Export LC Transfer Amendment - Beneficiary Consent User Guide
**Oracle Banking Trade Finance Process Management**
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Oracle Banking Trade Finance Process Management - Export LC Transfer Amendment - Beneficiary Consent User Guide
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# Contents

# 1. Preface

## 1.1 Introduction

This user manual is designed to help you quickly get acquainted with Export LC Transfer Amendment Beneficiary Consent process in Oracle Banking Trade Finance Process Management.

## 1.2 Audience

This manual is intended for the following User/User Roles:

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

## 1.3 Documentation Accessibility

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

Access to Oracle Support

Oracle customers that have purchased support have access to electronic support through My Oracle Support. For information, visit http://www.oracle.com/pls/topic/lookup?ctx=acc&id=info or visit http://www.oracle.com/pls/topic/lookup?ctx=acc&id=trs if you are hearing impaired.

## 1.4 Organization

This manual is organized into the following chapters:

- Preface gives information on the intended audience, structure, and related documents for this User Manual.
- The subsequent chapters provide an overview to the module.

## 1.5 Related Documents

- Settlements User Manual
- Core Services User Manual
- Procedures User Manual
- Common Core - Automated End of Day User Manual

## 1.6 Diversity and Inclusion

Oracle is fully committed to diversity and inclusion. Oracle respects and values having a diverse workforce that increases thought leadership and innovation. As part of our initiative to build a more inclusive culture that positively impacts our employees, customers, and partners,

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we are working to remove insensitive terms from our products and documentation. We are also mindful of the necessity to maintain compatibility with our customers' existing technologies and the need to ensure continuity of service as Oracle's offerings and industry standards evolve. Because of these technical constraints, our effort to remove insensitive terms is ongoing and will take time and external cooperation.

## 1.7 Conventions

The following text conventions are used in this document:

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

## 1.8 Screenshot Disclaimer

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

## 1.9 Glossary of Icons

This User Manual may refer to all or some of the following icons.

| Icons | Function |
| --- | --- |
| ✕ | Exit |
| + | Add row |
| — | Delete row |
| Q | Option List |

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# 2. 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

## 2.1 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).

## 2.2 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.

## 2.3 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.

# 3. Export LC Transfer Amendment Beneficiary Consent

Transfer LC Amendment may require second beneficiary's consent for the amendment terms.

Following are some of the scenarios where second beneficiary's consent may be required:

- Amendment of the Expiry Date
- Amendment of the Amount
- Amendment of the Latest Shipment date
- Amendment of the Goods Description
- Amendment of the Shipment Details
- Amendment of the Documents Required
- Amendment of the Additional Conditions

This section contains the following topics:

## 3.1 Common Initiation Stage

The user can initiate the new export LC transfer amendment beneficiary consent 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. |
| LC Reference Number | Select the LC Reference Number. |

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| Field | Description |
| --- | --- |
| Branch | Select the branch. |

### 3.1.0.1 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. |

## 3.2 Registration

During the Registration stage, the user can register a request for an Export LC Transfer Amendment Beneficiary Consent.

User can capture the basic details of the response, check the signature of the signatory from the advising bank and upload the related documents. On submit of the request, the request should be available for an LC expert to handle in the next stage.

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

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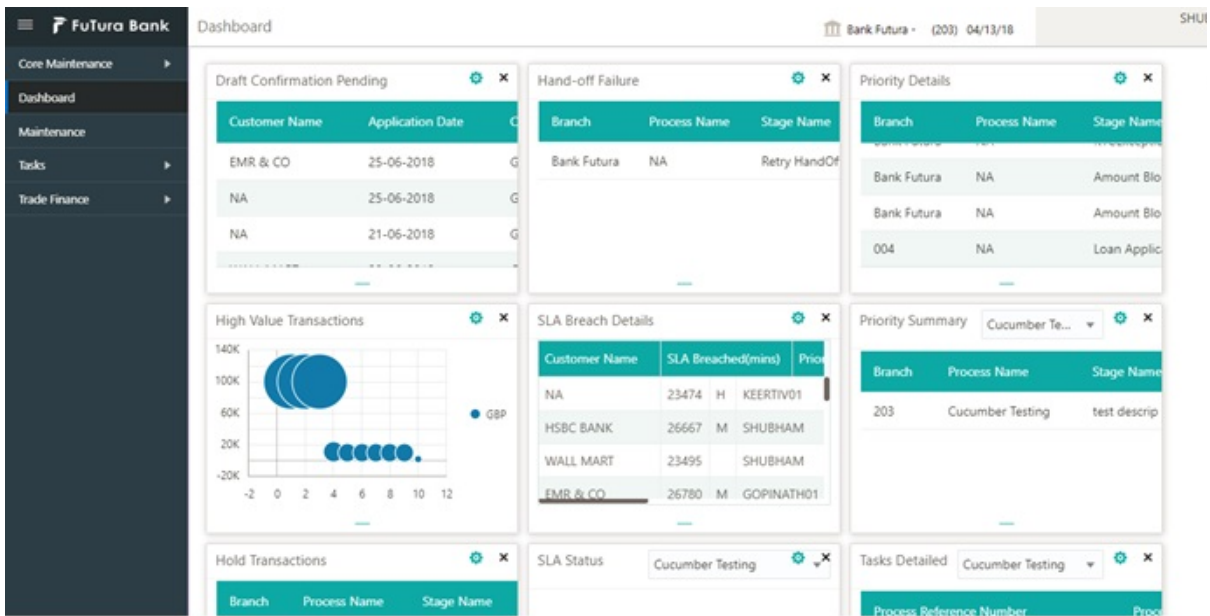


3.  Click **Trade Finance> Export - Documentary Credit> Export LC Transfer Amendment Beneficiary Consent.**
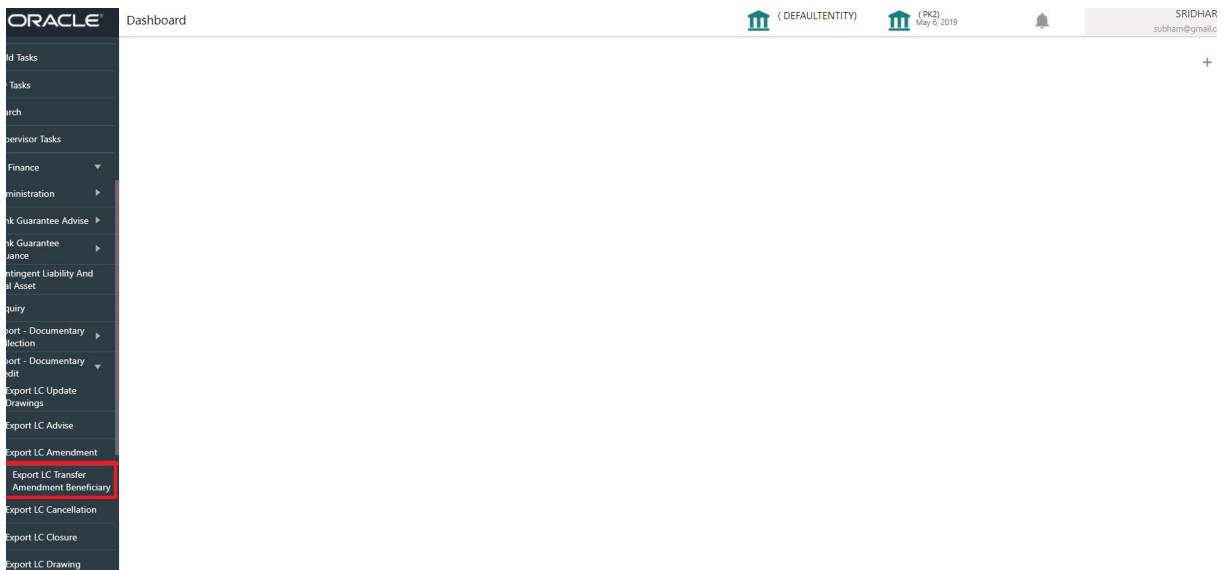


The Registration stage has two sections Application Details and Beneficiary Response Capture. Let's look at the details of Registration screens below:

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## 3.2.1　Application Details



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

| Field | Description | Sample Values |
|---|---|---|
| Transfer LC Reference Number | User can search the Transfer LC Reference Number by using the LOV.<br><br>As part of LOV criteria; user can input the Transfer LC Reference Number, Applicant, Currency, Amount or User Reference Number. | |
| Beneficiary | Beneficiary details is defaulted from the underlying Transfer LC. | EMR & CO |
| Branch | Read only field.<br><br>Branch details will be auto-populated from the Transfer LC details. | 203-Bank Futura -Branch FZ1 |
| Process Reference Number | Read only field.<br><br>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.<br><br>User can change the priority populated any time before submit. | High |

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| Field | Description | Sample Values |
|-------|-------------|---------------|
| Submission Mode | Select the submission mode of Export LC Transfer Amendment Beneficiary Consent request. By default the submission mode will have the value as 'Desk'.<br><br>**Desk-** Request received through Desk<br><br>**FAX -** Request received through FAX<br><br>**Email -** Request received through Email<br><br>**Courier-** Request received through Courier | Desk |
| Response Received 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>**Note**<br><br>Future date selection is not allowed. | 04/13/2018 |

### 3.2.2  Beneficiary Response Capture

This section displays the Beneficiary Response Capture details.



Provide the Beneficiary Response Capture based on the description in the following table:

| Field | Description | Sample Values |
|-------|-------------|---------------|
| Amendment Number | Read only field.<br><br>Amendment number will be auto-populated based on selected Transfer LC Reference Number. | |
| Amendment Date | Read only field.<br><br>This field displays the date on which the amendment was made to Transfer LC. | |
| Beneficiary Consent Required | Read only field.<br><br>Beneficiary Confirmation Required (Y/N) will be auto populated based on selected Transfer LC Reference Number. | |

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| Field | Description | Sample Values |
|---|---|---|
| Beneficiary Response | Select the Beneficiary response from the LOV - Confirmed, Unconfirmed or Rejected.<br><br>Beneficiary Response field will be read only if Beneficiary Consent Required is 'No'. | |
| Remarks | Specify the remarks for the Export LC Transfer Amendment Beneficiary Consent. | |
| Action | Click the Edit icon to edit the Beneficiary Response. | |

### 3.2.3    Miscellaneous



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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Upload the required documents. If mandatory documents are not uploaded, system should display an error on submit. | |
| Remarks | Provide any additional information regarding the Beneficiary Consent. This information can be viewed by other users processing the request. | |

| Field | Description | Sample Values |
|---|---|---|
| Customer Instructions | Click to view/ input the following<br><br>● **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br><br>● **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. | |
| Common Group Message | Click Common Group Message button, to send MT799 and MT999 messages from within the task. | |
| View LC | Click to view the latest transfer LC details. | |
| Events | Click to view the transfer LC events. | |
| LC Version | System displays the Transfer LC version wise if there are any amendments. In case there are no amendments then system should display transfer LC details directly under version 1. | |
| **Action Buttons** | | |
| Submit | On submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. Task will get moved to next logical stage of Export LC Amendment - Beneficiary Consent.<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 | Cancels the Export LC Amendment - Beneficiary Consent Registration 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 and appropriate remarks must be provided. | |

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| Field | Description | Sample Values |
|-------|-------------|---------------|
| 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. The checklist items under Registration Stage are: <br> • Verified Beneficiary Instructions <br> • All Documents uploaded | |

### 3.2.4  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.

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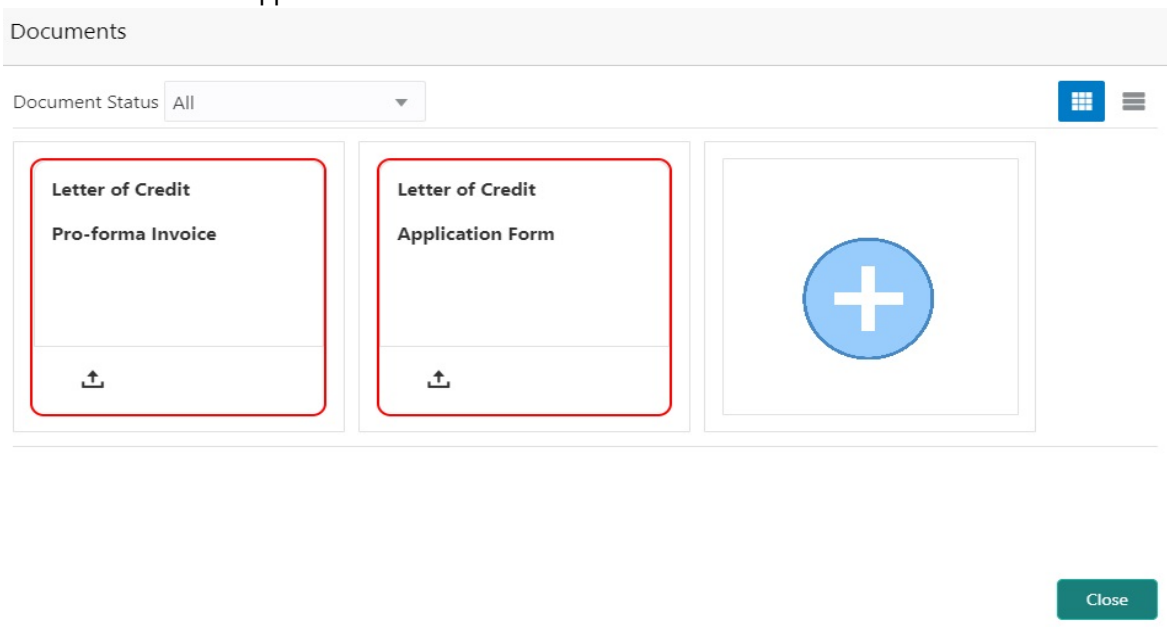
3. Click the Add Additional Documents button/ link. The **Document** screen appears.

**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. Indicates the document type from metadata. | |
| Document Code | Select the Document Code from list. Indicates the document Code from metadata. | |
| Document Title | Specify the document title. | |
| Document Description | Specify the document description. | |
| Remarks | Specify the remarks. | |
| Document Expiry Date | Select the document expiry date. | |
| Link Document | The link to link the existing uploaded documents from DMS to the workflow task. | |

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

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

| Link Document | | | | | | | |
|---|---|---|---|---|---|---|---|
| Customer Id * | | | | | Document Id | | |
| 032204 | | | | | | | |
| Document Type * | | | | | Document Code * | | |
| | | | | | | | |
| | Fetch | | | | | | |
| Link Document | Document Id | Customer Id | Document Type | Document Code | Upload Date | Reference Number | |
| No data to display. | | | | | | | |
| Page 1 (0 of 0 items) |К< 1 > Ж | | | | | | |

Close

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. | |
| 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. | |

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

**Link Document**

Customer Id *

032204

Document Type *

Documentary Collection ▼

Document Id

Document Code *

Insurance Policy ▼

[Fetch]

| Link Document | Document Id | Customer Id | Document Type | Document Code | Upload Date | Reference Number |
|---|---|---|---|---|---|---|
| Link | 1559 | 032204 | HGJH | INSURANCE | Mar 9, 2023 | 032IDCB000017631 |
| Link | 2649 | 032204 | testing | INSURANCE | Mar 29, 2023 | 032ILCC000021179 |
| Link | 4143 | 032204 | | INSURANCE | May 8, 2023 | 032ILCU000032029 |
| Link | 4145 | 032204 | | INSURANCE | May 8, 2023 | 032ILCU000032042 |
| Link | 4305 | 032204 | | INSURANCE | May 10, 2023 | 032IDCB000033105 |

Page 1 of 2 (1-5 of 7 items) |< < 1 2 > >|

[Close]

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

7. Click Edit icon to edit the documents. The Edit Documents

**Edit Document**

Document Id

2400

Application Reference Number

PK2ILCI000019041

Document Type Id

TFPM_DOCTYPE001

Remarks

Document Title

wqwq

Entity Reference Number

PK2ILCI000019041

Document Description

Document Expiry Date

Jun 29, 2022 📅

Drop files here or click to select     Current selected files: []

[Update] [Cancel]

## 3.3   Data Enrichment

DE User can process new request for Export LC Transfer Amendment Beneficiary Consent.

As a part of Data Enrichment stage, User can enter/update basic details of the incoming request and verify if the request can be progressed further.
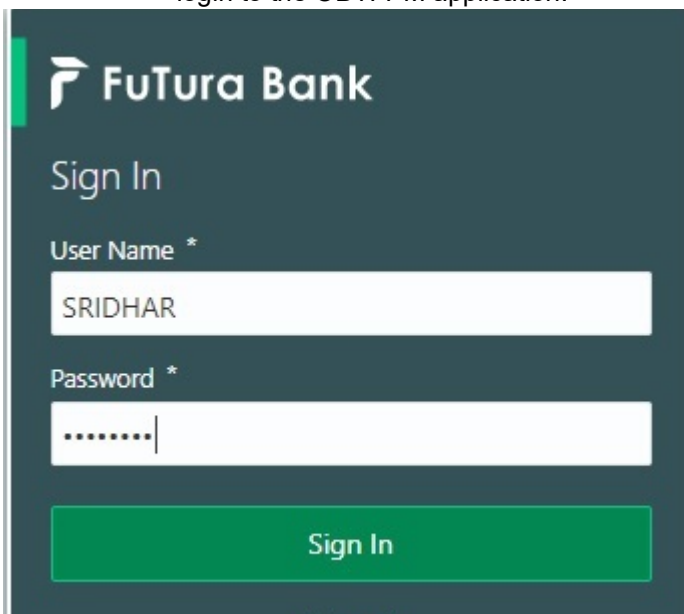
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Request that are received via online channels like trade portal, external system and SWIFT are available directly for further processing in OBTFPM from registration and available data for all data segments from Application stage to Data Enrichment stage would be auto populated.
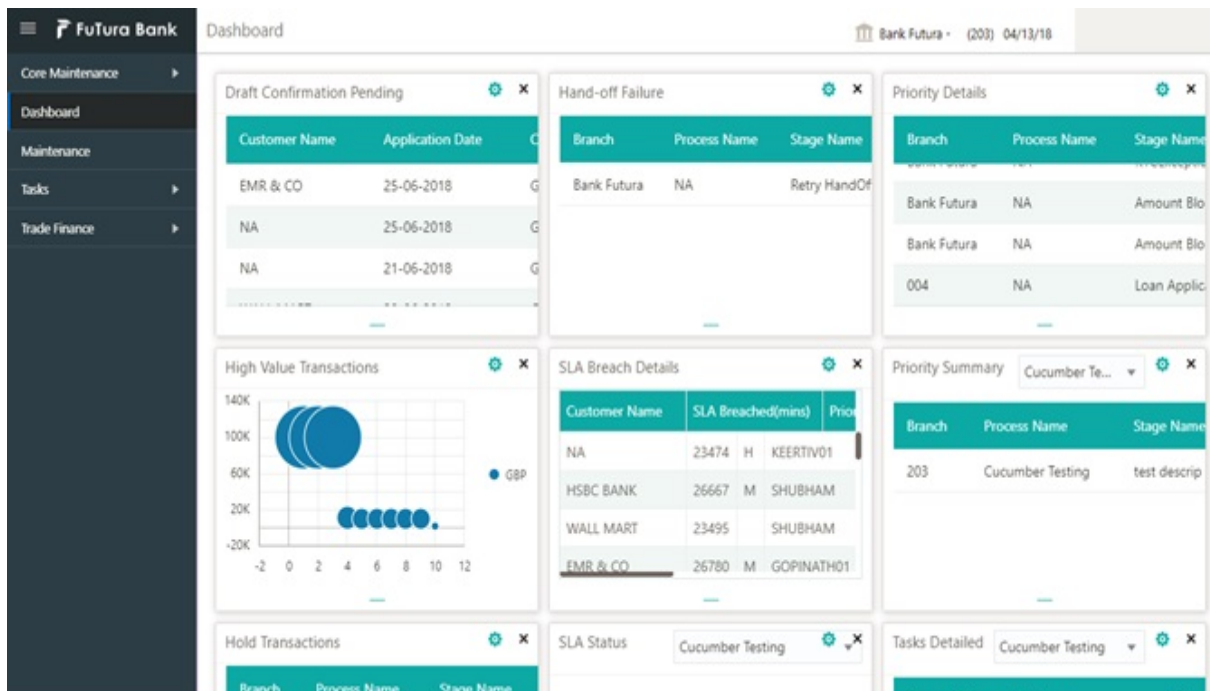
---

**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:

1. Using the entitled login credentials for Beneficiary Consent Response Capture stage, login to the OBTFPM application.



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

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



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



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



The Data Enrichment stage has three sections as follows:

● Main Details

● Additional Fields

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- Advices
- Additional Details
- Settlement Details
- Summary

Let's look at the details for Data Enrichment capture stage. User can enter/update the following fields. Some of the fields that are already having value from Registration/online channels may not be editable.

### 3.3.1 <u>Main Details</u>

Main details section has three sub section as follows:

- Application Details
- Beneficiary Response Capture

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### 3.3.1.1   <u>Application Details</u>



### 3.3.1.2

| Field | Description | Sample Values |
|---|---|---|
| Transfer LC Reference Number | Read only field.<br><br>System should display the Reference Number to be amended. | |
| Beneficiary | Read only field.<br><br>Displayed as available from earlier stages | EMR & CO |
| Branch | Read only field.<br><br>Branch details will be auto-populated from the transfer LC details. | 203-Bank Futura -Branch FZ1 |
| Process Reference Number | Read only field.<br><br>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 |
| Submission Mode | Select the submission mode of Export LC LC transfer amendment beneficiary consent request. By default the submission mode will have the value as 'Desk'.<br><br>**Desk-** Request received through Desk<br><br>**FAX -** Request received through FAX<br><br>**Email -** Request received through Email<br><br>**Courier-** Request received through Courier | Desk |

| Field | Description | Sample Values |
|---|---|---|
| Response Received Date | Read only field.<br><br>By default, the application will display branch's current date. | 04/13/2018 |

### 3.3.1.3 Beneficiary Response Capture

Beneficiary Response Capture

| Amendment Number | Amendment Date | Beneficiary Consent Required | Beneficiary Response | Remarks | Action |
|---|---|---|---|---|---|
| 1 | 2021-05-05 | ⬤ | Confirmed ▼ | | ✎ |

Page 1 of 1 (1 of 1 items) |< < [1] > >|

Reject  Refer  Hold  Cancel  Save & Close  Back  Nex

Capture the beneficiary response based on the description in the following table:

| Field | Description | Sample Values |
|---|---|---|
| Amendment Number | Read only field.<br><br>Amendment number will be auto-populated based on selected Transfer LC Reference Number. | |
| Amendment Date | Read only field.<br><br>This field displays the date on which the amendment was made to Transfer LC. | |
| Beneficiary Consent Required | Read only field.<br><br>Beneficiary Confirmation Required (Y/N) will be auto populated based on selected Transfer LC Reference Number. | |
| Beneficiary Response | Select the Beneficiary response from the LOV - Confirmed, Unconfirmed or Rejected.<br><br>Beneficiary Response field will be read only if Beneficiary Consent Required is 'No'. | |
| Remarks | Capture the remarks of the beneficiary response. | |
| Edit Icon | Click the Edit icon to edit the Beneficiary Response. | |

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### 3.3.1.4 Action Buttons

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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Click the Documents icon to View/Upload the required documents.<br><br>Application will display the mandatory and optional documents.<br><br>The user can view and input/view application details simultaneously.<br><br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. | |
| Remarks | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. | |
| Overrides | Click to view overrides, if any. | |
| Customer Instructions | Click to view/ input the following<br><br>● **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br><br>● **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. | |
| Common Group Message | Click Common Group Message button, to send MT799 and MT999 messages from within the task. | |
| View LC | User can view the Transfer LC details. | |
| Events | User can view the Transfer LC Events. | |
| LC Version | System displays the Transfer LC version wise if there are any amendments. In case there are no amendments then system should display transfer LC details directly under version 1. | |

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| Field | Description | Sample Values |
|---|---|---|
| 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. | |
| Cancel | Cancel the Data Enrichment inputs. | |
| Hold | The details provided will be on hold.<br><br>This option is used, if there are any pending information yet to be received from applicant and appropriate remarks must be provided. | |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others.<br><br>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. | |

### 3.3.2 Additional Fields

In this section, the user can view/enter the details in the additional fields implemented by the bank for Export LC Transfer Amendment Beneficiary Consent.

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Any user defined fields maintained at the bank level should be available in this Additional field details.

ort LC Transfer Amendment Beneficiary Consent - DataEnrichment :: Application No: PK2ELCT000056552

| Main |
|---|
| **Additional Fields** |
| Advices |
| Additional Details |
| Settlement Details |
| Summary |

Additional Fields                                                                     Screen ( 2

◢ Additional Fields

*No Additional fields configured!*

Reject   Refer   Hold   Cancel   Save & Close   Back   Nex

## 3.3.2.1  Action Buttons

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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Click the Documents icon to View/Upload the required documents. | |
| Remarks | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. | |
| Overrides | Click to view the overrides accepted by the user. | |
| 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 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 and appropriate remarks must be provided. | |

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| Field | Description | Sample Values |
|-------|-------------|---------------|
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes:<br><ul><li>R1- Documents missing</li><li>R2- Signature Missing</li><li>R3- Input Error</li><li>R4- Insufficient Balance/Limits</li><li>R5 - Others.</li></ul>Select a Reject code and give a Reject Description.<br><br>This reject reason will be available in the remarks window throughout the process. | |
| Back | Click Back to move the task to the previous segment | |
| 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. | |

### 3.3.3 Advices

Data Enrichment user can view the advices generated during Export LC Transfer Amendment Beneficiary Consent request. Some of the possible advices could be Payment message (Debit Advice) and Second Beneficiary Consent Advice.

The user can also suppress the Advice, if required.



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

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

### 3.3.3.1 Action Buttons

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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Click the Documents icon to View/Upload the required documents. | |
| Remarks | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Save & Close | Save the information provided and holds the task in you queue for working later. This option will not submit the request. | |
| Cancel | Cancel the Data Enrichment inputs. | |
| Hold | The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant and appropriate remarks must be provided. | |

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| Field | Description | Sample Values |
|-------|-------------|---------------|
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others.<br><br>Select a Reject code and give a Reject Description.<br><br>This reject reason will be available in the remarks window throughout the process. | |
| Back | Click Back to move the task to the previous segment | |
| 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. | |

### 3.3.4   Additional Details

Data Enrichment user can verify and enter the basic additional details available for the Export LC Transfer Amendment Beneficiary Consent request.

The various additional details should be available as tile. Each tile can be selected and the respective screen will open for the user to capture details.

This is a multi-grid section with facility to attach more than one line.

### 3.3.4.1 Commission, Charges and Taxes

On landing to the Additional Details section, the default commission, charges and tax if any will get populated.

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



Commission Details are auto-populated from back-end system.

| 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.<br><br>The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate.<br><br>If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field. | |
| Modified Rate | From the default value, if the rate 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 | |

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

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### 3.3.4.2  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 | Defaults the tag amount that is maintained under the product code gets defaulted in this field. User can edit the value, if required. | |
| 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 Amount | From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field. | |
| Billing | If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.<br><br>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.<br><br>The user can not select/de-select the check box if it is de-selected by default.<br><br>This field is disabled,  if 'Defer' toggle is enabled. | |
| Defer | If charges have to be deferred and collected at any future step, this check box has to be selected.<br><br>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.<br><br>The user can select/de-select the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation. | |
| Waive | If charges have to be waived, this check box has to be selected.<br><br>Based on the customer maintenance, the charges should be marked for Billing or for Defer.<br><br>This field is disabled,  if 'Defer' toggle is enabled. | |
| Charge Party | Charge party will be applicant by default. You can change the value to beneficiary | |

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| Field | Description | Sample Values |
|---|---|---|
| Settlement Account | Details of the settlement account. | |

### 3.3.4.3  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 auto-populated from the back-end system.

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

### 3.3.4.4  Action Buttons

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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Upload the required documents. If mandatory documents are not uploaded, system should display an error on submit. | |
| Remarks | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application. | |

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| Field | Description | Sample Values |
|---|---|---|
| Overrides | Click to view the overrides accepted by the user. | |
| 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 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 and appropriate remarks must be provided. | |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others.<br><br>Select a Reject code and give a Reject Description.<br><br>This reject reason will be available in the remarks window throughout the process. | |
| Back | Click Back to move the task to the previous segment | |
| 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. | |

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### 3.3.4.5 Preview Message

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



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**Note**

A bank user can share the Draft SWIFT message to the customer through email, before the actual transmission of SWIFT message to the Advising Bank..

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### 3.3.5 The Preview section consists of following.

| Field | Description | Sample Values |
|-------|-------------|---------------|
| Preview - SWIFT Message | | |
| Language | Read only field.<br>English is set as default language for the preview. | |
| Message type | Select the message type from the drop down. | |
| Message Status | Read only field.<br>This field displays the message status of draft message of transfer details. | |
| Repair Reason | Read only field.<br>This field displays the message repair reason of draft message of transfer details. | |
| Preview Message | Display a preview of the draft message. | |
| Preview - Mail Device | | |
| Language | Read only field.<br>English is set as default language for the preview. | |
| Advice Type | Select the advice type. | |
| Message Status | Read only field.<br>This field displays the message status of draft message of transfer details. | |
| Repair Reason | Read only field.<br>This field displays the message repair reason of draft message of transfer details. | |
| Preview Message | Display a preview of the advice. | |

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## 3.3.6    Settlement Details

The user can view/input the settlement details for Export LC Transfer Amendment Beneficiary Consent request. The following are the list of fields to be displayed.

| Component | Currency | Debit/Credit | Account | Account Description | Account Currency | Netting Indicator | Current Event | Original Exchange Rate | Exchange Rate | Deal Referen |
|---|---|---|---|---|---|---|---|---|---|---|
| AILSR_COM1_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No | | | |
| AILSR_COM1_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No | | | |
| AILSR_COM1_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No | | | |
| AILSR_COMM_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No | | | |
| AILSR_COMM_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No | | | |
| AILSR_COMM_LIQD | GBP | Debit | PK20010440017 | GOODCARE PLC | GBP | No | No | | | |
| APCHCLASS_LIQD | GBP | Debit | 152110003 | Domestic Export Sig | GBP | No | No | | | |
| APCHCLASS_LIQD | GBP | Debit | 152110003 | Domestic Export Sig | GBP | No | No | | | |
| APCHCLASS_LIQD | GBP | Debit | 152110003 | Domestic Export Sig | GBP | No | No | | | |
| ARC1_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 | System populates the components based on the product selected. | |
| Currency | System displays the currency for the component. | |
| Debit/Credit | System defaults the debit/credit indicators for the components | |
| Account | System defaults the value based on the product selected. | |
| Account Description | System displays the account description for the account chosen. | |
| Account Currency | System displays the account currency for all items based on account number | |
| Netting Indicator | System displays the netting indicator applicable. | |
| Current Event | Application displays the current event as Y or N. | |
| Original Exchange Rate | System displays the Original Exchange Rate as simulated in settlement details section from OBTF | |

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| Field | Description | Sample Values |
|---|---|---|
| Exchange Rate | The exchange rate. | |
| Deal Reference Number | The exchange deal reference number. | |

### 3.3.6.1  Action Buttons

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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Click the Documents icon to View/Upload the required documents. | |
| Remarks | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Save & Close | Save the information provided and holds the task in you queue for working later. This option will not submit the request. | |
| Cancel | Cancel the Data Enrichment inputs. | |
| Hold | The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant and appropriate remarks must be provided. | |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system. Reject Codes: <ul><li>R1- Documents missing</li><li>R2- Signature Missing</li><li>R3- Input Error</li><li>R4- Insufficient Balance/Limits</li><li>R5 - Others.</li></ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process. | |
| Back | Click Back to move the task to the previous segment | |

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| Field | Description | Sample Values |
|-------|-------------|---------------|
| Next | On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment. | |

### 3.3.7   Summary

User can review the summary of details updated in Data Enrichment stage. As part of summary screen, user can see the summary tiles. The tiles should display a list of important fields with values User can drill down from summary Tiles into respective data segments.



**Tiles Displayed in Summary**

- Main Details - User can view the application details and Transfer LC details. User can modify the details, if required.

- Commission, Charges and Taxes: User can see the details provided for charges. User should be able to update the details if required.

- Advices: User should be able to view the advice details.

- Preview Message: User can see the preview details grid.

- Parties Details: User can see the party details like beneficiary, advising bank etc.

- Settlement Details: User can see the Settlement details.

- Compliance Details: User can see the compliance details tiles. The status should be verified for KYC, AML and Sanction Checks.

- Accounting Details: User can view the accounting details.

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### 3.3.7.1 **Action Buttons**

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

| Field | Description | Sample Values |
|---|---|---|
| Documents | Click the Documents icon to View/Upload the required documents. | |
| Remarks | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. | |
| Overrides | Click to view the overrides accepted by the user. | |
| Submit | On Submit, system should validate for all mandatory field values and the task should move to the next logical stage. If the user submits without visiting other mandatory hops, then error message should be displayed and force the user to visit mandatory tabs/update mandatory 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 Data Enrichment 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 and appropriate remarks must be provided. | |
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes:<br><br>● R1- Documents missing<br>● R2- Signature Missing<br>● R3- Input Error<br>● R4- Insufficient Balance/Limits<br>● R5 - Others.<br><br>Select a Reject code and give a Reject Description.<br><br>This reject reason will be available in the remarks window throughout the process. | |
| Back | Click Back to move the task to the previous segment | |

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## 3.4  Approval

The user can review the summary of details updated in multilevel approval stage of Export LC Transfer Amendment Beneficiary Consent request and approve the Export LC Transfer Amendment Beneficiary Consent.

The user can 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.



**Tiles Displayed in Summary**

- Main Details - User can view the application details and Transfer LC details. User can modify the details, if required.

- Commission, Charges and Taxes: User can see the details provided for charges. User should be able to update the details if required.

- Advices: User should be able to view the advice details.

- Preview Message: User can see the preview details grid.

- Parties Details: User can see the party details like beneficiary, advising bank etc.

- Settlement Details: User can see the Settlement details.

- Compliance Details: User can see the compliance details tiles. The status should be verified for KYC, AML and Sanction Checks.

- Accounting Details: User can view the accounting details.

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### 3.4.0.1 Action Buttons

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

| Field | Description | Sample Values |
|---|---|---|
| Reject | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes:<br><br>● R1- Documents missing<br>● R2- Signature Missing<br>● R3- Input Error<br>● R4- Insufficient Balance/Limits<br>● R5 - Others.<br><br>Select a Reject code and give a Reject Description.<br><br>This reject reason will be available in the remarks window throughout the process. | |
| Hold | The details provided will be registered and status will be on hold.<br><br>This option is used, if there are any pending information yet to be received from applicant and appropriate remarks must be provided. | |
| 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><br>Refer Codes:<br><br>● R1- Documents missing<br>● R2- Signature Missing<br>● R3- Input Error<br>● R4- Insufficient Balance- Limits<br>● R5 - Others | |
| Cancel | Cancel the 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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