

Shipping Guarantee Issuance User Guide

Oracle Banking Trade Finance Process Management

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Oracle Banking Trade Finance Process Management - Shipping Guarantee Issuance User Guide
Oracle Financial Services Software Limited

Oracle Park
Off Western Express Highway
Goregaon (East)
Mumbai, Maharashtra 400 063
India
Worldwide Inquiries:
Phone: +91 22 6718 3000
Fax: +91 22 6718 3001
www.oracle.com/financialservices/

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Contents

1. Preface	1-1
1.1 Introduction.....	1-1
1.2 Audience.....	1-1
1.3 Documentation Accessibility.....	1-1
1.4 Organization	1-1
1.5 Related Documents	1-1
1.6 Diversity and Inclusion.....	1-1
1.7 Conventions.....	1-2
1.8 Screenshot Disclaimer.....	1-2
1.9 Glossary of Icons.....	1-2
2. Oracle Banking Trade Finance Process Management	2-1
2.1 Overview.....	2-1
2.2 Benefits.....	2-1
2.3 Key Features	2-1
3. Shipping Guarantee Issuance	3-1
3.1 Common Initiation Stage	3-1
3.2 Registration	3-2
3.2.1 Application Details.....	3-4
3.2.2 Shipping Guarantee Details	3-5
3.2.3 Miscellaneous	3-8
3.2.4 Document Linkage	3-9
3.3 OBTFPM- OBDX Bidirectional flow	3-13
3.3.1 Bi-Directional Flow for Offline Transactions Initiated from OBTFPM.....	3-16
3.4 Data Enrichment.....	3-16
3.4.1 Main Details	3-19
3.4.2 Shipment Details.....	3-23
3.4.3 Additional Fields.....	3-26
3.4.4 Advices.....	3-28
3.4.5 Additional Details	3-32
3.4.6 Settlement Details.....	3-48
3.4.7 Summary.....	3-52
3.5 Exceptions	3-55
3.5.1 Amount Block Exception Approval - Trade Finance Transactions.....	3-55
3.5.2 Exception - Know Your Customer (KYC)	3-58
3.6 Multi Level Authorization	3-60
3.6.1 Authorization Re-Key.....	3-61

1. Preface

1.1 Introduction

This user manual is designed to help you quickly get acquainted with Shipping Guarantee Issuance 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

- Getting Started User Guide
- Common Core User Guide

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, 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.
<i>italic</i>	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
	Option List

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. Shipping Guarantee Issuance

As a part of Shipping Guarantee Issuance, the applicant approaches a Bank and requests the bank to issue a Shipping Guarantee on their behalf to the Beneficiary (Shipping Company).

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

This section contains the following topics:

[3.1 Common Initiation Stage](#)

[3.2 Registration](#)

[3.4 Data Enrichment](#)

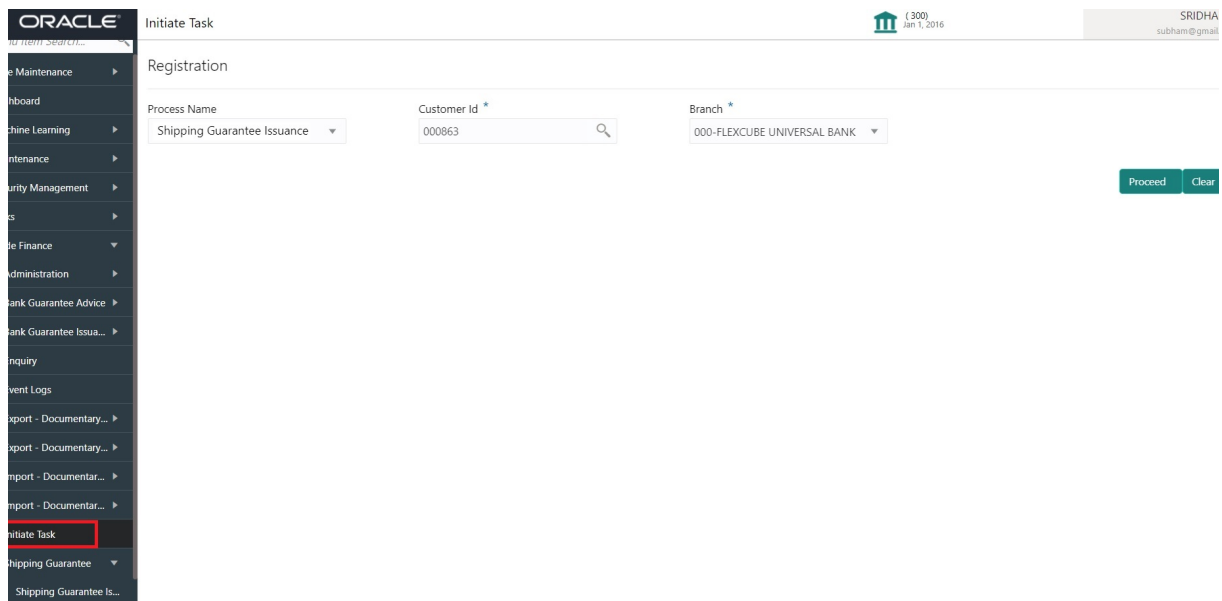
[3.5 Exceptions](#)

[3.5.2 Exception - Know Your Customer \(KYC\)](#)

3.1 Common Initiation Stage

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

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



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

Field	Description
Process Name	Select the process name to initiate the task.
Customer ID	Select the customer id of the applicant.
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.

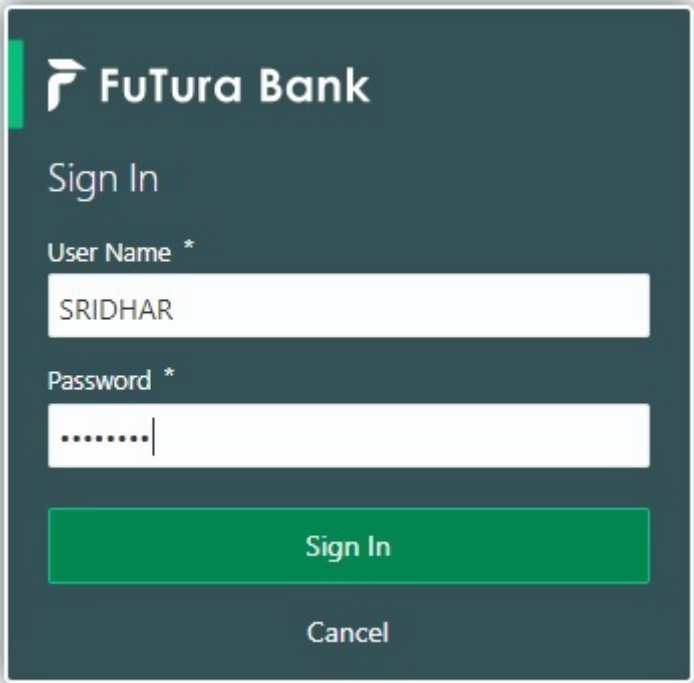
3.2 Registration

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

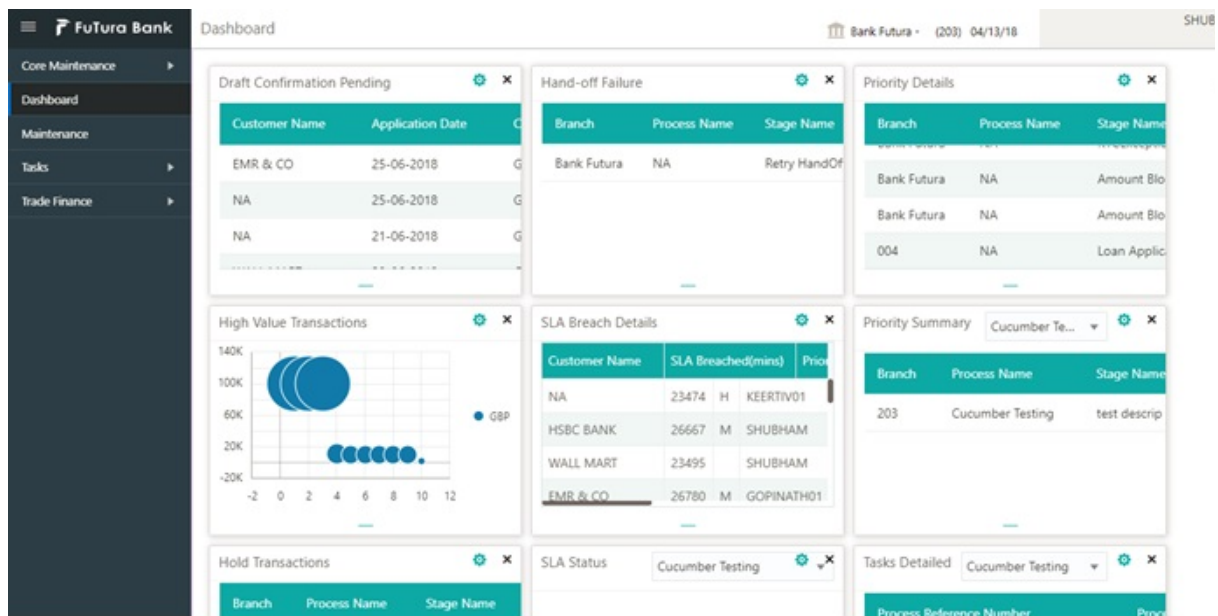
The OBTfPM user can process MT798 with sub messages MT726-MT759 message received through SWIFT. The OBTfPM verifies the field 21 and 26E (of the MT759 and identifies the Original Contract Reference Number and Amendment Number and invokes the process. The user can cancel the previously received MT798 referenced message which is under process.

The OBTfPM user can process incoming MT798(up to a maximum of 8 messages) with sub messages MT788-MT799 message received through SWIFT and enables the user to cancel the previously received MT798 referenced message which is under process.

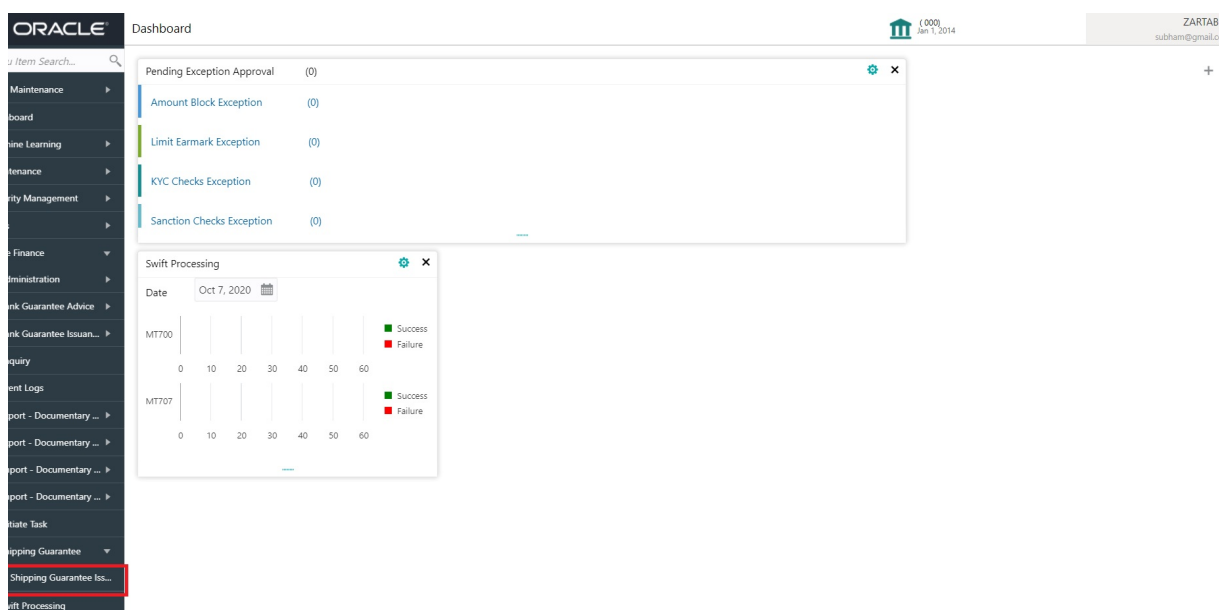
1. Using the entitled login credentials for Registration stage, login to the OBTfPM application.



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



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



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

3.2.1 Application Details

ORACLE

(DEFAULTTENTY)

Oracle Banking Trade Finan...
Aug 3, 2023

ZART/
subham@gmail

Shipping Guarantee Issuance

Signatures

Documents

Remarks

Customer Instruction

Common Group Messages

Application Details - Main

Issued Against *

Documentary Credit

Documentary Credit Number *

032ILRR232152002

Customer *

032204 Air Arabia

Branch

032-Oracle Banking Trade Finan...

Ess Reference Number

SGT000164432

Customer Reference Number

Priority

Medium

Submission Mode

Desk

Issuing Date

Aug 3, 2023

View LC

Event

Shipping Guarantee Details

Product Code

Y

Product Description

Shipping Guarantee

Outstanding LC Amount

AED 0.00

SG/DO Amount *

AED 100.00

Amount In Local Currency

AED 100.00

Contract Reference Number

032SGTY232159501

User Reference Number

032SGTY232159501

SG/DO Beneficiary *

091216 Waha Capital

DO Expiry Date *

Aug 3, 2023

Mode of Transport *

Air

Cargo Arrival Details

Limit verification required

Hold

Cancel

Save & Close

Submit

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

Field	Description	Sample Values
Issued Against	Select whether this Shipping Guarantee is issued against Documentary Credit or against a Documentary Collection from the drop-down. Drop down values are: - Documentary Credit - Documentary Collection	
Documentary Credit Number	Select Documentary Credit Number from LOV or input the LC number. This field is enabled only if value in Issued Against field is Documentary Credit.	
Customer	Read only field If the value in Issued Against field is Documentary Credit, the customer ID for the selected Documentary credit displays the ID of counter party of the LC as per the value available in Back office system and user should not be able to change the value. If the value in Issued Against is Documentary Collection, the user can input the Customer ID or select the Customer ID from the LOV	
Branch	System defaults branch details.	203-Bank Futura -Branch FZ1

Field	Description	Sample Values
Process Reference Number	Unique sequence number for the transaction. This is auto generated by the system based on process name and branch code.	203GTEISS000 001134
Customer Reference Number	Specify the customer reference number.	
Priority	Priority maintained will be populated as either 'Low or Medium or High'. If priority is not maintained for a customer, 'Medium' priority will be defaulted. User can change the priority populated any time before submit of Registration stage.	Medium
Submission Mode	System defaults the mode from Registration stage. User can change the submission mode populated. By default the submission mode will have the value as 'Desk'. Desk- Request at the Desk Courier- Request received through Courier Online - Request received Online	Desk
Booking Date	Read only field System defaults the branch date. User cannot change the value. If the task gets approved on a later date, system will populate that date as the booking date.	04/13/2018

3.2.2 Shipping Guarantee Details

Registration user can provide Shipping Guarantee details in this section.

Shipping Guarantee Details

Product Code
Y

Product Description
Shipping Guarantee

Outstanding LC Amount
AED 0.00

SG/DO Amount *
AED 100.00

Amount In Local Currency
AED 100.00

Contract Reference Number
032SGTY232159501

User Reference Number
032SGTY232159501

SG/DO Beneficiary *
091216 Waha Capital

DO Expiry Date *
3, 2023

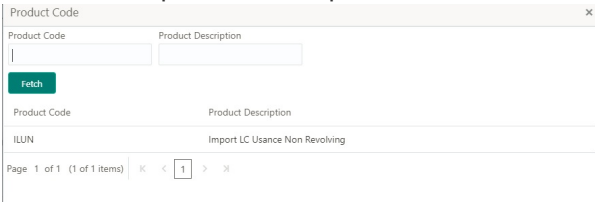
Mode of Transport *
Air

Cargo Arrival Details

Limit verification required
☒

Hold Cancel Save & Close Su

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

Field	Description	Sample Values
Product Code	Select the applicable Shipping Guarantee product code. Click the look up icon to search the product code with code or product description.  You can also enter the product code and on tab out system will validate and populate the selected product description. The product codes will be listed based on the selected value in Form of Undertaking.	GUIS
Product Description	Auto populated by the application based on the selected Product Code.	Shipping Guarantee
Outstanding LC Amount	Read only field. System defaults the outstanding amount, if any.	
SG/DO Amount	User can enter the amount for which the shipping guarantee has to be issued. The currency is defaulted by the system, user can change the currency.	
Amount In Local Currency	Read only field. System fetches the local currency equivalent value for the LC amount from back office (with decimal places).	
Contract Reference Number	Read only field. Auto-generated by back end application. Shipping guarantee back office reference gets simulated and displayed.	203GUIS18103 ALP5
User Reference Number	User Reference Number will be auto populated by the system based on selection of Product Code. The user can change the User Reference Number.	

Field	Description	Sample Values
SG/DO Beneficiary	User can search and select the Shipping Guarantee beneficiary details from LOV. Note If the KYC non-compliant party is selected then the system immediately gives instant alert as "Customer ID - (CIF ID) is not KYC compliant."	
SG/DO Expiry Date	Provide the expiry date of the Shipping Guarantee Issuance.	09/30/18
Mode of Transport	User can select the mode of shipment from the drop-down. The values are: • Sea • Air • Road • Rail • Multimodal • Other	
Cargo Arrival Details	User can capture the cargo arrival details.	
Limit verification required	Enable this option for limit verification.	

3.2.3 Miscellaneous

ORACLE

(DEFAULTTENTITY)

Oracle Banking Trade Finan...
Aug 3, 2023

ZART/
subham@gmail

Shipping Guarantee Issuance

Signatures

Documents

Remarks

Customer Instruction

Common Group Messages

Application Details - Main

Issued Against *

Documentary Credit

Documentary Credit Number *

032ILRR232152002

Customer *

032204 Air Arabia

Branch

032-Oracle Banking Trade Finan...

Ess Reference Number

SGT000164432

Customer Reference Number

Priority

Medium

Submission Mode

Desk

Issuing Date

Aug 3, 2023

View LC

Event

Shipping Guarantee Details

Product Code

Y

Product Description

Shipping Guarantee

Outstanding LC Amount

AED 0.00

SG/DO Amount *

AED 100.00

Amount In Local Currency

AED 100.00

Contract Reference Number

032SGTY232159501

User Reference Number

032SGTY232159501

SG/DO Beneficiary *

091216 Waha Capital

DO Expiry Date *

Aug 3, 2023

Mode of Transport *

Air

Cargo Arrival Details

Limit verification required

☒

Hold

Cancel

Save & Close

Sub

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

Field	Description	Sample Values
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Documents	Upload the required documents. Application will display the mandatory and optional documents.	
Remarks	Provide any additional information regarding the Shipping Guarantee. This information can be viewed by other users processing the request.	
Customer Instruction	Click to view/ input the following Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	

Field	Description	Sample Values
Common Group Messages	Click Common Group Message button, to send MT799 and MT999 messages from within the task.	
View LC	User can view the latest LC details. This button appears, if Documentary Credit is selected from the Issued Against field.	
Events	User can view all the previous events under the LC. This button appears, if Documentary Credit is selected from the Issued Against field.	
Action Buttons		
Hold	The details provided will be registered and status will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancels the Shipping Guarantee Issuance Registration stage input.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request.	
Submit	On Submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. Task will get moved to next logical stage of Shipping Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.	
Checklist	Make sure that the details in the checklist are completed. If mandatory checklist items are not marked, system will display an error on submit.	

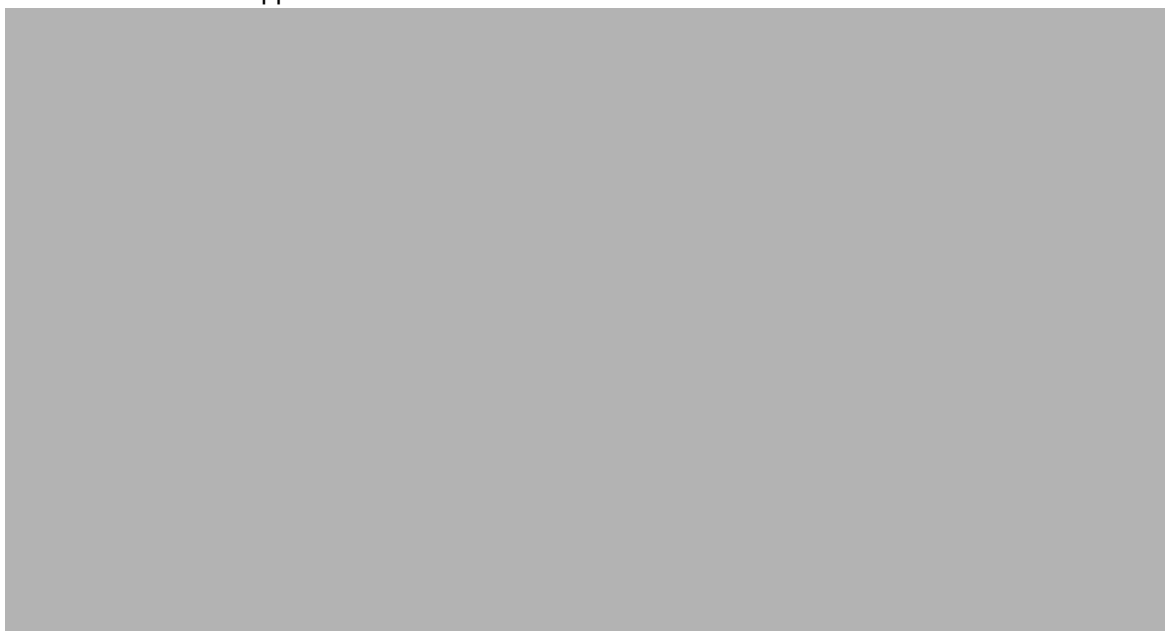
3.2.4 Document Linkage

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.



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



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

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

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

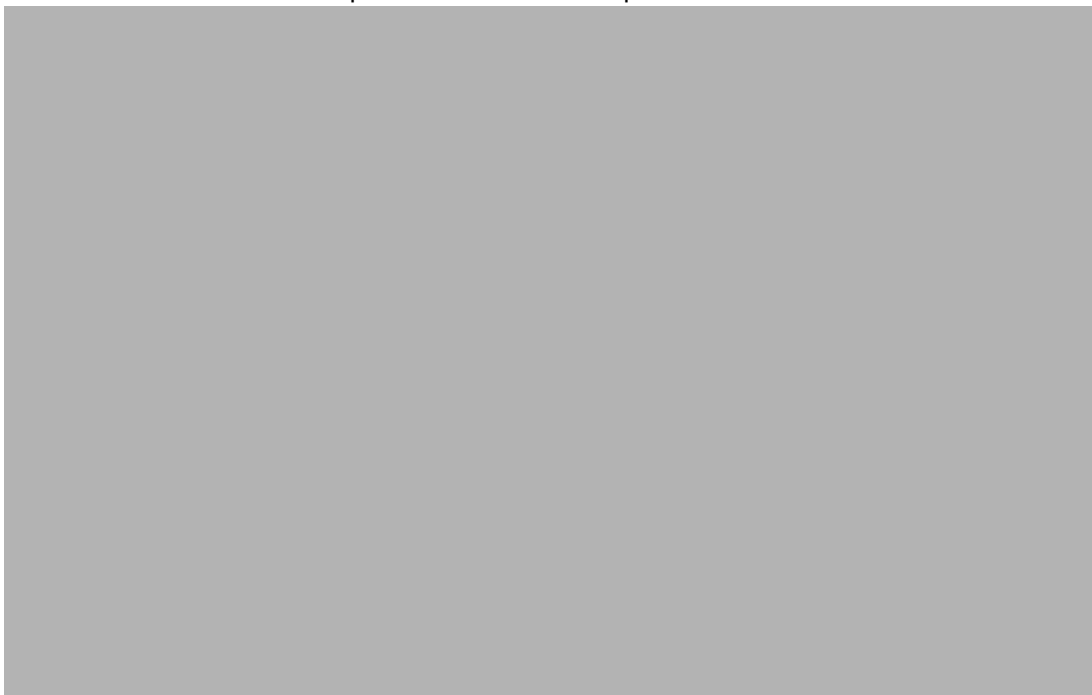


5. Click **Fetch** to retrieve the details from DMS. System Displays all the documents available for the given Document Type and Document Code for the Customer.

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

Field	Description	Sample Values
Customer ID	This field displays the transaction Customer ID.	
Document Type	This field displays the document type from meta data.	
Document Code	This field displays the document code from meta data.	
Upload Date	The field displays the upload date of the document.	
Reference Number	The field displays the reference number of the document.	

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



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

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

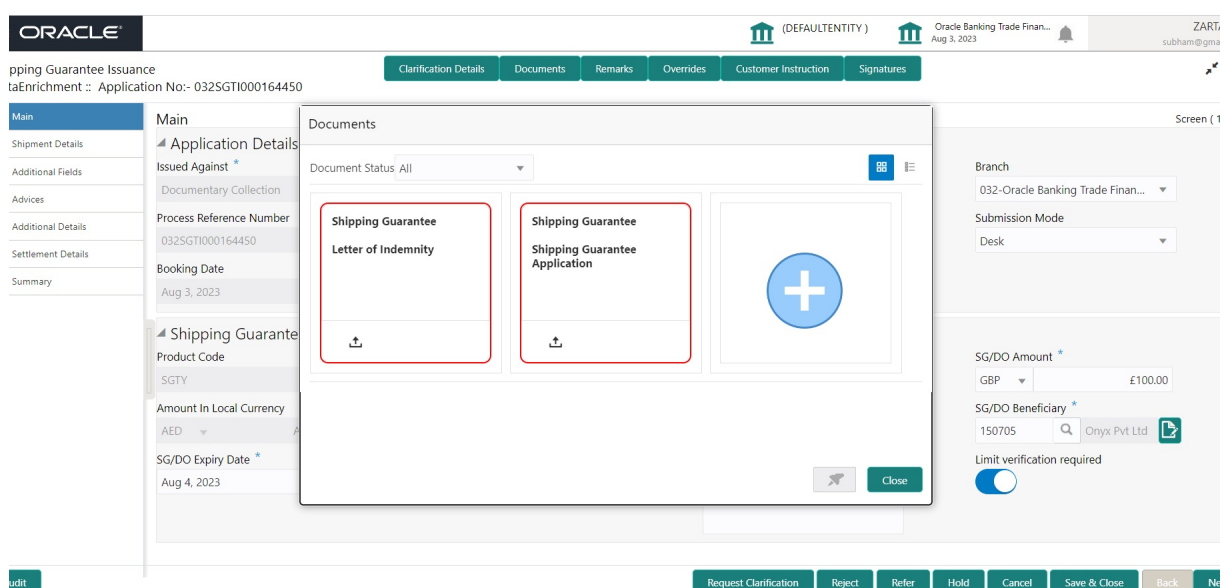


3.3 OBTFPM- OBDX Bidirectional flow

As a part of Digital Experience, customers can initiate Trade Finance Transactions from online channels and the respective task will be available in OBTFPM for further handling.

OBTFPM user, for task received from online channel, raise clarification and receive response from the customer.

1. Customer initiates the Trade Finance transaction in Online channel (OBDX) and upload the necessary documents.



The screenshot displays the Oracle OBTFPM application interface. The main window shows the 'Documents' modal, which is used for uploading documents. The modal contains a 'Document Status' dropdown set to 'All'. Below this, there are three document upload slots. The first slot is labeled 'Shipping Guarantee Letter of Indemnity' and the second is labeled 'Shipping Guarantee Shipping Guarantee Application'. Both slots have a red border and a plus icon. The third slot is empty and has a blue plus icon. To the right of the modal, there are fields for 'Branch' (032-Oracle Banking Trade Finan...), 'Submission Mode' (Desk), 'SG/DO Amount' (GBP, £100.00), 'SG/DO Beneficiary' (150705, Onyx Pvt Ltd), and a 'Limit verification required' toggle switch. The bottom of the screen shows a navigation bar with buttons: 'Request Clarification', 'Reject', 'Refer', 'Hold', 'Cancel', 'Save & Close', 'Back', and 'Next'.

2. The task created will land in the Data Enrichment stage of OBTFPM for handling by Trade expert for reviewing and identifying mismatch/incomplete data.

3. In the Data Enrichment or Approval the bank user may require clarification from customer, OBTFPM user clicks **Request Clarification** button to request for online clarification from customer.

ORACLE Free Tasks

Banking Guarantee Issuance - Data Enrichment :: Application No: PK2SGT000042573

SRIDHA subham@gmail

Clarification Details

Screen (1)

Main

Application Details - Main

Issued Against *

Documentary Credit

Documentary Credit Number *

PK2GUR19081AP2W

Customer *

Priority

Select

Branch

PK2-FLEXCUBE UNIVERSAL BANK

Submission Mode

Select

Process Reference Number

PK2SGT000042573

Booking Date

Shipping Guarantee Details

Product Code

SGLC

Contract Reference Number

PK2SGLC19081B1ED

Product Description

Shipping Guarantee

SG/DO Beneficiary *

006217 XYZ Company

Outstanding LC Amount

SG/DO Expiry Date *

Nov 17, 2020

SG/DO Amount *

\$1,000.00

Mode of Transport *

Sea

Cargo Arrival Details

Request Clarification

Reject

Refer

Hold

Cancel

Save & Close

Back

New

4. The **Request Clarification** detailed screen appears, user enters the information and clicks **Save**, the information should be sent to customer.
5. System will alert the OBTFPM user through email of receipt of Clarification for Bi-Directional clarifications sent to OBDX user.
6. OBTFPM user should be able to see the details in the View Clarification window and the status will be Clarification Requested. The user can click Re clarification if required.



7. The task goes to **Awaiting Customer Clarification** state until the response received from the customer.

Oracle Awaiting Customer Clarification

PK2 Mar 22, 2019 SRIDH subham@gmail

Refresh Assign Flow Diagram

Action	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date	Branch	Customer Number	Amount
☒ Edit	M	Shipping Guarantee Iss...	PK2ILCA000042586	PK2ILCA000042586	Scrutiny	20-12-16	PK2	006466	

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

8. Click **Edit**.



9. The user can click **Accept Clarification** button, if the query raised has been answered by the customer. The status should change to Clarification Accepted. on next the task moves to the next logical stage.
10. Bank user checks the Clarification and opens the **Documents** Tab. System displays both the new document uploaded and the metadata for deleted document and the deleted document is displayed in a blurred way. User can open the new document, the deleted

document cannot be opened. System should also increment the version number of the documents.

3.3.1 Bi-Directional Flow for Offline Transactions Initiated from OBTFPM

This topic provides the systematic instructions to initiate the Bi-Directional Flow for Offline Transactions Initiated from OBTFPM.

Offline Transactions means those transactions which are not initiated by OBDX, but are initiated directly by the bank user in OBTFPM upon request received from the customer.

Pre- Conditions:

- Customer Maintenance details are replicated from OBTF to OBTFPM.
 - Task is initiated in OBTFPM, Customer ID is captured/populated and Process Reference Number is generated.
1. Customer Maintenance details are replicated from OBTF to OBTFPM.
 2. In OBTFPM, user clicks Request Clarification, the system checks if the request is initiated from OBDX by validating the value available in the submission mode field is “Online”.
 3. In case submission mode is “Online”, the user can enter the clarification details in “Clarification Required” placeholder. In case submission mode is not “Online”, the system will validate if the counterparty is a OBDX customer by checking the flag “Trade Finance Portal” in the Customer Maintenance table replicated from OBTF. In this case, the user can submit clarification.
 4. In case submission mode is not “Online”, and if the “Trade Finance Portal” flag is set to ‘No’ in Customer Maintenance Table, the system should display the error message that ‘The customer is not subscribed to Trade Finance Portal’. Once the request is submitted, the Request Clarification functionality would be applicable to offline initiated transactions also.

3.4 Data Enrichment

On successful completion of Registration of a Shipping Guarantee Issuance request, the request moves to Data Enrichment stage. At this stage the bank user would be able to update fields, check the limits and other legal and financial risks the bank is exposed to and either

approve or reject or refer the transaction to the customer for changes. The user should also be able to input transaction details.

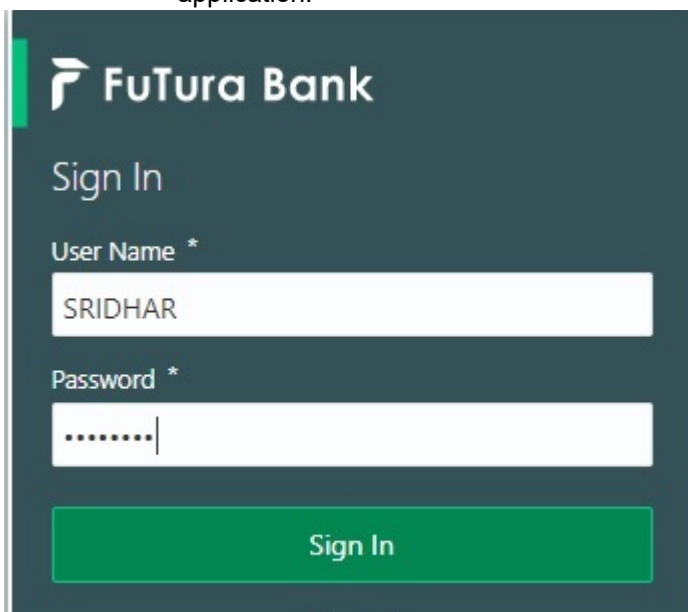
Requests that are created online (Trade Portal) the task will be created in DE stage directly and the fields will be populated based on the incoming request. Submission mode for online requests will be "Online".

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".

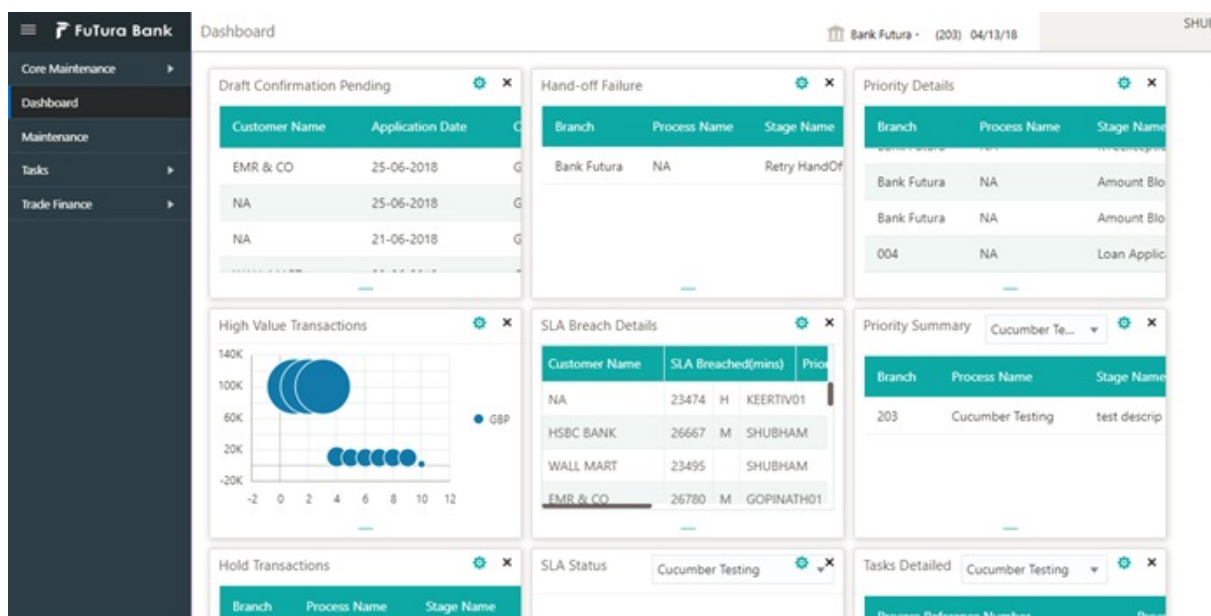
Do the following steps to acquire a task currently at Data Enrichment stage:

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

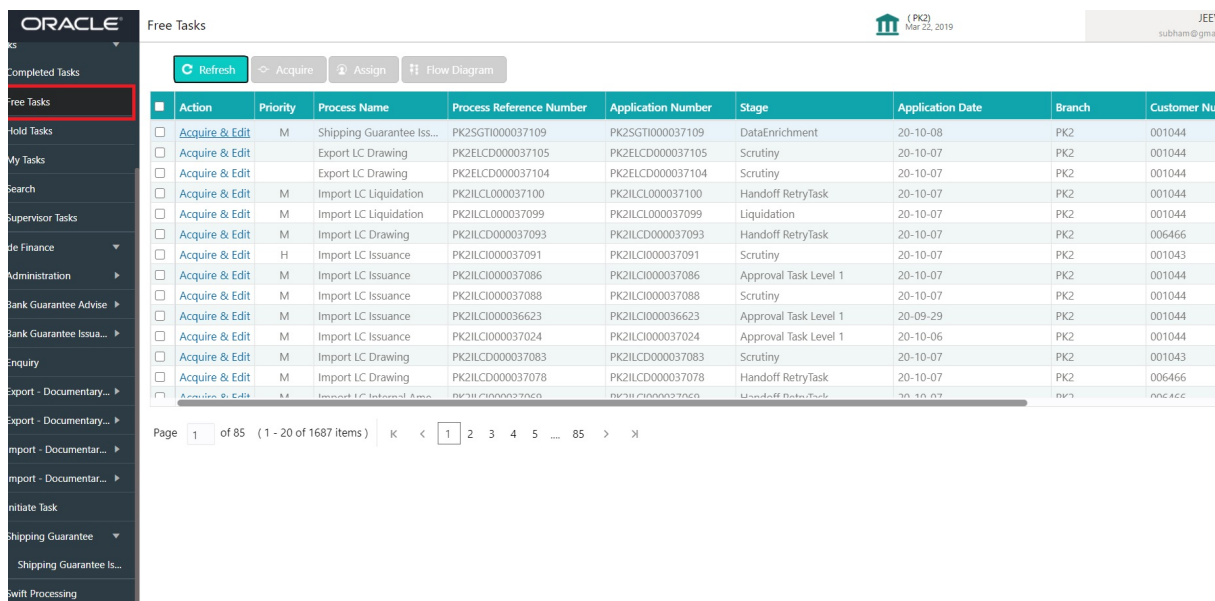


The image shows the login interface for FuTura Bank. It features a dark blue header with the bank's logo and name. Below the header, the text "Sign In" is displayed. There are two input fields: "User Name *" with the value "SRIDHAR" and "Password *" with masked characters. A green "Sign In" button is located at the bottom.

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



3. Click Trade Finance> Tasks> Free Tasks.



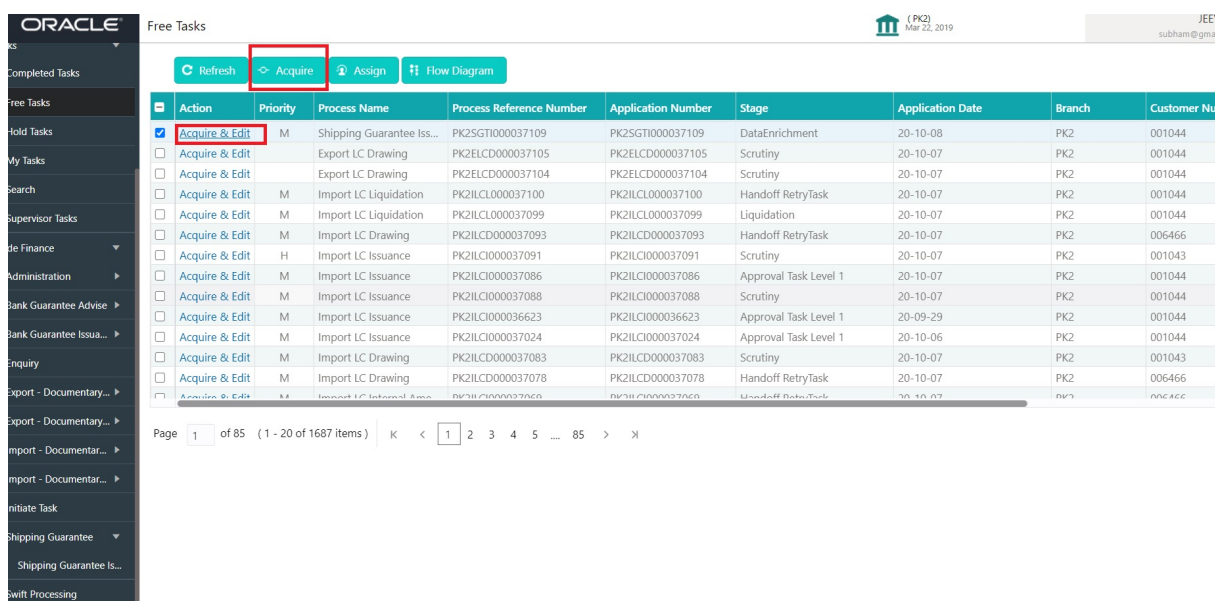
Free Tasks

Refresh Acquire Assign Flow Diagram

Action	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date	Branch	Customer Nu
☐ Acquire & Edit	M	Shipping Guarantee Iss...	PK2SGTI000037109	PK2SGTI000037109	DataEnrichment	20-10-08	PK2	001044
☐ Acquire & Edit		Export LC Drawing	PK2ELCD000037105	PK2ELCD000037105	Scrutiny	20-10-07	PK2	001044
☐ Acquire & Edit		Export LC Drawing	PK2ELCD000037104	PK2ELCD000037104	Scrutiny	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Liquidation	PK2ILCL000037100	PK2ILCL000037100	Handoff RetryTask	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Liquidation	PK2ILCL000037099	PK2ILCL000037099	Liquidation	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Drawing	PK2ILCD000037093	PK2ILCD000037093	Handoff RetryTask	20-10-07	PK2	006466
☐ Acquire & Edit	H	Import LC Issuance	PK2ILCI000037091	PK2ILCI000037091	Scrutiny	20-10-07	PK2	001043
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000037086	PK2ILCI000037086	Approval Task Level 1	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000037088	PK2ILCI000037088	Scrutiny	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000036623	PK2ILCI000036623	Approval Task Level 1	20-09-29	PK2	001044
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000037024	PK2ILCI000037024	Approval Task Level 1	20-10-06	PK2	001044
☐ Acquire & Edit	M	Import LC Drawing	PK2ILCD000037083	PK2ILCD000037083	Scrutiny	20-10-07	PK2	001043
☐ Acquire & Edit	M	Import LC Drawing	PK2ILCD000037078	PK2ILCD000037078	Handoff RetryTask	20-10-07	PK2	006466

Page 1 of 85 (1 - 20 of 1687 items) K < 1 2 3 4 5 ... 85 > X

4. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to acquire the task. .



Free Tasks

Refresh Acquire Assign Flow Diagram

Action	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date	Branch	Customer Nu
☒ Acquire & Edit	M	Shipping Guarantee Iss...	PK2SGTI000037109	PK2SGTI000037109	DataEnrichment	20-10-08	PK2	001044
☐ Acquire & Edit		Export LC Drawing	PK2ELCD000037105	PK2ELCD000037105	Scrutiny	20-10-07	PK2	001044
☐ Acquire & Edit		Export LC Drawing	PK2ELCD000037104	PK2ELCD000037104	Scrutiny	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Liquidation	PK2ILCL000037100	PK2ILCL000037100	Handoff RetryTask	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Liquidation	PK2ILCL000037099	PK2ILCL000037099	Liquidation	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Drawing	PK2ILCD000037093	PK2ILCD000037093	Handoff RetryTask	20-10-07	PK2	006466
☐ Acquire & Edit	H	Import LC Issuance	PK2ILCI000037091	PK2ILCI000037091	Scrutiny	20-10-07	PK2	001043
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000037086	PK2ILCI000037086	Approval Task Level 1	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000037088	PK2ILCI000037088	Scrutiny	20-10-07	PK2	001044
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000036623	PK2ILCI000036623	Approval Task Level 1	20-09-29	PK2	001044
☐ Acquire & Edit	M	Import LC Issuance	PK2ILCI000037024	PK2ILCI000037024	Approval Task Level 1	20-10-06	PK2	001044
☐ Acquire & Edit	M	Import LC Drawing	PK2ILCD000037083	PK2ILCD000037083	Scrutiny	20-10-07	PK2	001043
☐ Acquire & Edit	M	Import LC Drawing	PK2ILCD000037078	PK2ILCD000037078	Handoff RetryTask	20-10-07	PK2	006466

Page 1 of 85 (1 - 20 of 1687 items) K < 1 2 3 4 5 ... 85 > X

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

Edit	Priority	Process Name	Process Reference Num.	Application Num.	Stage	Application Date	Branch	Customer Number	Amount
☒	Medium	Shipping Guarantee Iss...	032SGT000164432	032SGT000164432	DataEnrichment	23-08-03	032	032204	AED0.00
☐	Medium	Islamic Export Docume...	032IEDC000164412	032IEDC000164412	Approval Task Level 1	23-08-03	032	032204	AED1,000.00
☐	Medium	Islamic Export Docume...	032IEDU000164357	032IEDU000164357	Approval Task Level 1	23-08-03	032	032204	AED100.00
☐	Medium	Export Documentary C...	032EDCR000164276	032EDCR000164276	Registration	23-08-03	032	032204	AED100.00
☐	Medium	Export Documentary C...	032EDCR000164274	032EDCR000164274	Registration	23-08-03	032	032204	AED100.00
☐	Medium	Export Documentary C...	032EDCR000164272	032EDCR000164272	Registration	23-08-03	032	032204	AED100.00
☐	Medium	Export Documentary C...	032EDCR000164237	032EDCR000164237	DataEnrichment	23-08-03	032	032204	AED100.00
☐	Medium	Export Documentary C...	032EDCU000164104	032EDCU000164104	DataEnrichment	23-08-03	032	032204	AED100.00
☐	Medium	Export LC Transfer	032ELCT000163937	032ELCT000163937	Scrutiny	23-08-03	032	032204	AED100.00
☐	Medium	Export Documentary C...	091EDCB000163912	091EDCB000163912	DataEnrichment	23-08-03	091	091214	AED1,000.00
☐	Medium	Import LC Amendment	032ICAD000163886	032ICAD000163886	Scrutiny	23-08-03	032	032204	AED1,000.00

The Data Enrichment stage has following hops:

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

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

3.4.1 Main Details

Main details section has two sub section as follows:

- Application Details
- Shipping Guarantee Details

3.4.1.1 Application Details

Applications from Online channels will be directly available in the Data Enrichment stage and the fields will be populated with the details from incoming request.

When the requests that are created online (Trade Portal) then the Submission mode for online requests will be "Online" and user cannot change the Submission mode.

Refer to [3.2.1 Application Details](#) for more information of the fields.

3.4.1.2 Shipping Guarantee Details

The fields listed under this section are same as the fields listed under the [3.2.2 Shipping Guarantee Details](#) section in [3.2 Registration](#). Refer to [3.2.2 Shipping Guarantee Details](#) for more information of the fields. During Registration, if user has not captured values, then user can capture the details in this section.

3.4.1.3 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	

Field	Description	Sample Values
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents. Application displays mandatory documents to be uploaded for amendment. Place holders are also available to upload additional documents submitted by the applicant. The user can view and input/view application details simultaneously. 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 view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	
Customer Instruction	Click to view/ input the following ● Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. ● Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the “Trade Finance Portal” User for the transactions initiated offline.	

Field	Description	Sample Values
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process.	
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Guarantee Issuance Data Enrichment stage inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Next	On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	

3.4.2 Shipment Details

ORACLE (DEFAULTTENTY) Oracle Banking Trade Finan... Aug 3, 2023 ZART subham@gmail

Shipping Guarantee Issuance Application No: 032SGTI000164432

Clarification Details Documents Remarks Overrides Customer Instruction Signatures

Main Shipment Details Screen (2)

Shipment Details

Date of Shipment * Aug 3, 2023

Port of Loading * London

Port of Discharge * Abu Dhabi

Carrier Name * ABC

Bill of Lading/AWB No * BLU1121212

Shipment Marks

Shipping Agent Name John Smith

Goods Details

Goods Code	Goods Type	Goods Description	No of Units	Price per Unit	Total Amount	Action
BANNEDGOOD	P	BANNEDGOOD	500	AED 100.00	AED 50,000.00	 

Shipping Guarantee Details

Shipping Guarantee Text *

Shipping Guarantee Details

edit Request Clarification Reject Refer Hold Cancel Save & Close Back Ne

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

Field	Description	Sample Values
Date of Shipment	Select the shipment date. If the shipment date is a future date, system should display an Error message.	
Port of Loading	Enter the port of loading details.	
Port of Discharge	Enter the port of discharge details.	
Carrier Name	Enter the carrier details.	
Bill of Lading/ AWB No.	Enter the Bill of Lading no. or Airway Bill number.	
Shipment Marks	Enter the Shipment marks and number.	
Shipping Agent	Enter the Shipping Agent details.	
Goods Details		
Goods Code	Against LC – System defaults the License Details as per LC details Against BC - User to select the License Details as per the documents	
Goods Type	System defaults the goods type as per the selected goods code.	
Goods Description	Against LC – System defaults the Goods Description as per LC Details Against BC - User to capture the Goods Description as per the documents	

Field	Description	Sample Values
 Edit icon	Click Edit icon to edit the goods description.	
No. of Units	Enter the goods quantity as per the documents.	
Price Per Unit	Enter the unit price as per the documents.	
Total Amount	System to calculate the total price for Goods.	
Action	Click Edit to edit the goods details. Click Delete to delete the goods record.	
Shipping Guarantee Details		
Shipping Guarantee Text	Enter the Shipping Guarantee text.	

3.4.2.1 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.	
Remarks	Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	
Customer Instruction	Click to view/ input the following ● Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. ● Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	

Field	Description	Sample Values
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process.	
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Shipping Guarantee Issuance Data Enrichment stage inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On click Back , user navigates to previous step.	
Next	On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	

3.4.3 Additional Fields

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

3.4.3.1 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.	
Remarks	Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	
Customer Instruction	Click to view/ input the following Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	

Field	Description	Sample Values
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process.	
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Shipping Guarantee Issuance Data Enrichment stage inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On click Back , user navigates to previous step.	
Next	On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	

3.4.4 **Advices**

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

ipping Guarantee Issuance
Enrichment :: Application No:- 0325GT1000164464

Clarification DetailsDocumentsRemarksOverridesCustomer InstructionSignatures

Screen (4

Main
Shipment Details
Additional Fields
Advices
Additional Details
Settlement Details
Summary

Advices

Advice : PAYMENT_MESS...

Advice Name : **PAYMENT_MESSAGE**
Advice Party :
Party Name :
Suppress : **NO**
Advice

Advice : PAYMENT_MESS...

Advice Name : **PAYMENT_MESSAGE**
Advice Party :
Party Name :
Suppress : **NO**
Advice

udit

Request ClarificationRejectReferHoldCancelSave & CloseBackNext

User can also suppress the Advice, if required.

3-28

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Advice Details

Advice Details

Suppress Advice

Party ID

000585

Advice Name

LC_CASH_COL_ADV

Medium

SWIFT

Advice Party

APP

Party Name

NESTLE

Free Format Text

Select

FFT Code

FFT Description

No data to display.

Instructions

Select

Instruction Code

Instruction Description

Action

☐

DELIVERACC

DELIVER DOCUMENTS AGAINST ACCEPTANCE

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

3.4.4.2 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.	
Remarks	Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	

Field	Description	Sample Values
Customer Instruction	Click to view/ input the following ● Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. ● Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the “Trade Finance Portal” User for the transactions initiated offline.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. User can reject the task and has to enter the Reject Reason and the task may get terminated or moved to Reject Approval Stage This reject reason will be available in the remarks window throughout the process.	
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance- Limits ● R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Shipping Guarantee Data Enrichment stage inputs.	

Field	Description	Sample Values
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On click Back , user navigates to previous step.	
Next	On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	

3.4.5 Additional Details

Oracle (DEFAULTENTITY) FLEXCUBE UNIVERSAL BANKING Aug 3, 2023 ZART subham@gm

yping Guarantee Issuance
aEnrichment :: Application No:- 032SGT000164432

Clarification Details Documents Remarks Overrides Customer Instruction Signatures

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

Additional Details

Limit & Collateral	Charge Details	Preview Message
Limit/Liability : Currency : Limit Contribution : Limit Status : Collateral Currency : Collateral Contr. : Collateral Status :	Charge : Commission : Tax : Block Status : Not Initiated	Language : Preview Message : -

Screen []

Request Clarification Reject Refer Hold Cancel Save & Close Back N

3.4.5.1 Limits & Collateral

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 (OBT FPM) 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.

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

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.

ash Collateral Details

Collateral Percentage *

1.0

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 Respor
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
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

Field	Description	Sample Values
Plus Icon +	Click plus icon to add new Limit Details.	

3-33

ORACLE®

Field	Description	Sample Values
Limit Details Click + plus icon to add new limit details. Below fields are displayed on the Limit Details pop-up screen, if the user clicks plus icon.		
Customer ID	Applicant's/Applicant Bank customer ID will get defaulted.	
Linkage Type	Select the linkage type. Linkage type can be: • Facility • Liability By default Linkage Type should be "Facility".	
Contribution%	System will default this to 100%. User can modify, if contribution is more than 100%. System will display an alert message, if modified. Once contribution % is provided, system will default the amount. System to validate that if Limit Contribution% plus Collateral% is equal to 100. If the total percentage is not equal to 100 application will display an alert message.	
Liability Number	Click Search to search and select the Liability Number from the look-up. The list has all the Liabilities mapped to the customer.	
Contribution Currency	The LC currency will be defaulted in this field.	
Line ID/Linkage Ref No	Click Search 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. Note 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. This field is disabled and read only, if Linkage Type is Liability.	

Field	Description	Sample Values
Limit/ Liability Currency	Limit Currency will be defaulted in this field, when you select the Liability Number	
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.	
Amount to Earmark	Amount to Earmark will default based on the contribution %. 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. The value in this field appears, if you click the Verify button.	
Response Message	Detailed Response message. The value in this field appears, if you click the Verify button.	
ELCM Reference Number	This field displays the ELCM reference number.	
Below fields appear in the Limit Details grid along with the above fields.		
Line Serial	Displays the serial of the various lines available and mapped under the customer id.This field appears on the Limits grid.	
Edit	Click the link to edit the Limit Details	
Delete icon	Click delete icon to delete the existing limit details.	

Collateral Details

When the Shipping Guarantee contract is Issued Against Documentary Credit, then system should auto fetch the Collateral Details from the underlying LC (if it is available in the LC). User can only add the additional collateral when the Shipping Guarantee contract is issued against Documentary Collection.

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

Collateral Details

Total Collateral Amount *

\$67.00

Collateral Amount to be Collected *

\$0.00

Sequence Number

2.0

Collateral Split % *

100.0

Collateral Contribution Amount *

\$67.00

Settlement Account *

PK1000327018

Settlement Account Currency

GBP

Exchange Rate

1.3

Contribution Amount in Account Currency

£0.00

Account Available Amount

£99,999,393,343.91

Response

VS

Response Message

The amount block can be performed as:

Verify

Save & Close

Cancel

Cash Collateral Details

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. User can modify the collateral Currency and amount.	
Exchange Rate	System populates the exchange rate maintained. User can modify the collateral Currency and amount. System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified.	

Click + plus icon or View link to add/view collateral details.

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

Total Collateral Amount	Read only field. This field displays the total collateral amount provided by the user.	
Collateral Amount to be Collected	Read only field. This field displays the collateral amount yet to be collected as part of the collateral split.	
Sequence Number	Read only field. 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.	
Collateral Contribution Amount	Collateral contribution amount will get defaulted in this field. The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message “Defaulted Collateral Percentage modified.	
Settlement Account	Select the settlement account for the collateral.	
Settlement Account Currency	Settlement Account Currency will be auto-populated based on the Settlement Account selection.	
Exchange Rate	Read only field. This field displays the exchange rate, if the settlement account currency is different from the collateral currency.	
Contribution Amount in Account Currency	Read only field. This field displays the contribution amount in the settlement account currency as defaulted by the system.	
Account Available Amount	Read only field. Account available amount will be auto-populated based on the Settlement Account selection.	
Response	Response can be ‘Success’ or ‘Amount not Available’. System populates the response on clicking the Verify button.	
Response Message	Detailed Response message. System populates the response on clicking the Verify 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 **Cash Collateral Details** grid along with the above fields.

Collateral %	User must enter the percentage of collateral to be linked to this transaction. If the value is more than 100% system will display an alert message. System defaults the collateral % maintained for the customer 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 an override message "Defaulted Collateral Percentage modified".	
Contribution Amount	This field displays the collateral contribution amount. 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.	
Account Balance Check Response	This field displays the account balance check response.	
Delete Icon 	Click minus icon to remove any existing Collateral Details.	
Edit/ View Link	Click Edit/ View link to edit/view any existing Collateral Details.	

Deposit Linkage Details

In this section which the deposit linkage details is 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.



Field	Description	Sample Values
Click + plus icon to add new deposit details.		
Customer Id	Customer ID is defaulted from the system. User can change the customer ID.	
Deposit Account	Click Search to search and select the deposit account from the look-up. 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	Amount will be auto-populated based on the Deposit Account selection.	
Deposit Maturity Date	Maturity Date of deposit is displayed based on the Deposit Account selection.	
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	Deposit amount available should be displayed after exchange rate conversion, if applicable.	
Linkage Percentage%	Specify the value for linkage percentage.	

Field	Description	Sample Values
Linkage Amount (Transaction Currency):	System to default the transaction amount user can change the value. System validates the linking amount with available Deposit balance and should not allow to link more than the available amount.	
Below fields appear in the Deposit Details grid along with the above fields.		
Deposit Currency	The currency will get defaulted in this field.	
Transaction Currency	The currency will get defaulted in this field from the underlying task.	
Delete Icon 	Click minus icon to remove the existing Linked deposit details by selecting the Deposit.	
Edit Link	Click edit link to edit any existing deposit Details.	

3.4.5.2 Commission, Charges and Taxes Details

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

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

arge Details

Recalculate

Redefault

Commission Details

ent

ent Description

Component	Rate	Mod. Rate	Currency	Amount	Modified	Defer	Waive	Charge Party	Settl. Acct	Amendable
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	Ccy	Amount	Billing	Defer	Settl. Acct
No data to display.							

Save & Close

Close

3.4.5.3 Commission Details

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

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

Field	Description	Sample Values
Event	Read only field. This field displays the event name.	
Event Description	Read only field. This field displays the description of the event.	
Component	Select the commission component	
Rate	Defaults from product. User can change the rate, if required. The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate. If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field.	
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	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	User can enter a new amount in 'Modified amount' field. From the default value, if the rate is changed or the amount is changed, the same is updated in the modified amount field.	
Billing	If charges/commission is handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.	
Defer	Select the check box, if charges/commissions has to be deferred and collected at any future step.	

Field	Description	Sample Values
Waive	Select the check box to waive charges/commission. Based on the customer maintenance, the charges/commission can be marked for Billing or Defer.	
Charge Party	Charge party will be 'Applicant' by Default. You can change the value to Beneficiary.	
Settlement Account	Details of the Settlement Account.	
Amendable	Displays if the field is amendable or not.	

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

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	User can enter a new amount in 'Modified' field. From the default value, if the rate is changed or the amount is changed, the same is updated in the modified amount field.	
Billing	If charges are handled AZ the details to be available for billing engine for further processing. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically checked in OBTFPM. The user can not select/de-select the check box if it is de-selected by default. This field is disabled, if 'Defer' toggle is enabled.	

Field	Description	Sample Values
Defer	If charges have to be deferred and collected at any future step, this check box has to be selected. On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is AR-AP tracking enabled, 'Defer' toggle for that component should be automatically checked in OBTFCM. The user can select/de-select the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.	
Waive	If charges have to be waived, this check box has to be selected. Based on the customer maintenance, the charges should be marked for Billing or for Defer. This field is disabled, if 'Defer' toggle is enabled.	
Charge Party	Charge party will be applicant by default. You can change the value to beneficiary.	
Settlement Account	Details of the settlement account.	

3.4.5.4 Tax Details

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

Following Tax Details will be displayed:

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 charges/commission is handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.	

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

3.4.5.5 Preview Message

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

Preview Message

Preview - SWIFT Message

Language

English

Message Status

Message Type

Repair Reason

Preview - Mail Advice

Language

English

Message Status

Advice Type

Repair Reason

Preview Message

Preview Message

Save & Close

Close

Field	Description	Sample Values
Preview SWIFT Message		
Language	Read only field. The language to preview the draft shipping guarantee details. English is set as default language for the preview.	
Message Type	Select the message type.	
Message Status	Read only field. Display the message status of draft message of liquidation details.	
Repair Reason	Read only field. Display the message repair reason of draft message of liquidation details.	
Preview Message	Display a preview of the draft message.	
Preview Mail Device		

Field	Description	Sample Values
Language	Read only field. The language to preview the advice message. e details. English is set as default language for the preview.	
Advice Type	Select the advice type.	
Message Status	Read only field. Display the message status of draft message of liquidation details.	
Repair Reason	Read only field. Display the message repair reason of draft message of liquidation details.	
Preview Message	Display a preview of the advice.	
Draft Confirmation Required	This toggle enables the user to select if draft confirmation is required or not	
Following fields will have values on receipt of customer response.		
Customer Response	User can enter the response received from customer. If the response is received online, the response is auto populated in this field by the system	
Customer Remarks	Remarks from the customer for the draft	
Response Date	Customer Response received date.	
Default Email list	Default email address of the customer.	
Add Recipients	Enables to add more recipients for the customer response.	

3.4.5.6 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.	

Field	Description	Sample Values
Remarks	Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	
Customer Instruction	Click to view/ input the following ● Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. ● Transaction Level Instructions – In this section, OBT FPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance/Limits ● R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process.	

Field	Description	Sample Values
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Shipping Guarantee Issuance Data Enrichment stage inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On click Back , user navigates to previous step.	
Next	On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	

3.4.6 Settlement Details

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

ORACLE (DEFAULT IDENTITY) FLEXCUBE UNIVERSAL BANK Aug 3, 2023 ZARTAI subham@gmail

Application No: 032SGT000164450

Clarification Details Documents Remarks Overrides Customer Instruction Signatures

Main Details Settlement Details Closure/Return Details Additional Fields Advances Additional Details Settlement Details Summary

Settlement Details

☐ Current Event

Component	Currency	Debit/Credit	Account	Account Description	Account Currency	Netting Indicator	Current Event
AMT_PURCHASED	AED	Debit	0323100010	Union National Bank	AED	No	No
AMT_PURCHASEDEQ	AED	Debit	0322040001	Air Arabia	AED	No	No
BCCOUR_LIQD	AED	Debit	0322040001	Air Arabia	AED	No	No
BCSWIFT_LIQD	AED	Debit	0322040001	Air Arabia	AED	No	No
BCTAX1_AMT	AED	Debit	0322040001	Air Arabia	AED	No	No
BCTAX2_AMT	AED	Debit	0322040001	Air Arabia	AED	No	No
BILL_LIQ_AMT	AED	Debit	0323100010	Union National Bank	AED	No	No
BILL_LIQ_AMTEQ	AED	Credit	0322040001	Air Arabia	AED	No	No
CHG1_LIQD	AED	Debit	0323100010	Union National Bank	AED	No	No
CHG2_LIQD	AED	Debit	0323100010	Union National Bank	AED	No	No

AMT_PURCHASEDEQ - Party Details

Transfer Type: None

Charge Details: [Dropdown]

Netting Indicator: No

Ordering Customer: AAEMNL21 ANTHOS ASSET

Ordering Institution: [Name/Account]

Senders Correspondent: [Name/Account]

Receivers Correspondent: [Name/Account]

Intermediary Institution: [Name/Account]

Account With Institution: [Name/Account]

Beneficiary Institution: [Name/Account]

Ultimate Beneficiary: [Name/Account]

Intermediary Reimbursement Institution: [Name/Account]

Receiver: 032204

Payment Details

Sender To Receiver 1: [Only /BX/XXX format is allowed]

Sender To Receiver 2: [/BX/XXX or //XXX format is allowed]

Sender To Receiver 3: [/BX/XXX or //XXX format is allowed]

Sender To Receiver 4: [/BX/XXX or //XXX format is allowed]

Sender To Receiver 5: [/BX/XXX or //XXX format is allowed]

Sender To Receiver 6: [/BX/XXX or //XXX format is allowed]

Remittance Information

Payment Detail 1: [Text]

Payment Detail 2: [Text]

Payment Detail 3: [Text]

Payment Detail 4: [Text]

Request Clarification Reject Refer Hold Cancel Save & Close Back

Field	Description	Sample Values
Current Event	The user can select the check box to populate the settlement details of the current event associated with the task. On De-selecting the check box, the system list all the accounts under the settlement details irrespective of the current event.	
Component	Components gets defaulted based on the product selected.	
Currency	Application displays the default currency for the component.	
Debit/Credit	Application displays the debit/credit indicators for the components.	
Account	Application Displays the account details for the components.	
Account Description	Application displays the description of the selected account.	

Field	Description	Sample Values
Account Currency	Application defaults the currency for all the items based on the account number.	
Netting Indicator	Application displays the applicable netting indicator.	
Current Event	System displays the current event as Y or N.	

3.4.6.1 Party Details

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

Field	Description	Sample Values
Transfer Type	Select the transfer type from the drop list: • Customer Transfer • Bank Transfer for own account • Direct Debit Advice • Managers Check • Customer Transfer with Cover • Bank Transfer	
Charge Details	Select the charge details for the transactions: • Beneficiary All Charges • Remitter Our Charges • Remitter All Charges	
Netting Indicator	Select the netting indicator for the component: • Yes • No	
Ordering Customer	Select the ordering customer from the LOV.	
Ordering Institution	Select the ordering institution from the LOV.	
Senders Correspondent	Select the senders correspondent from the LOV.	
Receivers Correspondent	Select the receivers correspondent from the LOV.	
Intermediary Institution	Select the intermediary institution from the LOV.	
Account with Institution	Select the account with institution from the LOV.	
Beneficiary Institution	Select the beneficiary institution from the LOV.	
Ultimate Beneficiary	Select the ultimate beneficiary from the LOV.	

Field	Description	Sample Values
Intermediary Reimbursement Institution	Select the intermediary reimbursement institution from the LOV.	
Receiver	Select the receiver from the LOV.	

3.4.6.2 Payment Details

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

Field	Description	Sample Values
Sender to Receiver 1	Provide the sender to receiver message.	
Sender to Receiver 2	Provide the sender to receiver message.	
Sender to Receiver 3	Provide the sender to receiver message.	
Sender to Receiver 4	Provide the sender to receiver message.	
Sender to Receiver 5	Provide the sender to receiver message.	
Sender to Receiver 6	Provide the sender to receiver message.	

3.4.6.3 Remittance Information

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

Field	Description	Sample Values
Payment Detail 1	Provide the payment details.	
Payment Detail 2	Provide the payment details.	
Payment Detail 3	Provide the payment details.	
Payment Detail 4	Provide the payment details.	

3.4.6.4 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.	

Field	Description	Sample Values
Remarks	Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	
Customer Instruction	Click to view/ input the following ● Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. ● Transaction Level Instructions – In this section, OBT FPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.	
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: ● R1- Documents missing ● R2- Signature Missing ● R3- Input Error ● R4- Insufficient Balance/Limits ● R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process.	

Field	Description	Sample Values
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Shipping Guarantee Issuance Shipping stage inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On click Back , user navigates to previous step.	
Next	On click of Next, system should validate if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.	

3.4.7 Summary

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

The Summary tiles displays a list of important fields with values. The tiles where fields have been modified have to be highlighted in different color. User can drill down from Summary Tiles into respective data segments.

Oracle (DEFAULTTENTY) FLEXCUBE UNIVERSAL BANK Aug 3, 2023 ZARTI subham@gmail

Shipping Guarantee Issuance
aEnrichment :: Application No:: 0325GTI000164450

Clarification Details Documents Remarks Overrides Customer Instruction Signatures

Main Shipment Details Additional Fields Advices Additional Details Settlement Details Summary

Summary

Main	Shipment Details	Additional Fields	Advices
Booking Date : 2023-08-03 Submission Mode : Desk Issued Against : DC	Port of Loading : aaaA Port of Discharge : AaAa Shipment Date : 2023-08-01 Carrier Name : aAaAaA	Click here to view : Additional fields	Advice 1 : Advice 2 :
Limits and Collaterals	Commission, Charges and taxes	Preview Messages	Accounting Details
Contribution Currency : Amount to Earmark : null Limit Status : Not Verified Collateral Currency : Collateral Contr. : Collateral Status : Not Verified Deposit Linkage CCY : Deposit Linkage Amount :	Charge : Commission : Tax : Block Status : Not Initiated	Language : ENG Preview Message : -	Event : AccountNumber : Branch :
Party Details	Compliance	Settlement Details	
Beneficiary : Onyx Pvt Ltd Applicant : Airtel Custo...	KYC : Not Initiate... Sanctions : Not Initiate... AML : Not Initiate...	Component : Account Number : Currency :	

edit Request Clarification Reject Refer Hold Cancel Save & Close Back Next Submit

Tiles Displayed in Summary

- Main Details - User can view the application details and Shipping Guarantee/Standby details. User can modify the details if required.
- Shipment Details - User can view the shipment details.
- Additional Fields - User can view the additional fields.
- Advices - User can view the advices details.
- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes - User can view the provided charge details, if required. User can modify the details if required.
- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Accounting Details - User can see the accounting details.

Note

When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Party Details - User can view the party details like beneficiary, advising bank etc..
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction checks.
- Settlement Details – User should be able to view the settlement details.

3.4.7.1 Action Buttons

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

Field	Description	Sample Values
Clarification Details	Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.	
Documents	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.	
Remarks	Click the Remarks icon to view the remarks captured as part of Registration stage and also can input Remarks, which can be seen by other users.	
Overrides	Click to view the overrides accepted by the user.	
Customer Instruction	Click to view/ input the following ● Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this. ● Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.	
Signatures	Click the Signature button to verify the signature of the customer/ bank if required. The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures.	
Request Clarification	User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline.	

Field	Description	Sample Values
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process.	
Refer	User can refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 – Others	
Hold	The details provided will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Cancel	Cancel the Data Enrichment Stage Inputs.	
Save & Close	Save the information provided and holds the task in you queue for working later. This option will not submit the request	
Back	On click Back , user navigates to previous step.	
Submit	On Submit, system should validate for all mandatory field values Task will get moved to next logical stage of Guarantee Issuance. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.	

3.5 Exceptions

3.5.1 Amount Block Exception Approval - Trade Finance Transactions

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

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

In Amount block, system checks whether the sufficient balance is available in the account to create the block. On hand-off, system will debit the blocked account to the extent of block and credit charges/ commission account in case of charges block or credit the amount in suspense account for blocks created for collateral.

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

3.5.1.1 Summary

ORACLE

(DEFAULTTENTITY)

Oracle Banking Trade Finan...
Aug 3, 2023

ZART/
subham@gmail

Shipping Guarantee Issuance
Amount Block Exception Approval :: Application No:- 032ISGI000139498

DocumentsRemarksOverridesCustomer Instruction

Amount Block Exception

Summary

Screen (2

Main	Shipment Details	Additional Fields	Advices
Booking Date : 2023-08-03 Submission Mode : Desk Issued Against : DC	Port of Loading : London Port of Discharge : Mumbai Shipment Date : 2023-08-03 Carrier Name : ABC	Click here to view : Additional fields	Advice 1 : LC_CASH_COL... Advice 2 : SG_INSTRUMEN... Advice 3 : PAYMENT_MESS... Advice 4 : PAYMENT_MESS...
Limits and Collaterals	Commission,Charges and Taxes	Preview Messages	Party Details
Contribution Currency : Amount to Earmark : null Limit Status : Not Verified Collateral Currency : Collateral Contr. : Collateral Status : Not Verified Deposit Linkage CCY : Deposit Linkage : Amount	Charge : AED 150.00 Commission : AED 50.00 Tax : AED 4.00 Block Status : Failed	Language : ENG Preview Message : -	Beneficiary : LuLu Group I... Applicant : Aldar Proper...
Compliance	Accounting Details		
KYC : Not Verified Sanctions : Verified AML : Verified	Event : CLIQ AccountNumber : 0322050002 Branch : 032		

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RejectReferHoldApproveBackNe

Tiles Displayed in Summary:

- **Main Details** - User can view the application details and Shipping Guarantee/Standby details. User can modify the details if required.
- **Shipment Details** - User can view the shipment details.
- **Additional Fields** - User can view the additional fields.
- **Advices** - User can view the advices details.
- **Limits and Collaterals** - User can view the limits and collateral details. User can modify the details if required.
- **Commission, Charges and Taxes** - User can view the provided charge details, if required. User can modify the details if required.
- **Preview Messages** - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- **Accounting Details** - User can see the accounting details.

Note

When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- **Party Details** - User can view the party details like beneficiary, advising bank etc..
- **Compliance** - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction checks.

3.5.1.2 Action Buttons

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

Field	Description	Sample Values
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process.	
Hold	The details provided will be registered and status will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Refer	User will be able to refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 - Others	
Cancel	Cancel the Amount Block Exception Inputs.	
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.	
Back	Task moves to previous logical step.	

3.5.2 Exception - Know Your Customer (KYC)

As part of KYC validation, application will check if necessary KYC documents are available and valid for the applicant. The transactions that have failed KYC due to non-availability / expired KYC verification will reach KYC exception stage.

Log in into OBTFPM application KYC exception queue. KYC exception failed tasks for trade finance transactions must be listed in your queue. Open the task, to see summary tiles that display a summary of important fields with values.

User can pick up a transaction and do the following actions:

Approve

- After changing the KYC status in the back end application (outside this process).
- Without changing the KYC status in the back end application.
- Reject (with appropriate reject reason).

3.5.2.1 Summary

ORACLE (DEFAULT TITV) Oracle Banking Trade Finan... Aug 3, 2023 ZART, subham@gmail.com

Shipping Guarantee Issuance
Exceptional approval : Application No:- 032ISGI000139498

Documents Remarks Overrides Customer Instruction

KYC Exception Summary

Screen (2)

Main	Shipment Details	Additional Fields	Advices
Booking Date : 2023-08-03 Submission Mode : Desk Issued Against : DC	Port of Loading : London Port of Discharge : Mumbai Shipment Date : 2023-08-03 Carrier Name : ABC	Click here to view : Additional fields	Advice 1 : LC_CASH_COL... Advice 2 : SG_INSTRUMEN... Advice 3 : PAYMENT_MESS... Advice 4 : PAYMENT_MESS...

Limits and Collaterals	Commission, Charges and Taxes	Preview Messages	Party Details
Contribution Currency : Amount to Earmark : null Limit Status : Not Verified Collateral Currency : Collateral Contr. : Collateral Status : Not Verified Deposit Linkage CCY : Deposit Linkage : Amount	Charge : AED 150.00 Commission : AED 50.00 Tax : AED 4.00 Block Status : Not Initiated	Language : ENG Preview Message : -	Beneficiary : LuLu Group L... Applicant : Aldar Proper...

Compliance	Accounting Details	Settlement Details
KYC : Not Verified Sanctions : Not Initiate... AML : Not Initiate...	Event : CLIQ Account Number : 152110003 Branch : 032	Component : OTHBKNKCHG_LI... Account Number : 0322050002 Currency : AED

Reject Refer Hold Approve Back Ne

Tiles Displayed in Summary:

- Main Details - User can view the application details and Shipping Guarantee/Standby details. User can modify the details if required.
- Shipment Details - User can view the shipment details.
- Additional Fields - User can view the additional fields.
- Advices - User can view the advices details.
- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes - User can view the provided charge details, if required. User can modify the details if required.
- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Accounting Details - User can see the accounting details.

Note

When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Party Details - User can view the party details like beneficiary, advising bank etc..
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction checks.

- Settlement Details – User should be able to view the settlement details.

3.5.2.2 Action Buttons

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

Field	Description	Sample Values
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process.	
Hold	The details provided will be registered and status will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Refer	User will be able to refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 - Others	
Cancel	Cancel the KYC Exception inputs.	
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.	
Back	Task moves to previous logical step.	

3.6 Multi Level Authorization

Log in into OBTFPM application and open the task to see the summary tiles. The tiles should display a list of important fields with values. User must be able to drill down from summary Tiles into respective data segments to verify the details of all fields under the data segment.

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.

3.6.1 Authorization Re-Key

The application will request approver for few critical field values as an authorization step. If the values captured match with the values available in the screen, system will allow user to open the transaction screens for further verification. If the re-key values are different from the values captured, then application will display an error message.

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

- Currency
- Amount

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

Approval Rekey

Documents

Remarks

Currency

GBP

✓

Amount

£25,000.00

✓

Refer

Cancel

Proceed

Click Next to view the Summary screen.

3.6.1.1 Summary

ORACLE		(DEFAULT TITIVITY)		FLEXCUBE UNIVERSAL BAN...		ZARTA	
Shipping Guarantee Issuance Approval Task Level 1 :: Application No:- 032ISGI000139498		Documents		Remarks		Overrides	
		Customer Instruction		Signatures			
Main Booking Date : 2023-08-03 Submission Mode : Desk Issued Against : DC		Shipment Details Port of Loading : London Port of Discharge : Mumbai Shipment Date : 2023-08-03 Carrier Name : ABC		Additional Fields Click here to view : Additional fields		Advices Advice 1 : LC_CASH_COL... Advice 2 : SG_INSTRUMEN... Advice 3 : PAYMENT_MESS... Advice 4 : PAYMENT_MESS...	
						Limits and Collaterals Contribution Currency : Amount to Earmark : null Limit Status : Not Verified Collateral Currency : Collateral Contr. : Collateral Status : Not Verified Deposit Linkage CCY : Deposit Linkage Amount :	
Commission, Charges and Taxes Charge : AED 150.00 Commission : AED 50.00 Tax : AED 4.00 Lock Status : Failed		Preview Messages Language : ENG Preview Message : -		Party Details Beneficiary : Lulu Group L... Applicant : Aldar Proper...		Compliance KYC : Not Verified Sanctions : Verified AML : Verified	
						Accounting Details Event : CLIQ Account Number : 0322050002 Branch : 032	
Exception (Approval) Amount Block KYC : EXCEPTION LEASE VISIT : - EMARKS FOR MORE DETAILS		Settlement Details Component : OTHBNKCHG_LL... Account Number : 0322050002 Currency : AED					
Audit				Reject		Hold	
				Refer		Cancel	
						Approve	

Tiles Displayed in Summary:

- Main Details - User can view the application details and guarantee/ Standby details. User can modify the details if required.
- Shipment Details - User can view the shipment details.
- Additional Fields - User can view the additional fields.
- Advices - User can view the advices details.
- Limits and Collaterals - User can view the limits and collateral details. User can modify the details if required.
- Commission, Charges and Taxes - User can view the details provided for commission, charges and taxes. User can modify the details if required.
- Preview Messages - User can drill down to view the message preview, legal verification and customer draft confirmation details. The message preview screen has the Legal Verification details.
- Party Details - User can view the party details like beneficiary, advising bank etc.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Accounting Details - User can see the accounting details.

Note

When the Value Date is different from the Transaction Date for one or more accounting entries, system displays an Alert Message "Value Date is different from Transaction Date for one or more Accounting entries.

- Exceptions (Approval) - User can view the exceptions (approval) details. Settlement Details – User should be able to view the settlement details.

3.6.1.2 Action Buttons

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

Field	Description	Sample Values
Reject	On click of Reject, user must select a reject reason from a list displayed by the system. Reject Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance/Limits • R5 - Others. Select a Reject code and give a reject description. This reject reason will be available in the remarks window throughout the process.	
Hold	The details provided will be registered and status will be on hold. This option is used, if there are any pending information yet to be received from applicant.	
Refer	User will be able to refer the task back to the Data Enrichment user. User must select a Refer Reason from the values displayed by the system. Refer Codes: • R1- Documents missing • R2- Signature Missing • R3- Input Error • R4- Insufficient Balance- Limits • R5 - Others	
Cancel	Cancel the Guarantee Issuance approval.	
Approve	On approve, application must validate for all mandatory field values, and task must move to the next logical stage. If there are more approvers, task will move to the next approver for approval. If there are no more approvers, the transaction is handed off to the back end system for posting.	

A

Action	3
Action Buttons	3, 16, 19, 30, 33, 36
Additional Details	21
Action Buttons	28
Charge Details	25
Commission Details	26
Limits & Collateral	21
Tax Details	27
Additional Fields	17
Action Buttons	17
Advices	18
Action Buttons	19, 20
Advice Details	19
Amount Block Details	34
Action Buttons	36
Charge Details	36
Collateral Details	36
Limits & Collateral	34
Amount Block Exception Approval	32
Action Buttons	33
Application Details	33
Summary	33
Application Details	5, 33

B

Benefits	1
----------------	---

C

Charge Details	25, 36
Collateral Details	36
Commission Details	26
Common	2
Common Initiation Stage	2
Action Buttons	3

D

Data Enrichment	9
-----------------------	---

K

Key Features	1
--------------------	---

L

Limits & Collateral	21
---------------------------	----

M

Main Details	12
--------------------	----

Action Buttons	13
Application Details	12
Shipping Guarantee Details	12
Miscellaneous	8
Multi Level Approval	37
Authorization Re-Key	37
Multi Level Authorization	37
Action Buttons	40
Authorization Re-Key	37
Summary	39

O

Overview	1
----------------	---

P

Preview Message	29
-----------------------	----

R

Registration	3
Action Buttons	8
Application Details	5
Guarantee Details	6
Miscellaneous	8
Shipping Guarantee Details	6

S

Shipping Details	15
Action Buttons	16
Shipping Guarantee – Preview	28
Action Buttons	30
Preview Message	29
Shipping Guarantee Details	6, 12
Summary	30, 39
Action Buttons	32

T

Tax Details	27
-------------------	----