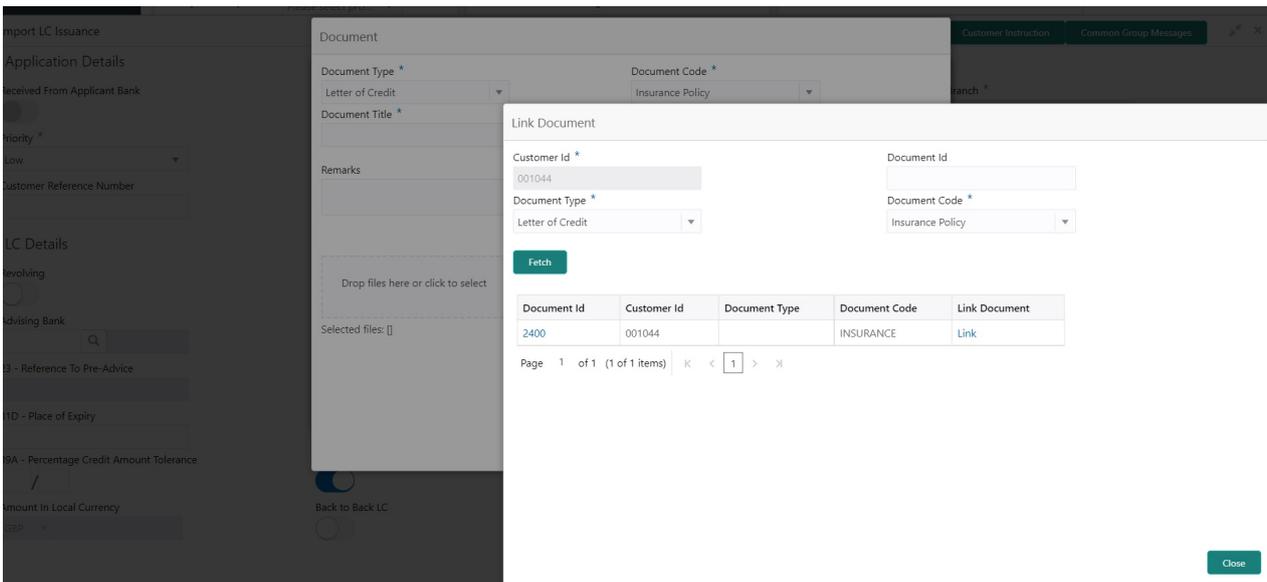
3. Click the Add Additional Documents button/ link. The **Document** screen appears.

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

| Field                | Description   | Sample Values |
|----------------------|---|---------------|
| Document Description | Specify the document description.   |               |
| Remarks              | Specify the remarks.  |               |
| Document Expiry Date | Select the document expiry date.  |               |
| Link Document        | The link to link the existing uploaded documents from DMS to the workflow task. |               |

4. Select the document to be uploaded or linked and click the **Link Document** link. The link Document pop up appears.

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

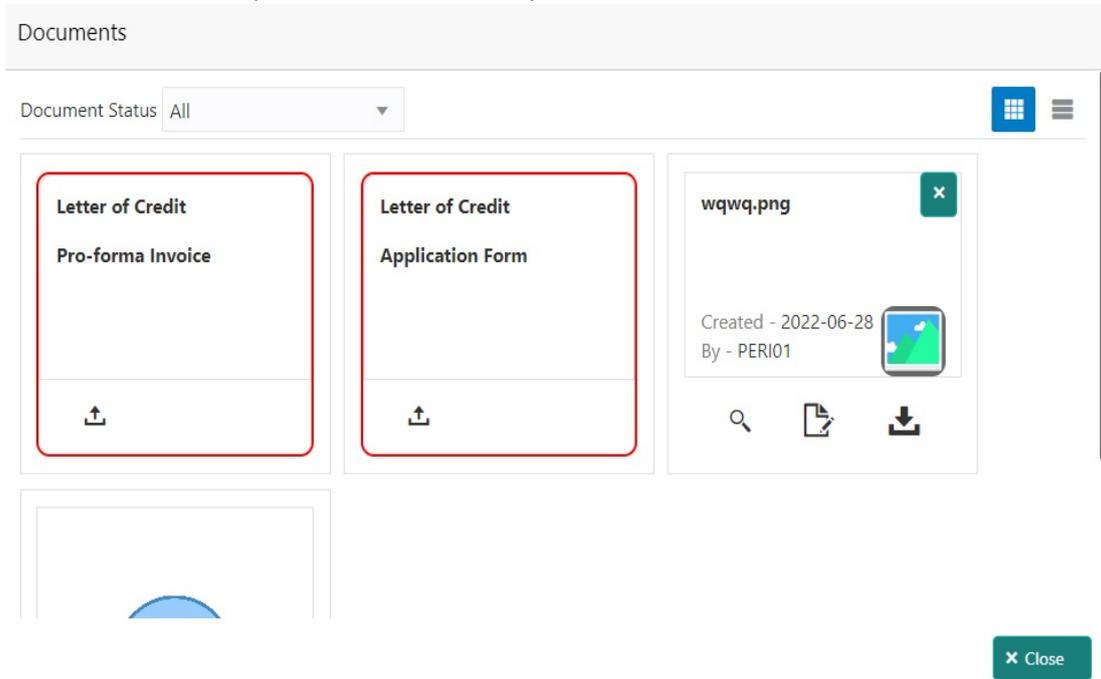


5. Click **Fetch** to retrieve the details from DMS. System Displays all the documents available for the given Document Type and Document Code for the Customer.

| Field                | Description   | Sample Values |
|----------------------|---|---------------|
| Customer ID          | This field displays the transaction Customer ID.      |               |
| Document ID          | Specify the document Id.                              |               |
| Document Type        | Select the document type from list.                   |               |
| Document Code        | Select the document code from list.                   |               |
| <b>Search Result</b> |   |               |
| Document ID          | This field displays the document Code from meta data. |               |
| 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. |               |

| Field         | Description   | Sample Values |
|---------------|---|---------------|
| 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 Documents

The 'Edit Document' form contains the following fields:

- Document Id: 2400
- Document Title: wqwq
- Application Reference Number: PK2ILCI000019041
- Entity Reference Number: PK2ILCI000019041
- Document Type Id: TFPM\_DOCTYPE001
- Document Description: (empty text area)
- Remarks: (empty text area)
- Document Expiry Date: Jun 29, 2022

At the bottom, there is a file upload area with the text 'Drop files here or click to select' and 'Current selected files: []'. 'Update' and 'Cancel' buttons are located at the bottom right.

## Data Enrichment

As part of data enrichment, user can enter/update basic details of the incoming request.



### Note

If the incoming message is MT 707, requests that are received via online channels like trade portal, external system and SWIFT should be available directly for further processing in OBTFPM from Scrutiny stage.

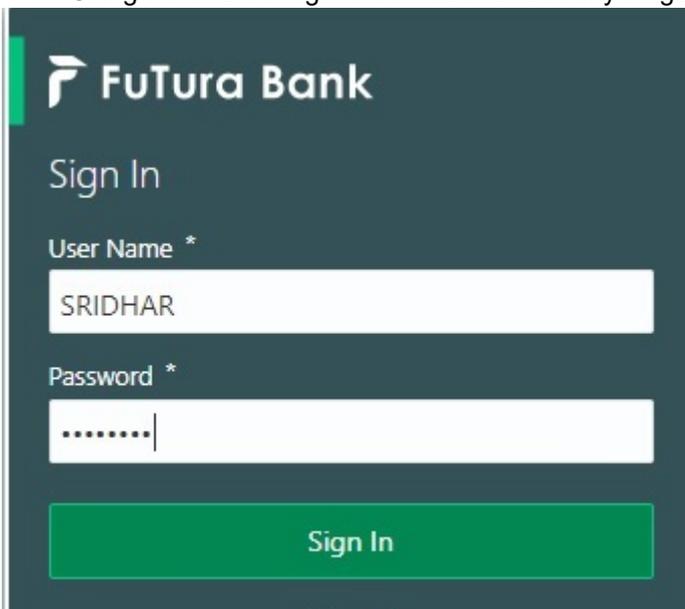


### Note

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 at Data enrichment stage:

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



**FuTura Bank**

Sign In

User Name \*

SRIDHAR

Password \*

.....

Sign In

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

The dashboard displays several widgets:

- Draft Confirmation Pending:** Table with columns: Customer Name, Application Date, Status.
- Hand-off Failure:** Table with columns: Branch, Process Name, Stage Name.
- Priority Details:** Table with columns: Branch, Process Name, Stage Name.
- High Value Transactions:** A bubble chart showing transaction values for GBP.
- SLA Breach Details:** Table with columns: Customer Name, SLA Breached(mins), Priority.
- Priority Summary:** Table with columns: Branch, Process Name, Stage Name.
- Hold Transactions:** Table with columns: Branch, Process Name, Stage Name.
- SLA Status:** A dropdown menu currently set to 'Cucumber Testing'.
- Tasks Detailed:** Table with columns: Branch, Process Name, Stage Name.

9. Click Trade Finance> Tasks> Free Tasks.

The Free Tasks page shows a table with the following data:

| Action         | Priority | Application Number | Branch | Customer Number | Amount     | Process Name               | Stage                        | Back Office Ref No. |
|----------------|----------|--------------------|--------|-----------------|------------|----------------------------|------------------------------|---------------------|
| Acquire & Edit | M        | GS1ELCC000006493   | GS1    | 000262          | £15,000.00 | Export LC Cancellation     | Data Enrichment              | NA                  |
| Acquire & Edit | M        | GS1ELCA000006522   | GS1    | 000263          | £2,500.00  | Export LC Advising         | Scrutiny                     | NA                  |
| Acquire & Edit | H        | GS1ELCA000006503   | GS1    | 000263          | £99,999.19 | Export LC Advising         | Scrutiny                     | GS1ELAC19032B0KN    |
| Acquire & Edit | M        | GS1ILCA000006502   | GS1    | 000262          | £1,000.00  | Import LC Amendment-Ben... | Beneficiary Response Capture | NA                  |
| Acquire & Edit | M        | GS1LCL000006490    | GS1    | 000262          | £2.00      | Import LC Liquidation      | Retry HandOff                | NA                  |
| Acquire & Edit | H        | GS1ELCA000006480   | GS1    | 000263          | £99,999.19 | Export LC Advising         | Scrutiny                     | GS1ELAC19032B06P    |

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

The Oracle Free Tasks page shows a table with the following data:

| Action         | Priority | Process Name              | Process Reference Number | Application Number | Stage                 | Application Date | Branch | Customer Number |
|----------------|----------|---------------------------|--------------------------|--------------------|-----------------------|------------------|--------|-----------------|
| Acquire & Edit | Medium   | Export LC Cancellation    | PK2ELCC000003646         | PK2ELCC000003646   | DataEnrichment        | 21-09-09         | PK2    | 001044          |
| Acquire & Edit | Medium   | Import LC Issuance        | PK1ILCI000003643         | PK1ILCI000003642   | Scrutiny              | 21-09-09         | PK2    | 000326          |
| Acquire & Edit | Medium   | Import LC Issuance        | PK1ILCI000003639         | PK1ILCI000003639   | Scrutiny              | 21-09-09         | PK2    | 000326          |
| Acquire & Edit | Medium   | Export LC Transfer        | PK2ELCT000003641         | PK2ELCT000003641   | Scrutiny              | 21-09-09         | PK2    | 001044          |
| Acquire & Edit | Medium   | Import LC Issuance        | PK1ILCI000003635         | PK1ILCI000003635   | Scrutiny              | 21-09-09         | PK2    | 000326          |
| Acquire & Edit | Medium   | Import LC Issuance        | PK1ILCI000003633         | PK1ILCI000003633   | Scrutiny              | 21-09-09         | PK2    | 000326          |
| Acquire & Edit | Medium   | Import Documentary C...   | PK2IDCL000003628         | PK2IDCL000003628   | DataEnrichment        | 21-09-08         | PK2    | 000153          |
| Acquire & Edit | Medium   | Import Documentary C...   | PK2IDCL000003614         | PK2IDCL000003614   | DataEnrichment        | 21-09-08         | PK2    | 001044          |
| Acquire & Edit | Medium   | Import Documentary C...   | PK2IDCL000003607         | PK2IDCL000003607   | DataEnrichment        | 21-09-08         | PK2    | 001044          |
| Acquire & Edit | Medium   | Guarantee Issuance Ame... | PK2GTEI000002569         | PK2GTEI000002569   | Approval Task Level 1 | 21-08-28         | PK2    | 001044          |
| Acquire & Edit | Medium   | Import LC Issuance        | PK2PERF000009997         | PK2PERF000009997   | Registration          | 21-07-29         | PK2    | 001043          |
| Acquire & Edit | Medium   | Import LC Issuance        | PK2PERF000009997         | PK2PERF000009997   | Registration          | 21-07-29         | PK2    | 001043          |

11. The acquired task will be available in **My Tasks** tab. Click **Edit** to provide input for data enrichment stage.

| Action               | Priority | Application Number | Branch | Customer Number | Amount     | Process Name           | Stage           | Back Office Ref No. |
|----------------------|----------|--------------------|--------|-----------------|------------|------------------------|-----------------|---------------------|
| <a href="#">Edit</a> | M        | GS1ELCC000006493   | GS1    | 000262          | £15,000.00 | Export LC Cancellation | Data Enrichment | NA                  |

The Data Enrichment stage has six sections as follows:

- Main Details
- Availability & Shipment
- Documents & Conditions
- Payment Details
- Details
- Additional Fields
- Additional Details
- Summary

Let's look at the details for Data Enrichment stage. User must be able to enter/update the following fields. Some of the fields that are already having value from Scrutiny/Online channels may not be editable.

## Main Details

Main details section has three sub section as follows:

- Application Details
- LC Details

## Application Details

All fields displayed under Application details section, would be read only except for the **Priority** and **Cancel LC**. Refer to [Application Details](#) for more information of the fields.

## LC Details

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

Following are the fields which can be amended apart from the fields carried over from [LC Details](#) of [Registration](#). Provide the details for the amendable fields based on the description in the following table:

| Field            | Description   | Sample Values |
|------------------|---|---------------|
| Applicable Rules | This field displays the rules of the selected Export LC and user can amend if required.       |               |
| Date of Expiry   | This field displays the expiry date of the selected Export LC and user can amend if required. |               |

| Field                              | Description   | Sample Values |
|------------------------------------|---|---------------|
| Place of Expiry                    | This field displays the place of expiry of the selected Export LC and user can amend if required.               |               |
| Currency/Amount                    | This field displays the value of LC along with the currency details of the selected Export LC.                  |               |
| Percentage Credit Amount Tolerance | This field displays the percentage credit amount tolerance details of the selected Export LC.                   |               |
| Additional Amounts Covered         | This field displays the details of additional amount covered of the selected LC and user can amend if required. |               |

## Action Buttons

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

| Field                 | Description  | Sample Values |
|-----------------------|--|---------------|
| Documents             | <p>Upload the required documents.</p> <p>Application displays mandatory documents to be uploaded for cancellation. Place holders are also available to upload additional documents submitted by the applicant.</p> <p>The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application.</p> |               |
| Remarks               | Provide any additional information regarding the LC. This information can be viewed by other users processing the request.   |               |
| 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>  |               |

| Field                | Description   | Sample Values |
|----------------------|---|---------------|
| Common Group Message | Click Common Group Message button, to send MT799 and MT999 messages from within the task.   |               |
| View LC              | Enables the user to view the latest LC values displayed in the respective fields.   |               |
| 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 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. |               |
| Refer                | User must select a Refer Reason from the values displayed by the system.<br><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.   |               |

# Payment Details

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

| Field   | Description   | Sample Values |
|---|---|---------------|
| Special Payment conditions for beneficiary    | Online and Non Online Channels – If any special payment condition has to be provided to beneficiary, the details for the same must be captured in this field.   |               |
| Special Payment conditions for receiving bank | Online and Non-online channels –If any special payment condition has to be provided to receiving bank, the details for the same must be captured in this field. This field specifies special payment conditions applicable to the receiving bank without disclosure to the beneficiary, for example, post-financing request/conditions for receiving bank only. |               |
| Period for Presentation                       | Online Channel – Read-only.<br>Non Online channel – If the period of presentation is based on any event other than shipment, then you can capture the event name in text along with the number of days in number.   |               |

| Field                        | Description   | Sample Values |
|------------------------------|---|---------------|
| Confirmation Instructions    | <p>Online Channel – Read only.</p> <p>Non Online Channel - Select the confirmation instruction for the LC from the available LOV values – CONFIRM, MAY ADD, WITHOUT.</p> <p>Applicable only if field 49 - confirmation instruction is 'confirm' or 'may add'. You can search through LOV, Party type with banks should only be displayed in LOV. The system should display the</p> <p>a) SWIFT code (if available),</p> <p>b) Name and address of the bank</p> <p>On selection of the record if SWIFT code is available then SWIFT code will be defaulted, if SWIFT code is not available then the bank's name and address to be defaulted.</p> |               |
| Partial Confirmation Allowed | <p>Toggle On: Set the toggle 'On' to enable partial confirmation.</p> <p>Toggle Off: Set the toggle 'Off' to disable partial confirmation.</p> <p><br/><b>Note</b><br/>This field is applicable only if <b>Confirmation Instructions</b> is set to <b>Confirm</b>.</p>   |               |
| Confirmation%                | <p>Provide the confirmation percentage.</p> <p><br/><b>Note</b><br/>This field is applicable only if <b>Confirmation Instructions</b> is set to <b>Confirm</b> and <b>Partial Confirmation Toggle</b> is 'On'.</p> <p><br/><b>Note</b><br/>This field is alternate to '<b>Confirmation Amount</b>'.</p>   |               |

| Field                            | Description  | Sample Values |
|----------------------------------|--|---------------|
| Confirmation Amount              | <p>Provide the confirmation percentage.</p> <p><br/><b>Note</b><br/>This field is applicable only if <b>Confirmation Instructions</b> is set to <b>Confirm</b> and <b>Partial Confirmation Toggle</b> is 'On'.</p> <p><br/><b>Note</b><br/>This field is alternate to '<b>Confirmation Amount</b>'.</p>  |               |
| To be confirmed by Advising Bank | <p><b>Toggle On:</b> Set the toggle on to confirm by advising bank.</p> <p><b>Toggle Off:</b> Set the toggle off for not to be confirmed by advising bank.</p>   |               |
| Requested Confirmation Party     | <p>Select the requested confirmation party from LOV.</p> <p>Online and Non-Online Channels – Provide requested confirmation party details.</p> <p><br/><b>Note</b><br/>This field is applicable only for LC Type - Confirmed LC.</p>  |               |
| Reimbursing Bank                 | <p>If reimbursing bank is applicable user must update the field.</p> <p>Online Channel - Update the details received.</p> <p>Non online channel - Search through LOV. Party type with banks will be displayed in LOV.</p> <ul style="list-style-type: none"> <li>• SWIFT code (if available),</li> <li>• Name and address of the bank</li> </ul> <p>On selection of the record if SWIFT code is available, then SWIFT code will be defaulted. If SWIFT code is not available then the bank's name and address to be defaulted.</p> |               |

| Field                          | Description   | Sample Values |
|--------------------------------|---|---------------|
| Advise Through Bank            | <p>Online Channel – User can update the details received.</p> <p>Non Online Channel -<br/>Search through LOV. Party type with banks must be displayed in LOV.</p> <ul style="list-style-type: none"> <li>• SWIFT code (if available)</li> <li>• Name and address of the bank</li> </ul> <p>On selection of the record if SWIFT code is available, then SWIFT code will be defaulted. If SWIFT code is not available then the bank's name and address to be defaulted.</p> <p><br/><b>Note</b><br/>In case the selected Bank is not RMA Compliant, the system displays error message “RMA arrangement not available”.</p> <p>In case of SWIFT MT707 message, this field is empty.</p> |               |
| Instructions to P/A/N Bank     | <p>Online Channel- User can update details received.</p> <p>Non online channel – Provide the details in this field.</p>   |               |
| Sender to Receiver Information | <p>Online Channel – User can update details received.</p> <p>Non Online Channel – Provide details (FFT).</p>  |               |
| Charges                        | <p>Online Channel – User can update details received.</p> <p>Non Online Channel – Provide details (FFT).</p>  |               |
| Amendment charges payable by   | Read only field.  |               |

### Information to Issuing Bank

Provide MT730 - Information to Issuing Bank details based on the description in the following table:

| Field                          | Description  | Sample Values |
|--------------------------------|--|---------------|
| Sender to Receiver Information | Select a FFT to provide the additional information to receiver.                                |               |
| Narrative                      | Select a FFT to provide the additional information from the advising bank to the issuing bank. |               |
| Issuing Bank Account No        | Select the issuing bank account number from the LOV.   |               |

| Field                 | Description  | Sample Values |
|-----------------------|--|---------------|
| Charges to be Claimed | Select the FFT from the LOV for the charges to be claimed. |               |
| Charges               | Provide the charge details for advising.                   |               |
| Issuing Bank Date     | Select the issuing bank date.                              |               |
| Account with Bank     | Select the account to which the charges needs to be paid.  |               |

### Information to Advise Through Bank

Provide Information to Advise Through Bank details based on the description in the following table:

| Field                          | Description   | Sample Values |
|--------------------------------|---|---------------|
| Sender to Receiver Information | Select a FFT to provide the additional information to receiver. |               |

### Action Buttons

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

| Field        | Description  | Sample Values |
|--------------|--|---------------|
| Documents    | Upload the required documents.   |               |
| Remarks      | Provide any additional information regarding the LC. This information can be viewed by other users processing the request.   |               |
| View LC      | Enables the user to view the latest LC values displayed in the respective fields.  |               |
| Overrides    | Click to view the overrides accepted by the user.  |               |
| Save & Close | Save the informations provided and holds the task in you queue for working later.<br>This option will not submit the request   |               |
| Cancel       | Cancel Scrutiny stage inputs and return to dashboard.  |               |
| 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 and appropriate remarks must be provided. |               |

| 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> |               |
| Refer  | <p>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>  |               |
| 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>  |               |

## Additional Fields

Banks can configure these additional fields during implementation.

Export LC Cancellation - DataEnrichment :: Application No: PK2ELCC000062800 View LC

Screen ( 3 / 7 )

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

### Additional Fields

Additional Fields

No Additional fields configured!

Audit
Reject Refer Hold Cancel Save & Close Back Next

## Additional Details

Export LC Cancellation  
DataEnrichment :: Application No:- PK2ELCC000073653 View LC

Screen ( 5 / 7 )

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

### Additional Details

| Preview Messages                 | Commission,Charges and...                           | Limits and Collaterals   |
|----------------------------------|---|--|
| Language :<br>Preview Advice : - | Charge :<br>Commission :<br>Tax :<br>Block Status : | Limit Currency :<br>Limit Contribution :<br>Limit Status :<br>Collateral Currency :<br>Collateral :<br>Contribution :<br>Collateral Status : |

Audit
Reject Refer Hold Cancel Save & Close Back Next

## Limits & Collateral

Limit availability needs to be checked if involves increase in amount or tolerance or both. This is applicable for confirmation of the unconfirmed LC or increasing the amount or tolerance if already LC is already confirmed.

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

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

Limits and Collaterals

Limit Details

| Customer ID         | Linkage Type | Liability Number | Line Id/Linkage Ref No | Line Serial | Contribution % | Contribution Currency | Contribution Amount | Limit Check Response | Response Message |
|---------------------|--------------|------------------|------------------------|-------------|----------------|-----------------------|---------------------|----------------------|------------------|
| No data to display. |              |                  |                        |             |                |                       |                     |                      |                  |

Cash Collateral Details

Collateral Percentage \* 20.0

Collateral Currency and amount GBP £220.00

Exchange Rate

| Sequence Number | Settlement Account Currency | Settlement Account | Exchange Rate | Collateral % | Contribution Amount | Contribution Amount in Account Currency | Account Balance Check Response |
|-----------------|-----------------------------|--------------------|---------------|--------------|---------------------|---|--------------------------------|
| 1               |                             | PK20010440017      | 1             | 100          |                     |   |                                |

Deposit Linkage Details

| Deposit Account                           | Deposit Currency | Deposit Maturity Date | Transaction Currency | Deposit Available In Transaction Currency | Linkage Amount(Transaction Currency) | Edit             | Delete |
|---|------------------|-----------------------|----------------------|---|--------------------------------------|------------------|--------|
| <input type="checkbox"/> PK2CDP1221100002 | GBP              | 2023-04-20            | GBP                  | 87508                                     | £495.00                              | PK2CDP1221100002 |        |

Save & Close Cancel

Limit Details

Customer Id 001044

Linkage Type \* Facility

Contribution % \* 1.0

Liability Number \* PK2LIAB01

Contribution Currency GBP

Line Id/Linkage Ref No \* PK2L01SL1

Limit/Liability Currency GBP

Limits Description

Limit Check Response Available

Contribution Amount \* £220.00

Expiry Date

Limit Available Amount £999,999,903.89

Response Message The Earmark can be performed as the f

ELCM Reference Number

Verify Save & Close Close

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

| Field   | Description                               | Sample Values |
|---|---|---------------|
|  | Click plus icon to add new Limit Details. |               |

| Field   | Description  | Sample Values |
|---|--|---------------|
| <p>Limit Details</p> <p>Click + plus icon to add new limit details.</p> <p>Below fields are displayed on the Limit Details pop-up screen, if the user clicks plus icon.</p> |  |               |
| Customer ID   | Applicant's/Applicant Bank customer ID will get defaulted.   |               |
| Linkage Type  | <p>Select the linkage type.</p> <p>Linkage type can be:</p> <ul style="list-style-type: none"> <li>• Facility</li> <li>• Liability</li> </ul> <p>By default Linkage Type should be "Facility".</p>   |               |
| Contribution%   | <p>System will default this to 100%. User can modify, if contribution is more than 100%. 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>   |               |
| Liability Number  | <p>Click <b>Search</b> to search and select the Liability Number from the look-up.</p> <p>The list has all the Liabilities mapped to the customer.</p>   |               |
| Contribution Currency   | The LC currency will be defaulted in this field.   |               |
| Line ID/Linkage Ref No  | <p>Click <b>Search</b> to search and select the 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.</p> <p><br/><b>Note</b></p> <p>User can also select expired Line ID from the lookup and on clicking the verify button, system should default "The Earmarking cannot be performed as the Line ID is Expired" in the "Response Message" field.</p> <p>This field is disabled and read only, if <b>Linkage Type</b> is <b>Liability</b>.</p> |               |

| Field                     | Description   | Sample Values |
|---------------------------|---|---------------|
| Line Serial               | Displays the serial of the various lines available and mapped under the customer id.<br>This field appears on the Limits grid.  |               |
| Limit/ Liability Currency | Limit Currency will be defaulted in this field, when you select the <b>Liability Number</b>   |               |
| Limits Description        | This field displays the limits description.   |               |
| Limit Check Response      | Response can be 'Success' or 'Limit not Available' based on the limit service call response.  |               |
| Contribution Amount       | Contribution amount will default based on the contribution %.<br>User can change the value.   |               |
| Expiry Date               | This field displays the date up to which the Line is valid  |               |
| Limit Available Amount    | This field will display the value of available limit, i.e., limit available without any earmark. The Limit Available Amount must be greater than the Contribution Amount.<br>The value in this field appears, if you click the Verify button. |               |
| Response Message          | Detailed Response message.<br>The value in this field appears, if you click the Verify button.  |               |
| ELCM Reference Number     | This field displays the ELCM reference number.  |               |

Collateral availability needs to be checked if involves increase in amount or tolerance. Provide the collateral details based on the description provided in the following table:

Collateral Details
✕

|  |  |
|--|--|
| <b>Total Collateral Amount *</b><br><input type="text" value="\$67.00"/>             | <b>Collateral Amount to be Collected *</b><br><input type="text" value="\$0.00"/>  |
| <b>Sequence Number</b><br><input type="text" value="2.0"/>                           | <b>Collateral Split % *</b><br><input type="text" value="100.0"/> <div style="display: flex; align-items: center;"> <span style="font-size: 12px;">▼</span> <span style="font-size: 12px;">▲</span> </div> |
| <b>Collateral Contribution Amount *</b><br><input type="text" value="\$67.00"/>      | <b>Settlement Account *</b><br><input type="text" value="PK1000327018"/> <div style="text-align: right; font-size: 12px;">🔍</div>  |
| <b>Settlement Account Currency</b><br><input type="text" value="GBP"/>               | <b>Exchange Rate</b><br><input type="text" value="1.3"/> <div style="display: flex; align-items: center;"> <span style="font-size: 12px;">▼</span> <span style="font-size: 12px;">▲</span> </div>          |
| <b>Contribution Amount in Account Currency</b><br><input type="text" value="£0.00"/> | <b>Account Available Amount</b><br><input type="text" value="£99,999,393,343.91"/>   |
| <b>Response</b><br><input type="text" value="VS"/>                                   | <b>Response Message</b><br><input type="text" value="The amount block can be performed as:"/>  |

| Field  | Description  | Sample Values |
|--|--|---------------|
| <b>Cash Collateral Details</b>   |  |               |
| Collateral Percentage  | Specify the percentage of collateral to be linked to this transaction.   |               |
| Collateral Currency and amount   | System populates the contract currency as collateral currency by default.<br>User can modify the collateral Currency and amount. |               |
| <p>Click + plus icon to add new collateral details.</p> <p>Below fields are displayed on the Collateral Details pop-up screen, if the user clicks plus icon.</p> |  |               |
| 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.               |               |
| Sequence Number  | Read only field.<br>The sequence number is auto populated with the value, generated by the system.                               |               |
| Collateral Split %   | Specify the collateral split% to be collected against the selected settlement account.   |               |

| Field   | Description  | Sample Values |
|---|--|---------------|
| 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 then 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  | Read only field.<br><br>Account available amount will be auto-populated based on the Settlement Account selection.   |               |
| Currency  | The LC currency will get defaulted in this field.  |               |
| Response  | Response can be 'Success' or 'Amount not Available'.<br><br>System populates the response on clicking the <b>Verify</b> button.  |               |
| Response Message  | Detailed Response message.<br><br>System populates the response on clicking the <b>Verify</b> button.  |               |
| Verify  | Click to verify the account balance of the Settlement Account.   |               |
| Save & Close  | Click to save and close the record.  |               |
| 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.  |               |

| Field  | Description  | Sample Values |
|--|--|---------------|
| Contribution Amount  | <p>This field displays the collateral contribution amount.</p> <p>The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message "Defaulted Collateral Percentage modified.</p> |               |
| Account Balance Check Response   |  |               |
| Delete Icon<br> | Click minus icon to remove any existing Collateral Details.  |               |
| Edit Link  | Click edit link to edit any existing Collateral Details.   |               |

#### Deposit Linkage Details

In this section which the deposit linkage details should be captured. System should allow the user to Link one or more existing Deposits as a contribution to secure underlying transactions. On Submit of DE

stage, system will create Linkage of the Deposit/modification of existing Linkage by calling Back-office system (DDA) system directly.

Deposit Linkage Details
✕

Deposit Account

Deposit Available Amount

Exchange Rate

Linkage Percentage % \*

Deposit Branch

Deposit Maturity Date

Deposit Available In Transaction Currency

Linkage Amount(Transaction Currency) \*

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.              |               |
| Deposit Currency   | The currency will get defaulted in this field.          |               |

Below fields are displayed on the Deposit Linkage Details pop-up screen, if the user clicks plus icon.

|                          |   |  |
|--------------------------|---|--|
| Deposit Account          | All the Deposits of the customer should be listed in the LOV search. User should be able to select the deposit for linkage. |  |
| Deposit Branch           | Branch will be auto populated based on the Deposit Account selection.   |  |
| Deposit Available Amount | The currency and amount will be auto-populated based on the Deposit Account selection.                                      |  |
| Deposit Maturity Date    | Maturity Date of Deposit to be displayed.   |  |

| Field                                     | Description   | Sample Values |
|---|---|---------------|
| Exchange Rate                             | Latest Exchange Rate for deposit linkage should be displayed. This will be picked up from the exchange rate maintenance from the common core. |               |
| Deposit Available In Transaction Currency | This field displays the deposit amount available, after exchange rate conversion, if applicable.  |               |
| Linkage Percentage %                      | Specify the value for linkage percentage.   |               |
| Linkage Amount (Transaction Currency)     | System to default the transaction amount user can change the value.   |               |

## Charge Details

On click of 'Next' in the previous screen, system will auto populate the charges, commission and tax components mapped to the product from the back office system.

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

Commission,Charges and Taxes
×

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 (0 of 0 items) ⏪ < 1 > ⏩

☰ Charge Details

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

Page 1 (0 of 0 items) ⏪ < 1 > ⏩

☰ Tax Details

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

Save & Close
Cancel

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                                       |               |

| Field              | Description  | Sample Values |
|--------------------|--|---------------|
| Rate               | <p>Defaults from product.</p> <p>The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate.</p> <p>If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.</p>   |               |
| Modified Rate      | From the default value, if the rate or amount is changed, the modified value gets updated in the modified amount field.  |               |
| Currency           | Defaults the currency in which the commission needs to be collected  |               |
| Amount             | <p>An amount that is maintained under the product code defaults in this field.</p> <p>The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate, but not the commission amount directly. The amount gets modified based on the rate changed and the new amount is calculated in back office based on the new rate and is populated in OBTFPM.</p> <p>If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.</p> |               |
| Modified           | From the default value, if the rate or amount is changed, the modified value gets updated in the modified amount field.  |               |
| Defer              | Select the check box, if charges/commissions has to be deferred and collected at any future step.  |               |
| Waive              | <p>Select the check box to waive charges/ commission.</p> <p>Based on the customer maintenance, the charges/commission can be marked for Billing or Defer.</p> <p>If the defaulted Commission is changed to defer or billing or waive, system must capture the user details and the modification details in the 'Remarks' place holder.</p>  |               |
| Charge Party       | Charge party will be 'Beneficiary' by Default. You can change the value to Applicant   |               |
| Settlement Account | Details of the Settlement Account.   |               |

## Charge Details

| Field              | Description   | Sample Values |
|--------------------|---|---------------|
| Component          | Charge Component type.  |               |
| 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.   |               |
| Currency           | Defaults the currency in which the charges have to be collected.  |               |
| Amount             | An amount that is maintained under the product code gets defaulted in this field. User can edit the value, if required.   |               |
| Modified           | From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field.   |               |
| 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 beneficiary by default. You can change the value to applicant.   |               |
| Settlement Account | Details of the settlement account.  |               |

## Tax Details

The tax component is calculated based on the commission and defaults if maintained at product level. User cannot update tax details and any change in tax amount on account of modification of charges/ commission will be available on click of Re-Calculate button or on hand off to back-end system.

Tax details are defaulted from the back-end system.

| Field              | Description   | Sample Values |
|--------------------|---|---------------|
| Component          | Tax Component type  |               |
| Type               | This field displays the 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>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>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.  |               |

# Settlement Details

Export LC Cancellation - DataEnrichment :: Application No: PK2ELCC000003646

Overrides View LC

- 1 Main Details
- 2 Payment Details
- 3 Additional Fields
- 4 Advices
- 5 Additional Details
- 6 Settlement Details**
- 7 Summary

Settlement Details  Current Event Screen ( 6 / 7 )

Settlement Details

| Component       | Currency | Debit/Credit | Account       | Account Description | Account Currency | Netting Indicator | Current Event | Original Exchange Rate | Exchange Rate | Deal Reference N |
|-----------------|----------|--------------|---------------|---------------------|------------------|-------------------|---------------|------------------------|---------------|------------------|
| AMT_PURCHASED   | GBP      | Debit        | PK20037630047 | CITIBANK IRELAND    | GBP              | No                | No            |                        |               |                  |
| AMT_PURCHASEDEQ | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |                        |               |                  |
| BCCOUR_LIQD     | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |                        |               |                  |
| BILL_AMND_AMT   | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |                        |               |                  |
| BILL_LIQ_AMT    | GBP      | Debit        | PK20037630047 | CITIBANK IRELAND    | GBP              | No                | No            |                        |               |                  |
| BILL_LIQ_AMTEQ  | GBP      | Credit       | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |                        |               |                  |
| BILL_OS_AMT     | GBP      | Debit        | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |                        |               |                  |
| CHG1_LIQD       | GBP      | Credit       | PK20010440017 | GOODCARE PLC        | GBP              | No                | No            |                        |               |                  |
| CHG1_LIQD_AMTEQ | GBP      | Debit        | PK20037630047 | CITIBANK IRELAND    | GBP              | No                | No            |                        |               |                  |
| COLL_LIQ_AMT    | GBP      | Debit        | PK20037630047 | CITIBANK IRELAND    | GBP              | No                | No            |                        |               |                  |

Audit Reject Refer Hold Cancel Save & Close Back Next

| Field                  | Description   | Sample Values |
|------------------------|---|---------------|
| Current Event          | The user can select the check box to populate the settlement details of the current event associated with the task. On De-selecting the check box, the system list all the accounts under the settlement details irrespective of the current event. |               |
| Component              | Components gets defaulted based on the product selected.  |               |
| Currency               | System displays the default currency for the component.   |               |
| Debit/Credit           | System displays the debit/credit indicators for the components.   |               |
| Account                | System displays the account details for the components.   |               |
| Account Description    | System displays the description of the selected account.  |               |
| Account Currency       | System defaults the currency for all the items based on the account number.   |               |
| Netting Indicator      | System defaults the applicable netting indicator.   |               |
| Current Event          | System defaults the current event as Y or N.  |               |
| Original Exchange Rate | System displays the Original Exchange Rate as simulated in settlement details section from OBTF   |               |
| Exchange Rate          | The exchange rate.  |               |
| Deal Reference Number  | The exchange deal reference number.   |               |

## Summary

User can review the summary of details updated in Data Enrichment stage Export LC Cancellation request.

### Tiles Displayed in Summary

- Main Details - User can view about application details and LC details.
- Party Details - User can view details like beneficiary, issuing bank etc..
- Additional Fields - User can view the details of additional fields.
- Limits and Collaterals - User can view limits and collateral details.
- Charges - User can view charge details.
- Preview - User can view the preview messages.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Accounting Details - User can view the accounting entries generated in back office.

### Action Buttons

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

| Field     | Description   | Sample Values |
|-----------|---|---------------|
| Documents | Upload the required documents.<br>Application displays mandatory documents to be uploaded for cancellation. Place holders are also available to upload additional documents submitted by the applicant. |               |
| Remarks   | Provide any additional information regarding the LC. This information can be viewed by other users processing the request.  |               |
| View LC   | Enables the user to view the latest LC values displayed in the respective fields.   |               |
| Overrides | Click to view the overrides accepted by the user.   |               |

| 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       | Cancel the Data Enrichment 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. |               |
| Refer        | User must select a Refer Reason from the values displayed by the system.<br><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>   |               |

## Exceptions

The Export LC Cancellation request, before it reaches the approval stage, the application will validate the Amount Block, KYC and AML. If any of these failed in validation will reach exception stage for further clearance for the exceptions.

### Exception - Amount Block

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

The transactions that have failed amount block due to non-availability of amount in respective account will reach the amount block exception stage.

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

On Approval, system should not release the Amount Block against each applicable account and system should handoff the "Amount Block Reference Number" to the back office. On successful handoff, back office will make use of these "Amount Block

Reference Number" to release the Amount Block done in the mid office (OBTFPM) and should debit the CASA account from the Back office. If multiple accounts are applicable, Amount Block.

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

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

Approve:

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

Refer:

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

Reject:

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

## Amount Block Exception

This section will display the amount block exception details.

Export LCCancellation - Amount Block Exception

Amount Block Exception

Application :- 2031LCISS000000888

Amount Block Exception Details

| Type                | Contract Currency | Block Amount | Branch | Account | Account Currency | Block Ref No | Block Status | Block Status Details |
|---------------------|-------------------|--------------|--------|---------|------------------|--------------|--------------|----------------------|
| No data to display. |                   |              |        |         |                  |              |              |                      |

Reject Hold Refer Cancel Approve Back Next

## Summary

Export LCCancellation - Amount Block Exception

Application :- 2031LCISS000000888

| Main Details    |                    |
|-----------------|--------------------|
| Form Of LC      | : IRREVOCABLE      |
| Submission Mode | : Desk             |
| Date Of Issue   | : 2018-07-17       |
| Date Of Expiry  | : 2018-08-17       |
| Place Of Expiry | : NEGOTIATING BANK |

| Party Details   |       |
|-----------------|-------|
| Applicant       | : XXX |
| Beneficiary     | : XXX |
| Advising Bank   | : XXX |
| Confirming Bank | :     |

| Limits & Collaterals    |             |
|-------------------------|-------------|
| Limit Currency          | : GBP       |
| Limit Contribution      | : 15000     |
| Limit Status            | : Earmarked |
| Collateral Currency     | : GBP       |
| Collateral Contribution | : 3000      |
| Collateral Status       | : Available |

| Charge Details |                 |
|----------------|-----------------|
| Charge         | :               |
| Commission     | :               |
| Tax            | :               |
| Block Status   | : Not Initiated |

Reject Hold Refer Cancel Approve Back Next

Tiles Displayed in Summary:

- Main Details - User can view details about application details and LC details.
- Party Details - User can view party details like beneficiary, advising bank etc.
- Limits and Collaterals - User can view limits and collateral details.
- Charge Details - User can view details provided for charges.

## 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   | 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> |               |
| Cancel  | Cancel the Export LC Cancellation Amount Block Exception check.   |               |
| Approve | On approve, application must validate for all mandatory field values, and task must move to the next logical stage.   |               |
| Back    | Task moves to previous logical step.  |               |

## Multi Level Approval

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.

## Summary

Export LC Cancellation - Approval Task Level 1 :: Application No: PK2ELCC000062789



| Main Details   | Payment Details  | Additional Fields   | Advices                                 |
|--|--|---|---|
| Form of LC : <b>IRREVOCABLE</b><br>Submission Mode : <b>Desk</b><br>Date of Issue : <b>2021-05-05</b><br>Date of Expiry : <b>2021-08-03</b><br>Place of Expiry : <b>dfd fdgg</b> | Period of Present. :<br>Confirmation Instr. : <b>MAY ADD</b>   | Click here to view :<br>Additional fields                             | Advice 1 :<br>Advice 2 :                |
| Preview Messages   | Limits and Collaterals   | Commission, Charges and Taxes   | Accounting Details                      |
| Language : <b>ENG</b><br>Preview Message : -   | Limit Currency :<br>Limit Contribution :<br>Limit Status : <b>Not Verified</b><br>Collateral Currency : <b>GBP</b><br>Collateral Contr. :<br>Collateral Status : <b>Not Verified</b> | Charge :<br>Commission :<br>Tax :<br>Block Status : <b>Not Initia</b> | Event :<br>Account Number :<br>Branch : |

Audit

Reject Hold Refer Cancel Approve

Tiles Displayed in Summary:

- Main Details - User can view about application details and LC details.

- Party Details - User can view details like beneficiary, issuing bank etc..
- Availability - User can view availability details.
- Payment - User can view payment details.
- Document & Conditions - User can view the details of document and conditions.
- Revolving Details - User can view the revolving details.
- Additional Fields - User can view the details of additional fields.
- Limits and Collaterals - User can view limits and collateral details.
- Charges - User can view charge details.
- Preview - User can view the preview messages.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

## Action Buttons

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

| Field  | Description   | Sample Values |
|--------|---|---------------|
| Reject | <p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes:</p> <ul style="list-style-type: none"> <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>  |               |
| 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 approval.  |               |

| Field   | Description  | Sample Values |
|---------|--|---------------|
| 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. |               |

## Reject Approval

As a Reject approver, user can review a transaction rejected and waiting for reject confirmation.

Log in into OBTFPM application to view the reject approval tasks for Export LC Cancellation in queue. On opening the task, you will see summary tiles. The tiles will display a list of important fields with values.

The tile containing the screen from where the reject was triggered will be highlighted in red.

User can drill down from reject summary tiles into respective data segments to verify the details of all fields under the data segment.

### Application Details

The application details data segment have values for requests received from both non-online and online channels.

### Summary

The data captured during handling of the transaction until the stage when reject is given will be available in the summary tile. Other fields will be blank when verified from summary tile.

The data segment in which the task was rejected will have the tiles highlighted in a different colour (red).

- Main Details - User can view and modify details about application details and LC details, if required.
- Party Details - User can view and modify party details like beneficiary, advising bank etc., if required
- Availability and Shipment - User can view and modify availability and shipment details, if required.
- Payments - User can view and modify all details related to payments, if required.
- Amended Details - User can view the amended details of the issued LC.
- Documents & Condition - User can view and modify the documents required grid and the additional conditions grid, if required.
- Limits and Collaterals - User can view and modify limits and collateral details, if required.
- Charges - User can view and modify charge details, if required.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

### Action Buttons

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

| Field          | Description  | Sample Values |
|----------------|--|---------------|
| Reject Approve | On click of Reject Approve, the transaction is rejected. |               |

| Field          | Description   | Sample Values |
|----------------|---|---------------|
| Reject Decline | On click of Reject Decline, the task moves back to the stage where it was rejected. User can update the reason for reject decline in remarks. |               |
| Hold           | User can put the transaction on 'Hold'. Task will remain in Pending state.  |               |
| Cancel         | Cancel the Reject Approval.   |               |

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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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