

# Oracle Banking Trade Finance Process Management Cloud Service

## Guarantee/SBLC Advise Amendment Beneficiary Consent User Guide



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# Preface

- [Purpose](#)
- [Audience](#)

This document is intended for the following audience:
- [Documentation Accessibility](#)
- [Critical Patches](#)
- [Diversity and Inclusion](#)
- [Structure](#)

This manual is organized into the following chapters:
- [Conventions](#)
- [Related Documents](#)
- [Screenshot Disclaimer](#)
- [Acronyms and Abbreviations](#)
- [Basic Actions](#)
- [Symbols and Icons](#)

## Purpose

This manual is designed to help you quickly get acquainted with the Oracle Banking Trade Finance Process Management Cloud Service **Guarantee Advise Amendment Beneficiary Consent** process.

## Audience

This document is intended for the following audience:

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

## 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](#)

## Access to Oracle Support

Oracle customer access to and use of Oracle support services will be pursuant to the terms and conditions specified in their Oracle order for the applicable services.

## Critical Patches

Oracle advises customers to get all their security vulnerability information from the Oracle Critical Patch Update Advisory, which is available at Critical Patches, Security Alerts and Bulletins [Critical Patches, Security Alerts and Bulletins](#). All critical patches should be applied in a timely manner to ensure effective security, as strongly recommended by Oracle Software Security Assurance [Oracle Software Security Assurance](#).

## 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.

## Structure

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.

## Conventions

The following text conventions are used in this document:

Convention	Meaning
<b>boldface</b>	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.

## Related Documents

For more information on any related features, you can refer to the following documents:

- Getting Started User Guide

- Oracle Banking Common Core User Guide

## 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.

## Acronyms and Abbreviations

The list of the acronyms and abbreviations that are used in this guide are as follows:

**Table 1 Acronyms and Abbreviations**

Abbreviation	Description
OBTFCPM	Oracle Banking Trade Finance Process Management
LC	Letter of Credit
BC	Bankers Cheque
FX	Foreign Exchange
CCY	Currency
LCY	Local Currency
FCY	Foreign Currency
LOV	List of Values
CIF	Customer Information File
UDF	User Defined Fields
FFT	Free Format Text
SBLC	Standby Letter of Credit

## Basic Actions

Most of the screens contain Action Buttons to perform all or a few of the basic actions. The actions which are called here are generic, and it varies based on the usage and the applicability. The table below gives a snapshot of them:

**Table 2 Common Action Buttons and its Definitions**

Action Buttons	Description
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"><li>• R1- Documents missing</li><li>• R2- Signature Missing</li><li>• R3- Input Error</li><li>• R4- Insufficient Balance/Limits</li><li>• R5 - Others</li></ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>

Table 2 (Cont.) Common Action Buttons and its Definitions

Action Buttons	Description
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Cancel</b>	Click <b>Cancel</b> to cancel the transaction input midway without saving any data.
<b>Save &amp; Close</b>	Click <b>Save &amp; Close</b> to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Next</b>	Click <b>Next</b> , system validates 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.
<b>Submit</b>	Click <b>Submit</b> to complete the transaction after you specify all the input parameters for a particular process. The task will get moved to next logical stage of the process. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.

## Symbols and Icons

The list of symbols and icons available on the screens are as follows:

Table 3 Symbols and Icons - Common






Symbol/Icon	Function
	Minimize
	Maximize
	Close
	Perform Search
	Open a list



Table 3 (Cont.) Symbols and Icons - Common























Symbol/Icon	Function
	Date Range
	Add a new record
	Navigate to the first record
	Navigate to the last record
	Navigate to the previous record
	Navigate to the next record
	Grid view
	List view
	Refresh
	Click this icon to add a new row.
	Click this icon to delete a row, which is already added.
	Calendar
	Alerts
	Unlock Option
	View Option
	Reopen Option

Table 4 Symbols and Icons - Widget

Symbol/Icon	Function
	Open status
	Unauthorized status
	Rejected status
	Closed status
	Authorized status
	Modification Number

# 1

## Oracle Banking Trade Finance Process Management Cloud Service

This topic helps you quickly get acquainted with the Oracle Banking Trade Finance Process Management Cloud Service process.

Welcome to the Oracle Banking Trade Finance Process Management Cloud Service User Guide. This guide provides an overview on the OBTFPMCS 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 OBTFPMCS:

- To create and handle Trade Finance transaction.
- Help users to conveniently create and process Trade Finance transaction

### Overview

Oracle Banking Trade Finance Process Management Cloud Service is a Trade Finance middle office platform, which enables bank to streamline the Trade Finance operations. Oracle Banking Trade Finance Process Management Cloud Service enables the customers to send request for new Trade Finance transaction either by visiting the branch (offline channels) or through SWIFT/Trade Portal/other external systems (online channels).

### Benefits

Oracle Banking Trade Finance Process Management Cloud Service helps banks to manage Trade Finance operations across the globe in different currencies. OBTFPMCS allows you to:

- Handle all Trade Finance transactions in a single platform.
- Provides support for limit verification and limit earmarking.
- Provide amount block support for customer account.
- Provides acknowledgement to customers.
- Enables the user to upload related documents during transaction.
- Enables to Integrate with back end applications for tracking limits, creating limit earmarks, amount blocks, checking KYC, AML and Sanction checks status.
- Create, track and close exceptions for the above checks.
- Enables to use customer specific templates for fast and easy processing of trade transactions that reoccur periodically.

### Key Features

- Stand-alone system that can be paired with any back end application.
- Minimum changes required to integrate with bank's existing core systems.
- Faster time to market.
- Capable to interface with corporate ERP and SWIFT to Corporate.
- Highly configurable based on bank specific needs.
- Flexibility in modifying processes.



# 2

## Guarantee Advise Amendment Beneficiary Consent

This User Manual describes the various stages of Guarantee Advise Amendment Beneficiary Consent process.

The Guarantee Advise Amendment Beneficiary Consent process takes care of Capture of Beneficiary Consent of Amendment Advised at the:

- Advising Bank and
- Advise through Bank.

In the following sections, let's look at the details for Advise Amendment Beneficiary Consent process.

This process has following three stages:

- Registration
- Data Enrichment
- Authorization

The process may also have the following additional stages depending on the scenario:

- Amount Block Exception
- Limit Earmark Exception

This topic contains following subtopics:

- [Common Initiation Stage](#)  
This topic provides the systematic instructions to initiate the new **Guarantee Advise Amendment Beneficiary Consent** request.
- [Registration](#)  
This topic provides the systematic instructions to initiate the **Registration** stage of **Guarantee Advise Amendment Beneficiary Consent** request.
- [Data Enrichment](#)  
This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee Advise Amendment Beneficiary Consent request.
- [Exceptions](#)  
This topic helps you quickly get acquainted with the Exceptions process.
- [Multi Level Approval](#)  
This topic helps you quickly get acquainted with the Multi Level Approval process of Guarantee Advised Amendment Beneficiary Consent.

### 2.1 Common Initiation Stage

This topic provides the systematic instructions to initiate the new **Guarantee Advise Amendment Beneficiary Consent** request.

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Initiate Task**.  
The **Initiate Task** screen appears.

**Figure 2-1 Initiate Task**

2. On **Initiate Task** screen, specify the fields.

**Note**

The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

**Table 2-1 Initiate Task - Field Description**

Field	Description
<b>Process Name</b>	Select a process name from the drop-down list.
<b>Branch</b>	Select the required branch code from the drop-down list.

For more information on action buttons, refer to the field description table below.

**Table 2-2 Action Buttons - Field Description**

Field	Description
<b>Proceed</b>	Task will get initiated to next logical stage.
<b>Clear</b>	Click to clear the contents update and enter the values again.

3. Click **Proceed** to proceed to the next step.

## 2.2 Registration

This topic provides the systematic instructions to initiate the **Registration** stage of **Guarantee Advise Amendment Beneficiary Consent** request.

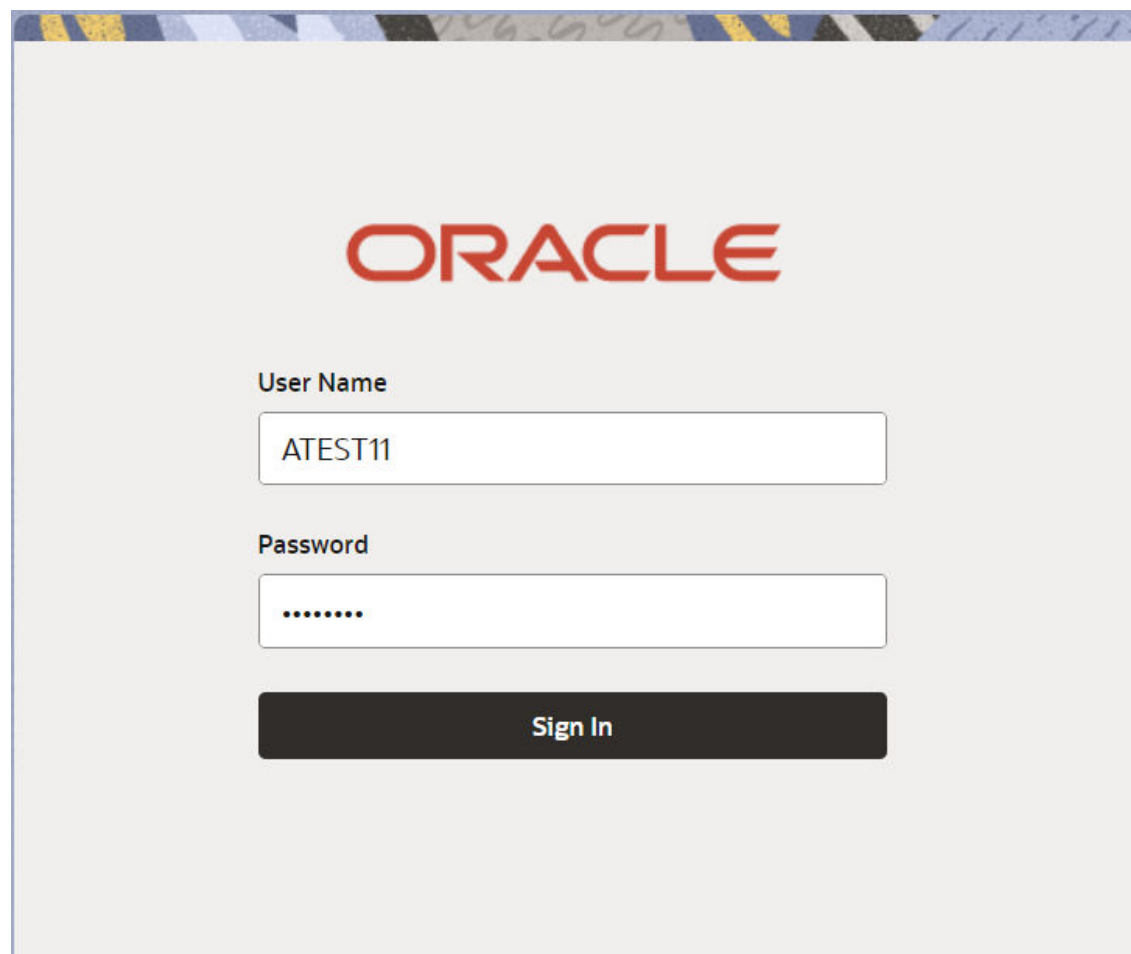
During Registration stage, user can register the beneficiary consent response received for the amendment to Guarantee advised. User can enter the basic details of the response, check the signature of the signatory from the advising bank and upload the related documents.

The OBTFPMCS user can process MT798 with sub messages MT726-MT759 message received through SWIFT. The OBTFPMCS 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 OBTFPMCS 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.

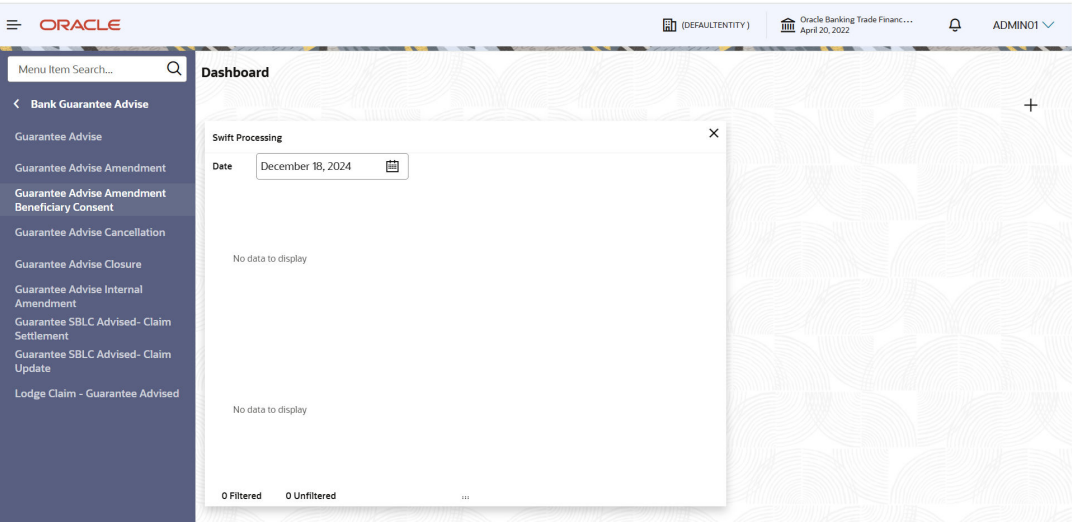
Specify **User ID** and **Password**, and login to **Home** screen.

**Figure 2-2    LogIn Screen**

The image shows the Oracle login screen. At the top, the Oracle logo is displayed in red. Below the logo, there are two input fields. The first is labeled "User Name" and contains the text "ATEST11". The second is labeled "Password" and contains a series of dots. Below these fields is a dark gray button with the text "Sign In" in white. The background of the login area is light gray, and the top of the screen has a decorative header with a blue and yellow pattern.

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Bank Guarantee Advise**.
2. Under **Bank Guarantee Advise**, click **Guarantee Advise Amendment Beneficiary Consent**.

**Figure 2-3    Guarantee Advise Amendment Beneficiary Consent**



The **Guarantee Advise Amendment Beneficiary Consent - Registration** screen appears.

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

**Figure 2-4    Guarantee Advise Amendment Beneficiary Consent - Registration - Application Details**

The screenshot displays the 'Guarantee Advise Amendment Beneficiary Consent' registration screen. At the top, there are tabs for 'Signatures', 'Documents', 'Remarks', and 'Customer Instruction'. The main content is divided into three sections. The 'Application Details' section contains several input fields: 'Advising Bank Ref' (PK2GUAD22110A3X6), 'Received From - Customer ID' (001044), 'Received From - Customer Name' (GOODCARE PLC), 'Branch' (PK2-Oracle Banking Trade Finz), 'Process Reference Number' (PK2GTEA000064900), 'User Reference Number' (PK2GUAD22110A3X6), 'Priority' (Medium), 'Submission Mode' (Desk), and 'Transaction Date' (April 20, 2022). A 'View Undertaking' button is located to the right. The 'Beneficiary Response Capture' section features a table with the following data:

Amendment Number	Amendment Date	Beneficiary Consent Required	Beneficiary Response	Remarks	Action
1	April 20, 2022	<input type="checkbox"/>	Confirmed		

The 'Information To Issuing Bank' section includes a '79 - Narrative' field. At the bottom right, there are buttons for 'Hold', 'Cancel', 'Save & Close', and 'Submit'.



3. On **Guarantee Advise Amendment Beneficiary Consent - Registration - Application Details** screen, specify the fields.

**Note**

The fields which are marked as **Required** are mandatory.

**Table 2-3 Guarantee Advise Amendment Beneficiary Consent - Registration - Application Details - Field Description**

Field	Description
<b>Advising Bank Reference Number</b>	Specify the advising bank reference number or click <b>Search</b> to search and select the advising bank reference number from look-up, by entering the search criteria.
<b>Received From - Customer ID</b>	Read only field. Customer ID is auto-populated from the Guarantee /SBLC Amendment.
<b>Received From - Customer Name</b>	Read only field. Customer name is auto-populated from the Guarantee /SBLC Amendment.
<b>Branch</b>	Read only field. Branch details is auto-populated from the Guarantee /SBLC Amendment.
<b>Process Reference Number</b>	Read only field.  Unique OBTFPMCS task reference number for the transaction.  This is auto generated by the system based on process name and branch code.
<b>User Reference Number</b>	Read only field. System defaults the user reference number, depending on the selection of Advising Bank Reference Number.
<b>Priority</b>	This field will be defaulted based on the priority maintenance. 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 as per the requirement.
<b>Submission Mode</b>	System defaults the submission mode as 'Desk' for the transactions created via Registration Users are allowed to change the values.  Users are allowed to change the values. The values are: <ul style="list-style-type: none"> <li><b>Desk</b> - Request received through Desk</li> <li><b>Courier</b> - Request received through Courier</li> </ul>
<b>Transaction Date</b>	Read only field.  System defaults the current branch date. User can not change the date to a back date and future date.

**Beneficiary Response Capture**

Registration user can capture the beneficiary responses of each amendments made to the Guarantee in this section.

Beneficiary Response Capture

Amendment Number	Amendment Date	Beneficiary Consent Required	Beneficiary Response	Remarks	Action
1	April 20, 2022	<input type="checkbox"/>	Confirmed		

Information To Issuing Bank

79 - Narrative

Hold Cancel Save & Close Submit

4. On **Guarantee Advise Amendment Beneficiary Consent - Registration - Beneficiary Response Captures** screen, specify the fields.

**Note**

The fields which are marked as **Required** are mandatory.

For more information on fields, refer to the field description table below.

**Table 2-4 Beneficiary Response Capture - Field Description**

Field	Description
<b>Amendment Number</b>	Read only field.  Amendment number will be auto-populated from the Guarantee /SBLC Amendment.
<b>Amendment Date</b>	Read only field.  This field displays the date on which the amendment was made to Guarantee/ SBLC.
<b>Beneficiary Consent Required</b>	Read only field.  Beneficiary Consent Required (Y/N) will be auto-populated from the Guarantee /SBLC Amendment.
<b>Beneficiary Response</b>	Select the beneficiary response from the drop-down. The values are: <ul style="list-style-type: none"> <li>Confirmed</li> <li>Unconfirmed</li> <li>Rejected</li> </ul>
<b>Remarks</b>	Specify the remarks of the beneficiary response.
<b>Action</b>	Click the edit icon to edit the remarks and Beneficiary Response.

5. On **Guarantee Advise Amendment Beneficiary Consent Islamic - Registration - Information to Issuing Bank** screen, specify the fields.

Information To Issuing Bank

79 - Narrative

Hold Cancel Save & Close Submit

For more information on fields, refer to the field description table below.

**Table 2-5 Information to Issuing Bank - Field Description**

Field	Description
<b>Narrative</b>	<p>Specify the narrative for MT799.</p> <p>The user modifies the details of the FFT text concerning beneficiary consent responses.</p> <div> <p><b>Note</b></p> <p>The user is prompted to review MT799 narrative details and the system suppresses the error message if it is not required.</p> </div>

6. Click **Submit**.

The task will move to next logical stage of Guarantee Advise Amendment Beneficiary Consent.

For more information on action buttons, refer to the field description table below.

**Table 2-6 Guarantee Advise Amendment Beneficiary Consent - Registration - Action Buttons - Field Description**

Field	Description
<b>Signatures</b>	<p>Click the Signature button to verify the signature of the customer/ bank if required.</p> <p>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.</p> <p>If more than one signature is available, system should display all the signatures.</p>
<b>Documents</b>	<p>Upload the documents received.</p> <p>Application displays mandatory documents to be uploaded for Guarantee Advise Beneficiary Consent. Place holders are also available to upload additional documents submitted by the applicant</p>
<b>Remarks</b>	<p>Specify any additional information regarding the Guarantee Advise Amendment Beneficiary Consent. This information can be viewed by other users processing the request.</p>
<b>Customer Instruction</b>	<p>Click to view/ input the following:</p> <ul style="list-style-type: none"> <li><b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li><b>Transaction Level Instructions</b> – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	<p>Clicking this button allows the user should to view the undertaking details.</p>

**Table 2-6 (Cont.) Guarantee Advise Amendment Beneficiary Consent - Registration - Action Buttons - Field Description**

Field	Description
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task. This option is used, if there are any pending information yet to be received from applicant.
<b>Cancel</b>	Cancels the Guarantee Advise Amendment Beneficiary Consent task. Details entered will not be saved and the task will be removed.
<b>Save &amp; Close</b>	Save the information provided and holds the task in 'My Task' queue for working later.  This option will not submit the request.
<b>Submit</b>	Click Submit, system will trigger acknowledgment to the customer and give confirmation message for successful submission. The task will move to next logical stage of Guarantee Advise Amendment Beneficiary Consent. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided.
<b>Checklist</b>	Click to view the list of items that needs to be completed and acknowledge. If mandatory checklist items are not selected, system will display an error on submit.

- [Document Linkage](#)  
This topic provides the systematic instructions to initiate the document linkage.
- [Bi-Directional Flow for Offline Transactions Initiated from Oracle Banking Trade Finance Process Management Cloud Service](#)  
This topic provides the systematic instructions to initiate the Bi-Directional Flow for Offline Transactions Initiated from Oracle Banking Trade Finance Process Management Cloud Service.

## 2.2.1 Document Linkage

This topic provides the systematic instructions to initiate the document linkage.

In Oracle Banking Trade Finance Process Management Cloud Service, 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.

Specify **User ID** and **Password**, and navigate to **Registration** screen.

1. On the header of **Registration** screen, click, **Documents**.

The **Document** pop-up screen is displayed.

**Documents**

Document Status Select  
All

**Letter of Credit**  
**Pro-forma Invoice**

**Letter of Credit**  
**Application Form**

**+**

**Close**

2. Click the **Add Additional Documents** button/ link.

The **Document** screen is displayed.

### Document

Document Type  
Letter of Credit ▼

Document Title

Remarks

Drop files here or click to select

Selected files:

Document Code  
Insurance Policy ▼

Document Description

Document Expiry Date

Link Document

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

3. Select the document to be uploaded or linked and click the **Link Document** link.

The link **Document** pop up screen is displayed.

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

### Link Document

Customer Id

Document Id

Document Type

Letter of Credit ▼

Document Code

Insurance Policy ▼

Fetch

Link Document	Document Id	Customer Id	Document Type	Document Code	Upload Date	Reference Number
No data to display.						

Page 1 (0 of 0 items)

◀

1

▶

Close

- 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
<b>Customer ID</b>	This field displays the transaction Customer ID.
<b>Document ID</b>	Specify the document ID.
<b>Document Type</b>	Select the document type from list.
<b>Document Code</b>	Select the document Code from list.
<b>Search Result</b>	
<b>Document ID</b>	This field displays the document ID from metadata.
<b>Customer ID</b>	This field displays the transaction customer ID.
<b>Document Type</b>	This field displays the document type from metadata.
<b>Document Code</b>	This field displays the document code from metadata.
<b>Link Document</b>	The link to link the existing uploaded documents from DMS to the workflow task.
<b>Upload Date</b>	The field displays the upload date of the document.
<b>Reference Number</b>	The field displays the reference number of the document.

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

### Link Document

Customer Id

001044

Document Type

Letter of Credit

Document Id

Document Code

Insurance Policy

Fetch

Link Document	Document Id	Customer Id	Document Type	Document Code	Upload Date	Reference Number
<a href="#">Link</a>	616	001044	fdff	INSURANCE	December 6, 2023	PK2ELCU000003399
<a href="#">Link</a>	116	001044		INSURANCE	November 3, 2023	PK2ILCD000001238
<a href="#">Link</a>	144	001044		INSURANCE	November 6, 2023	PK2IILD000001312
<a href="#">Link</a>	162	001044		INSURANCE	November 9, 2023	PK2ELCC000001424
<a href="#">Link</a>	684	001044	cvcvc	INSURANCE	December 11, 2023	PK2IELD000004034

Page 1 of 6 (1-5 of 29 items) |< < 1 2 3 4 5 6 > >I

Close

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

6. Click **Edit** icon to edit the documents.

The **Edit Document** screen is displayed.

### Edit Document

Document Id

2464

Application Reference Number

PK2ILCI000053389

Document Type Id

TFPM\_DOCTYPE001

Remarks

ffdfd

Document Title

ddf

Entity Reference Number

PK2ILCI000053389

Document Description

dfdfdf

Document Expiry Date

Drop files here or click to select

Current selected files:ddf.pdf | 2464

UpdateCancel



## 2.2.2 Bi-Directional Flow for Offline Transactions Initiated from Oracle Banking Trade Finance Process Management Cloud Service

This topic provides the systematic instructions to initiate the Bi-Directional Flow for Offline Transactions Initiated from Oracle Banking Trade Finance Process Management Cloud Service.

Offline Transactions means those transactions which are not initiated by OBDX, but are initiated directly by the bank user in Oracle Banking Trade Finance Process Management Cloud Service upon request received from the customer.

### Pre- Conditions:

- Customer Maintenance details are replicated from OBTF to Oracle Banking Trade Finance Process Management Cloud Service.
  - Task is initiated in Oracle Banking Trade Finance Process Management Cloud Service, Customer ID is captured/populated and Process Reference Number is generated.
1. Customer Maintenance details are replicated from OBTF to Oracle Banking Trade Finance Process Management Cloud Service.
  2. In Oracle Banking Trade Finance Process Management Cloud Service, 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". In case submission mode is "Online", the user can enter the clarification details in "Clarification Required" placeholder.
  3. 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.

## 2.3 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Guarantee Advise Amendment Beneficiary Consent request.

SBLC/ Guarantee Amendment - Beneficiary Consent request that were received at the desk will move to Data Enrichment stage post successful Registration. The requests will have the details entered during the Registration stage. Registration user can input details in Application Details and in Beneficiary Response Capture section. If Registration user has entered details only in Application details, then DE user can input the details.

DE user can also change the details in Beneficiary Response Capture if already captured by Registration user.

The user can view the requests that are received via online channel like SWIFT are available directly for further processing from Beneficiary Consent Response Capture stage.

**Note**

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

Do the following steps to acquire a task which completed the registration and scrutiny and currently at Data enrichment stage.

Specify **User ID** and **Password**, and login to **Home** screen.

1. On **Home** screen, click, **Task**.
2. Under **Task**, click **Free Task**.

**Figure 2-5 Free Task**

	Acquire and Edit	Priority	Process Name	Process Reference Number	Application Number	Stage	Application Date
<input type="checkbox"/>	Acquire and Edit		STP Process Allocation	PK2STPP000064903	PK2STPP000064...	Process Identifica...	22-04-20
<input type="checkbox"/>	Acquire and Edit		STP Process Allocation	PK2STPP000064902	PK2STPP000064...	Process Identifica...	22-04-20
<input checked="" type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise Amendment Beneficiary ...	PK2GTEA0000649...	PK2GTEA000064...	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000052491	PK2GTEA000052...	Approval Task Le...	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000002558	PK2GTEA000002...	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Guarantee Advise	PK2GTEA000061878	PK2GTEA000061...	Approval Task Le...	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import Documentary Collection Liquidation	PK2IDCL000064892	PK2IDCL000064...	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import Documentary Collection Liquidation	PK2IDCL000064891	PK2IDCL000064891	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064890	PK2ILCL0000648...	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064889	PK2ILCL0000648...	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064887	PK2ILCL000064887	DataEnrichment	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Common Group Message	PK2CGRM000064...	PK2CGRM00006...	Approval	22-04-20
<input type="checkbox"/>	Acquire and Edit	Medium	Import LC Liquidation	PK2ILCL000064880	PK2ILCL0000648...	DataEnrichment	22-04-20

The **Free Task** screen appears.

3. Select the appropriate task and click **Acquire & Edit** to edit the task or click **Acquire** to edit the task from **My Tasks**.
4. The acquired task will be available in **My Tasks** tab. Click **Edit** to to provide input for Data Enrichment stage.

**Figure 2-6 My Task**

ORACLE

Oracle Banking Trade Finance...

April 20, 2022

ATEST11

Menu Item Search...

Tasks

Awaiting Customer Clarification

Business Process Maintenance

Completed Tasks

Free Tasks

Hold Tasks

My Tasks

Other User tasks

Search

SubProcess Tasks

Supervisor Tasks

My Tasks

Refresh

Release

Escalate

Delegate

Flow Diagram

<input type="checkbox"/>	Edit	Priority	Process Name	Process Reference...	Application Number	Stage	Application Date
<input checked="" type="checkbox"/>	Edit	Medium	Guarantee Advise Amendment Beneficiary...	PK2GTEA000064...	PK2GTEA000064900	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Advise	PK2GTEA000054...	PK2GTEA000054167	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Advise	PK2GTEA000064...	PK2GTEA000064883	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Issuance Amendment Beneficia...	PK2GTEI000064871	PK2GTEI000064871	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Issuance Internal Amendment	PK2GTEI000064...	PK2GTEI000064842	Approval Task Le...	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Cancellation	PK2GTEC000064...	PK2GTEC000064841	AmountBlock Exc...	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Issuance Closure	PK2GTEC000064...	PK2GTEC000064839	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee SBLC Issuance -Claim Update	PK2GISCO00064...	PK2GISCO00064833	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee SBLC Issuance -Claim Settlement	PK2GISCO00062281	PK2GISCO00062281	Approval Task Le...	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Amendment	PK2GTEA000064...	PK2GTEA000064804	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee SBLC Issuance -Claim Settlement	PK2GISCO00064...	PK2GISCO00064800	DataEnrichment	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Issuance Internal Amendment	PK2GTEI000001916	PK2GTEI000001916	Approval Task Le...	22-04-20
<input type="checkbox"/>	Edit	Medium	Guarantee Issuance	PK2GTEI000064517	PK2GTEI000064517	DataEnrichment	22-04-20

The Data Enrichment stage has the following hops for data capture:

- [Main Details](#)
- [Additional Fields](#)
- [Advices](#)
- [Additional Details](#)
- [Settlement Details](#)
- [Summary](#)

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

- [Main Details](#)  
This topic provides the systematic instructions to initiate the **Main** details of Data Enrichment stage of Guarantee Advise Amendment Beneficiary Consent request.
- [Additional Fields](#)  
This topic provides the systematic instructions to capture the additional fields of Guarantee Advise Amendment Beneficiary Consent process.
- [Advices](#)  
This topic provides the systematic instructions to capture the advices details of **Guarantee Advise Amendment Beneficiary Consent** process.
- [Additional Details](#)  
This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Guarantee Advise Amendment Beneficiary Consent process.
- [Settlement Details](#)  
This topic provides the systematic instructions to capture the settlement details of Guarantee Advise Amendment Beneficiary Consent request.
- [Summary](#)  
This topic provides the systematic instructions to view the summary of Guarantee Advise Amendment Beneficiary Consent request.

## 2.3.1 Main Details

This topic provides the systematic instructions to initiate the **Main** details of Data Enrichment stage of Guarantee Advise Amendment Beneficiary Consent request.

Main details section has three sub section as follows:

- Application Details
- Beneficiary Response Capture
- Information to Issuing Bank

### Application Details

All fields displayed under Application details section, would be read only except the **Priority** field.

1. On **Data Enrichment - Main Details** screen, specify the fields that were not entered at Registration stage.

**Figure 2-7 Data Enrichment - Main Details**

The screenshot displays the 'Guarantee Advise Amendment Beneficiary Consent DataEnrichment' application. The main details section is expanded, showing fields for Advising Bank Ref, Received From - Customer ID, Received From - Customer Name, Branch, Process Reference Number, User Reference Number, Priority, Submission Mode, and Transaction Date. Below this is the 'Beneficiary Response Capture' section with a table for Amendment Number, Amendment Date, Beneficiary Consent Required, Beneficiary Response, Remarks, and Action. The 'Information To Issuing Bank' section is also visible.

For more information on fields, refer to the field description table below.

**Table 2-7 Guarantee Advise Amendment Beneficiary Consent - Main - Application Details - Field Description**

Field	Description
<b>Advising Bank Reference Number</b>	Read-only field. Displays the Advising Bank Reference Number as selected in <b>Registration</b> stage.
<b>Received From - Customer ID</b>	Read only field. Customer ID is auto-populated from the Guarantee /SBLC Amendment.

**Table 2-7 (Cont.) Guarantee Advise Amendment Beneficiary Consent - Main - Application Details - Field Description**

Field	Description
<b>Received From - Customer Name</b>	Read only field. Customer name is auto-populated from the Guarantee /SBLC Amendment.
<b>Branch</b>	Read only field. Branch details is auto-populated from the Guarantee /SBLC Amendment.
<b>Process Reference Number</b>	Read only field.  Unique OBTFPMCS task reference number for the transaction.  This is auto generated by the system based on process name and branch code.
<b>User Reference Number</b>	Read only field. System defaults the user reference number, depending on the selection of Advising Bank Reference Number.
<b>Priority</b>	This field will be defaulted based on the priority maintenance. If priority is not maintained for a customer, 'Medium' priority will be defaulted. User can change the priority populated.
<b>Submission Mode</b>	Read only field.  System defaults the submission mode as 'Desk' for the transactions created via Registration Users. The values can be: <ul style="list-style-type: none"> <li>• Desk - Request received through Desk</li> <li>• Courier - Request received through Courier</li> </ul>
<b>Transaction Date</b>	Read only field.  System defaults the current branch date. User can not change the date to a back date and future date.

**Beneficiary Response Capture**

The fields listed under this section are same as the fields listed under the **Beneficiary Response Capture** section in **Registration** stage. During Registration, if user has not captured input, then user can capture the details in this section.

**Figure 2-8 Beneficiary Response Capture**

The screenshot shows a web application interface for 'Beneficiary Response Capture'. It features a table with columns for Amendment Number, Amendment Date, Beneficiary Consent Required, Beneficiary Response, Remarks, and Action. The data row shows Amendment Number 1, Amendment Date April 20, 2022, Beneficiary Consent Required as a toggle switch, Beneficiary Response as 'Confirmed', Remarks as 'ewf', and an edit icon in the Action column. Below the table is a section titled 'Information To Issuing Bank' with a field for '79 - Narrative'. At the bottom of the form are several buttons: 'Audit', 'Request Clarification', 'Reject', 'Refer', 'Hold', 'Cancel', 'Save & Close', and 'Next'.

For more information on action buttons, refer to the field description table below.

**Table 2-8 Guarantee Advise Amendment Beneficiary Consent - Main - Beneficiary Response Capture - Field Description**

Field	Description
<b>Amendment Number</b>	Read only field.  Amendment number will be auto-populated from the Guarantee /SBLC Amendment.
<b>Amendment Date</b>	Read only field.  This field displays the date on which the amendment was made to Guarantee/ SBLC.
<b>Beneficiary Consent Required</b>	Read only field.  Beneficiary Consent Required (Y/N) will be auto-populated from the Guarantee /SBLC Amendment.
<b>Beneficiary Response</b>	Select the beneficiary response from the drop-down. The values are: <ul style="list-style-type: none"> <li>• Confirmed</li> <li>• Unconfirmed</li> <li>• Rejected</li> </ul>
<b>Remarks</b>	Specify the remarks of the beneficiary response.
<b>Action</b>	Click the edit icon to edit the remarks and Beneficiary Response.

### Information to Issuing Bank

The screenshot displays a software interface for 'Information To Issuing Bank'. It features a dropdown menu with '79 - Narrative' selected, a text input field, and a row of action buttons: Audit, Request Clarification, Reject, Refer, Hold, Cancel, Save & Close, and Next.

For more information on fields, refer to the field description table below.

**Table 2-9 Information to Issuing Bank - Field Description**

Field	Description
<b>Narrative</b>	<p>Specify the narrative for MT799.</p> <p>The user modifies the details of the FFT text concerning beneficiary consent responses.</p> <div> <p><b>Note</b></p> <p>The user is prompted to review MT799 narrative details and the system suppresses the error message if it is not required.</p> </div>

**Audit**

**Task Audit Trail Details**

Application No.  Branch Code  Initiated Date  Initiated By

Process Name

S.No	Stage Name	Pickup Time	Completed Time	Completed By	Outcome
1	Registration	Thu, 11 Jul 2024 08:01:31 GMT	Thu, 11 Jul 2024 08:02:39 GMT	ATEST11	PROCEED

This button provides information about user initiated the transaction, initiated date, stage wise detail etc.

For more information on audit, refer to the field description table below.

**Table 2-10 Audit - Field Description**

Field	Description
<b>Application No.</b>	This field displays the application number of the process.
<b>Branch Code</b>	This field displays the branch code.
<b>Initiated Date</b>	This field displays the date on which process is initiated.
<b>Initiated By</b>	This field displays the user ID of the user who had initiated the process.
<b>Process Name</b>	This field displays the name of the process which is initiated.
<b>S. No</b>	This field displays the serial number of the audit record.
<b>Stage Name</b>	This field displays the current stage of the process.
<b>Completed Time</b>	This field displays the time on which the audit of the current stage is completed.
<b>Completed By</b>	This field displays the user ID of the user who had completed the audit.
<b>Outcome</b>	This field displays the outcome of the audit.

- Click **Next**.

The task will move to next data segment. For more information refer [Additional Fields](#).

**Table 2-11 Main Details - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Click to open a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. 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
<b>Remarks</b>	Specify any additional information regarding the Guarantee Advise Amendment Beneficiary Consent. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advised Amendment Beneficiary Consent.
<b>Signatures</b>	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 available, system should display all the signatures.
<b>Request Clarification</b>	Click the Request Clarification button to request for an Online clarification from customer. Clicking the button opens a detailed screen to capture the clarification details.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.



**Table 2-11 (Cont.) Main Details - Action Buttons - Field Description**

Field	Description
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Next</b>	<p>On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.</p>

## 2.3.2 Additional Fields

This topic provides the systematic instructions to capture the additional fields of Guarantee Advise Amendment Beneficiary Consent process.

This stage allows adding more fields that are required to process the request. These fields can be configured as part of implementation of the product.

1. On **Additional Fields** screen, specify the fields, if any.

**Figure 2-9 Additional Fields**

2. Click **Next**.

The task will move to next data segment. For more information refer [Advices](#).  
For more information on action buttons, refer to the field description table below.

**Table 2-12 Additional Fields - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Click to open a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. 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
<b>Remarks</b>	Specify any additional information regarding the Guarantee. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li><b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li><b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.

Table 2-12 (Cont.) Additional Fields - Action Buttons - Field Description

Field	Description
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advise Amendment Beneficiary Consent.
<b>Signatures</b>	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 available, system should display all the signatures.
<b>Request Clarification</b>	Click the Request Clarification button to request for an Online clarification from customer. Clicking the button opens a detailed screen to capture the clarification details.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Back</b>	Click to move to the previous logical step.
<b>Next</b>	On click of Next, system validates 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.

### 2.3.3 Advices

This topic provides the systematic instructions to capture the advices details of **Guarantee Advise Amendment Beneficiary Consent** process.

This section defaults the advices maintained for the product/event simulated from the advices maintained at the Product level in the back office.

1. On **Advices** screen, click the 3 dots on any advice tile to view the advice details.

Figure 2-10 Advices

The screenshot displays the 'Guarantee Advise Amendment Beneficiary Consent DataEnrichment' application window. The title bar includes 'RTAB01' and 'Data Enrichment'. The main header shows 'Application No:- PK2GTEA000006694'. The interface features a left-hand navigation pane with tabs: 'Main Details', 'Additional Fields', 'Advices' (selected), 'Additional Details', 'Settlement Details', and 'Summary'. The top right contains tabs for 'Clarification Details', 'Documents', 'Remarks', and 'Overrides'. Below these are buttons for 'Customer Instruction', 'View Undertaking', 'View Events', and 'Signatures'. The central area, titled 'Advices', contains six advice tiles arranged in a 3x2 grid. Each tile displays the following information: Advice Name, Advice Party, Party Name, and Suppress Advice. The tiles are: 1. AMD\_EXP\_CR (Advice Party: BEN, Party Name: GOODCARE PLC, Suppress Advice: YES), 2. GUA\_AMD\_INSTR (Advice Party: BEN, Party Name: GOODCARE PLC, Suppress Advice: YES), 3. TRADE\_ENVELOPE (Advice Party: BEN, Party Name: GOODCARE PLC, Suppress Advice: YES), 4. GUAR\_RELEASE (Advice Party: ISB, Party Name: WELLS FARGO ..., Suppress Advice: YES), 5. GUA\_ACK\_ADVICE (Advice Party: ISB, Party Name: WELLS FARGO ..., Suppress Advice: NO), and 6. GUA\_BEN\_RESP (Advice Party: ISB, Party Name: WELLS FARGO ..., Suppress Advice: NO). The bottom of the screen has an 'Audit' button on the left and a row of action buttons: 'Request Clarification', 'Reject', 'Refer', 'Hold', 'Cancel', 'Save & Close', 'Back', and 'Next'. The bottom right corner indicates 'Screen 3 (3 / 6)'.

Advice Name	Advice Party	Party Name	Suppress Advice
AMD_EXP_CR	BEN	GOODCARE PLC	YES
GUA_AMD_INSTR	BEN	GOODCARE PLC	YES
TRADE_ENVELOPE	BEN	GOODCARE PLC	YES
GUAR_RELEASE	ISB	WELLS FARGO ...	YES
GUA_ACK_ADVICE	ISB	WELLS FARGO ...	NO
GUA_BEN_RESP	ISB	WELLS FARGO ...	NO

### Advice Details

×

Advice Details

▼ Advice Details

Suppress Advice

☐

Advice Name

Medium

Advice Party

GUA\_CLAIM\_ADV




MAIL

Party ID

Party Name




▼ FFT Code

+

FFT Code	FFT Description		Action ▾
77NARRATIVE	77 Narrative for MT747		 

▼ Instructions

+

Instruction Code	Instruction Description	Edit ▾	Action ▾
E023	IN CASE, REIMBURSING BANK IN NEW YORK, FAILS TO F		 

OK

Cancel

For more information on fields, refer to the field description table below.

### Table 2-13 Advice Details





Field	Description
<b>Suppress Advice</b>	Enable this option to suppress the advice. Disable this option if suppress advice is not required.
<b>Advice Name</b>	Read only field. The advice name is defaulted from Guarantee /SBLC Advised.
<b>Medium</b>	The medium of advices is defaulted from Guarantee /SBLC Advised. User can change the medium, if required.
<b>Advice Party</b>	Read only field.  The advice party is defaulted from the Guarantee /SBLC Advised.
<b>Party ID</b>	Read only field.  Value be defaulted from Guarantee Advise.
<b>Party Name</b>	Read only field.  Value be defaulted from Guarantee Advise.
<b>Free Format Text</b>	
	Click plus icon to add new FFT code.

Table 2-13 (Cont.) Advice Details

Field	Description
<b>FFT Code</b>	Click <b>Search</b> to search and select the FFT Code.
<b>FFT Description</b>	FFT description is populated based on the FFT code selected. User can update the FFT description, if required.
	Click edit icon to edit the existing FFT description.
<b>Action</b>	Click edit icon to edit the existing FFT code. Click delete icon to remove any existing FFT code.
<b>Instruction Details</b>	
	Click plus icon to add new instruction code.
<b>Instruction Code</b>	Click <b>Search</b> to search and select the instruction Code.
<b>Instruction Description</b>	Instruction description is populated based on the instruction code selected. User can update the Instruction description, if required.
	Click edit icon to edit the existing instruction description.
<b>Action</b>	Click delete icon to remove any existing instruction code. Click edit icon to edit the existing instruction code.

2. Click **Next**.

The task will move to next data segment.

For more information on fields, refer to the field description table below.

Table 2-14 Advices - Action Buttons - Field Description

Field	Description
<b>Clarification Details</b>	Click to open a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. 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

Table 2-14 (Cont.) Advices - Action Buttons - Field Description

Field	Description
<b>Remarks</b>	Specify any additional information regarding the Guarantee Advise Amendment Beneficiary Consent. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advise Amendment Beneficiary Consent.
<b>Signatures</b>	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 available, system should display all the signatures.
<b>Request Clarification</b>	Click the Request Clarification button to request for an Online clarification from customer. Clicking the button opens a detailed screen to capture the clarification details.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• <b>R1</b>- Documents missing</li> <li>• <b>R2</b>- Signature Missing</li> <li>• <b>R3</b>- Input Error</li> <li>• <b>R4</b>- Insufficient Balance/Limits</li> <li>• <b>R5</b> - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

Table 2-14 (Cont.) Advices - Action Buttons - Field Description

Field	Description
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• <b>R1</b>- Documents missing</li> <li>• <b>R2</b>- Signature Missing</li> <li>• <b>R3</b>- Input Error</li> <li>• <b>R4</b>- Insufficient Balance/Limits</li> <li>• <b>R5</b> - Others</li> </ul>
<b>Next</b>	On click of Next, system validates 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.

## 2.3.4 Additional Details

This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Guarantee Advise Amendment Beneficiary Consent process.

Following tiles are present in Additional Details section:

- Limits and Collateral section
  - Charges, commission and Taxes simulated from back office and populated in this screen
  - Preview Messages simulated from back office and populated in this screen
1. On **Additional Details** screen, click the 3 dots on any Additional Details tile to view the details.

Figure 2-11 Additional Details

### Limits and Collaterals

In this section user can to attach more than one line. 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 (OBTFFPMCS) and should Earmark the limit from the Back office.

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

Limits and Collaterals

Limit Details

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

Cash Collateral Details

Collateral Percentage

Collateral Currency and amount

Exchange Rate

Sequence Number	Settlement Account Currency	Settlement Account	Exchange Rate	Collateral Split %	Contribution Amount	Contribution Amount in Account Currency	Account Balance Check Response	Response Message	View
No data to display.									

Save & Close

Cancel

Figure 2-12 Limit Details

Limit Details

Customer Id

001044

Linkage Type

Facility

Contribution %

100.0

Liability Number

001044

Contribution Currency

USD

Line Id/Linkage Ref No

001044\_US

Limit/Liability Currency

USD

Limits Description

Limit Check Response

Available

Amount to Earmark

\$10.00

Expiry Date

Limit Available Amount

\$999,378,010.18

Response Message

Balance available of USD  
999378010.18

ELCM Reference Number

Verify

Save & Close

Close

Figure 2-13 Collateral Details

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### Collateral Details

Total Collateral Amount

£20.00

Sequence Number

1.0

Collateral Contribution Amount

£20.00

Settlement Account Currency

GBP

Contribution Amount in Account Currency

£20.00

Response

VS

Verify

Collateral Amount to be Collected

£20.00

Collateral Split %

100.0

Settlement Account

PK2001044019

Exchange Rate

1.0

Account Available Amount

£3,385.66

Response Message

The amount block can be performed as the account has sufficient balance.

✓

✕

For more information on fields, refer to the field description table below.

Table 2-15 Limit Details - Field Description

Field	Description
<div><div>+</div></div>	Click plus icon to add new limit details.
<b>Limit Details</b> Click <b>View</b> link to view the limit details limit details. Below fields are displayed on the Limit Details pop-up screen, if the user clicks the View link.	
<b>Customer ID</b>	Applicant's/Applicant Bank customer ID will get defaulted.
<b>Linkage Type</b>	Select the linkage type. Linkage type can be: <ul style="list-style-type: none"><li>Facility</li><li>Liability</li></ul> By default Linkage Type is "Facility".

Table 2-15 (Cont.) Limit Details - Field Description

Field	Description
<b>Contribution %</b>	<p>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.</p> <p>System to validate that if Limit Contribution% plus Collateral% is equal to 100. If the total percentage is not equal to 100 application will display an alert message.</p> <div> <p><b>Note</b></p> <p>The collateral % maintained for the customer is defaulted into the Collateral Details screen. If collateral % is not maintained for the customer, then system should default the collateral % maintained for the product. User can modify the defaulted collateral percentage, in which case system should display a override message “Defaulted Collateral Percentage modified.”</p> </div>
<b>Liability Number</b>	<p>Click <b>Search</b> to search and select the Liability Number from the look-up.</p> <p>The list has all the Liabilities mapped to the customer.</p>
<b>Contribution Currency</b>	<p>Read only field.</p> <p>This field displays the contribution currency.</p>
<b>Line ID/Linkage Ref No</b>	<p>Click <b>Search</b> to search and select from the various lines available and mapped under the customer id gets listed in the drop-down. LINE ID-DESCRIPTION will be available for selection along with Line ID. When you click on 'verify', the system will return value if the limit check was successful or Limit not Available. If limit check fails, the outstanding limit after the transaction value will be shown in the limit outstanding amount.</p> <p>The user can click the Line Id link to view the limit details.</p> <div> <p><b>Note</b></p> <p>User can also select expired Line ID from the lookup and on clicking the verify button, system should default “The Earmarking cannot be performed as the Line ID is Expired” in the “Response Message” field.</p> </div> <p>This field is disabled and read only, if <b>Linkage Type</b> is Liability.</p>
<b>Limit/Liability Currency</b>	<p>Read only field.</p> <p>This field displays the limit currency, when the user select the <b>Liability Number</b>.</p>
<b>Limits Description</b>	<p>Read only field.</p> <p>This field displays the limits description.</p>
<b>Limit Check Response</b>	<p>This field displays the limit check response.</p> <p>Response can be 'Success' or 'Limit not Available' based on the limit service call response.</p> <p>The value in this field appears, if you click the <b>Verify</b> button.</p>

Table 2-15 (Cont.) Limit Details - Field Description




Field	Description
<b>Amount to Earmark</b>	This field defaults the amount to earmark. Contribution amount will default based on the contribution %. User can change the value.
<b>Expiry Date</b>	Read only field. This field displays the date up to which the Line is valid.
<b>Limit Available Amount</b>	This field displays 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 <b>Verify</b> button.
<b>Response Message</b>	This field displays the detailed response message. The value in this field appears, if you click the <b>Verify</b> button.
<b>ELCM Reference Number</b>	This field displays the ELCM reference number.
Below fields appear in the <b>Limit Details</b> grid along with the above fields.	
<b>Edit</b>	Click the link to edit the <b>Limit Details</b> .
	Click delete icon to delete the existing limit details.
<b>Line Serial</b>	Displays the serial of the various lines available and mapped under the customer id.
<b>Cash Collateral Details</b>	
<b>Collateral Percentage</b>	Specify the percentage of collateral to be linked to this transaction.
<b>Collateral Currency and amount</b>	System populates the contract currency as collateral currency by default. User can modify the collateral Currency and amount.
<b>Exchange Rate</b>	System populates the exchange rate maintained. User can modify the collateral Currency and amount. System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified.
	Click plus icon to add new collateral details.
Click <b>View</b> link to view the collateral details. Collateral availability needs to be checked if amendment involves increase in amount or tolerance. Provide the collateral details based on the description provided in the following table: Below fields are displayed on the <b>Collateral Details</b> pop-up screen, if the user clicks plus icon.	
<b>Cash Collateral Details</b>	
<b>Collateral Percentage</b>	System populates the Collateral % maintained in the Customer / Product for the counter party of the contract.
<b>Collateral Currency and amount</b>	System populates the contract currency as collateral currency by default.
<b>Exchange Rate</b>	System populates the exchange rate maintained.  System validates for the Override Limit and the Stop limit if defaulted exchange rate is modified.
<b>Total Collateral Amount</b>	Read only field. This field displays the total collateral amount provided by the user.

Table 2-15 (Cont.) Limit Details - Field Description

Field	Description
<b>Collateral Amount to be Collected</b>	Read only field. This field displays the collateral amount yet to be collected as part of the collateral split.
<b>Sequence Number</b>	Read only field. The sequence number is auto populated with the value, generated by the system.
<b>Collateral Split %</b>	Specify the collateral split% to be collected against the selected settlement account.
<b>Collateral Contribution Amount</b>	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.
<b>Settlement Account</b>	Click <b>Search</b> to search and select the settlement account for the collateral.
<b>Settlement Account Currency</b>	Read only field. This field displays the settlement account currency auto-populated based on the Settlement Account selection.
<b>Exchange Rate</b>	Read only field. This field displays the exchange rate, if the settlement account currency is different from the collateral currency.
<b>Contribution Amount in Account Currency</b>	Read only field. This field displays the contribution amount in the settlement account currency as defaulted by the system.
<b>Account Available Amount</b>	Read only field. This field displays the account available amount which will be auto-populated on clicking the <b>Verify</b> button.
<b>Response</b>	Read only field. Response can be 'Success' or 'Amount not Available'. System populates the response on clicking the <b>Verify</b> button.
<b>Response Message</b>	Read only field. Detailed Response message. System populates the response message on clicking the <b>Verify</b> button.
<b>Verify</b>	Click to verify the account balance of the Settlement Account.
<b>Save &amp; Close</b>	Click to to save and close the record.
<b>Cancel</b>	Click to cancel the entry.
Below fields appear in the <b>Cash Collateral Details</b> grid along with the above fields.	
<b>Collateral %</b>	Specify the percentage of collateral to be linked to this transaction. If the value is more than 100% system will display an alert message. 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.

Table 2-15 (Cont.) Limit Details - Field Description

Field	Description
<b>Contribution Amount</b>	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.
<b>Account Balance Check Response</b>	Read only field. System populates the Account Balance Check Response on clicking the <b>Verify</b> button.
<b>Edit</b>	Click edit link to edit the collateral details.
	Click delete icon to delete the existing collateral details.

2. Click **Save and Close** to save the details and close the screen.

### Charge Details

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

**Commission, Charges and taxes**

Recalculate Re-default

▼ Commission Details

Component	Rate	Mod. Rate	Currency	Amount	Modified	Defer	Waive	Charge Party	Settl. Account	Amendable
ABBL_C_COM1	1.25		GBP	£5.00		<input type="checkbox"/>	<input type="checkbox"/>			Yes

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

▼ Charge Details

Component	Tag currency	Tag Amount	Currency	Amount	Modified	Billing	Defer	Waive	Charge Party	Settlement Account
CHGTRA MND	GBP	100	GBP	£100.00		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Domestic Export Sight Bills Negotiated	152110003

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

▼ Tax Details

Component	Type	Value Date	CCY	Amount	Billing	Defer	Settl. Account
No data to display.							

Save & Close Cancel

For more information on fields, refer to the field description table below.

Table 2-16 Charge Details - Field Description

Field	Description
<b>Event</b>	Read only field. This field displays the event name.

Table 2-16 (Cont.) Charge Details - Field Description

Field	Description
<b>Event Description</b>	Read only field. This field displays the description of the event.
<b>Commission Details</b>	
<b>Component</b>	This field displays the commission component.
<b>Rate</b>	This field displays the rate that is defaulted from product. The commission rate, if available in Back Office defaults in OBTFPMCS. 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.
<b>Modified Rate</b>	From the default value, if the rate is changed the value gets updated in this field.
<b>Currency</b>	This field displays the currency in which the commission have to be collected.
<b>Amount</b>	This field displays the amount that is maintained under the product code. The commission rate, if available in Back Office defaults in OBTFPMCS. 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 OBTFPMCS.  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.
<b>Modified Amount</b>	From the default value, if the amount is changed, the value gets updated in the modified amount field.
<b>Defer</b>	If enabled, charges/commissions has to be deferred and collected at any future step.
<b>Waive</b>	Based on the customer maintenance, the charges/commission can be marked for Billing or Defer. If the defaulted Commission is changed to defer or billing or waive, system must capture the user details and the modification details in the 'Remarks' place holder.
<b>Charge Party</b>	Charge party is 'Applicant' by default. User can change the value to Beneficiary.
<b>Settlement Account</b>	Select the settlement account.
<b>Amendable</b>	Displays whether the field is amendable or not.
<b>Charge Details</b>	
<b>Component</b>	This field displays the charge component type.
<b>Tag Currency</b>	This field displays the tag currency in which the charges have to be collected.
<b>Tag Amount</b>	This field displays the tag amount that is maintained under the product code.
<b>Currency</b>	This field displays the currency in which the charges have to be collected.
<b>Amount</b>	This field displays the amount that is maintained under the product code.
<b>Modified</b>	From the default value, if the rate is changed or the amount is changed, the value gets updated in the modified amount field.



Table 2-16 (Cont.) Charge Details - Field Description

Field	Description
<b>Billing</b>	<p>If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.</p> <p>On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is 'Billing' enabled, 'Billing' toggle for that component should be automatically enabled in OBTFPMCS.</p> <p>The user can not enable/disable the option, if it is de-selected by default.</p> <p>This field is disabled, if 'Defer' toggle is enabled.</p>
<b>Defer</b>	<p>If charges have to be deferred and collected at any future step, this check box has to be selected.</p> <p>On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is AR-AP tracking enabled, 'Defer' toggle for that component should be automatically checked in OBTFPMCS.</p> <p>The user can enable/disable the option the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.</p>
<b>Waive</b>	<p>Enable the toggle, if charges has to be waived.</p> <p>Based on the customer maintenance, the charges should be marked for Billing or for Defer.</p> <p>This field is disabled, if <b>Defer</b> toggle is enabled.</p>
<b>Charge Party</b>	Charge party is applicant by default. User can change the value to beneficiary.
<b>Settlement Account</b>	Select the settlement account.
<b>Tax Details</b> The tax component is calculated based on the commission and defaults if maintained at product level. User cannot update tax details and any change in tax amount on account of modification of charges/ commission will be available on click of Re-Calculate button or on hand off to back-end system.	
<b>Component</b>	This field displays the tax component.
<b>Type</b>	This field displays the type of tax component.
<b>Value Date</b>	This field displays the value date of tax component.
<b>Currency</b>	<p>This field displays the currency in which the tax have to be collected.</p> <p>The tax currency is the same as the commission.</p>
<b>Amount</b>	<p>This field displays the tax amount based on the percentage of commission maintained.</p> <p>You can edit the tax amount, if applicable.</p>
<b>Billing</b>	<p>If taxes are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.</p> <p>This field is disabled, if 'Defer' toggle is enabled.</p>
<b>Defer</b>	<p>If taxes have to be deferred and collected at any future step, this option has to be enabled.</p> <p>The user can enable/disable the option the check box. On de-selection the user has to click on 'Recalculate' charges button for re-simulation.</p>
<b>Settlement Account</b>	<p>System defaults the settlement account.</p> <p>The user can modify the settlement account.</p>

3. Click **Save and Close** to save the details and close the screen.

### Preview Message

The bank user can view a preview of the outgoing SWIFT message and advise simulated from back office.

**Preview messages**

▼ Preview - SWIFT Message

Language: English  
Message Type: 768  
Message Status: GENERATED  
Repair Reason:

▼ Preview - Mail Advice

Language: English  
Advice Type:  
Message Status:  
Repair Reason:

**Preview Message**

-----Instance Type and Transmission-----  
Original Received from Application - Outgoing Draft  
Priority/Delivery : Urgent  
-----Message Header-----  
Swift Input : FIN 768 Acknowledgement of a Guarantee / Standby Message  
Sender Swift address : AAEMNL21XXX  
AAEMNL21XXX  
ANTHOS ASSET MANAGEMENT B.V.  
JACHTHAVENWEG 111  
1008 AB AMSTERDAM  
Receiver Swift address : WFBUS65XXX  
WELLS FARGO LA  
WFBUS65  
-----User Header-----  
Message-User-Reference : 354242188698812

Save & Close Cancel

For more information on fields, refer to the field description table below.

**Table 2-17 Preview Message - Field Description**

Field	Description
<b>Preview SWIFT Message</b>	
<b>Language</b>	Read only field. The language to preview the draft guarantee details. English is set as default language for the preview.
<b>Message Type</b>	Select the message type from the drop down.
<b>Message Status</b>	Read only field. Display the message status of draft message of guarantee details
<b>Repair Reason</b>	Read only field. Display the message repair reason of draft message of guarantee details.
<b>Preview Message</b>	This field displays a preview of the draft message.  Based on the guarantee text captured in the previous screen, guarantee draft is generated in the back office and is displayed in this screen.
<b>Preview Mail Device</b>	
<b>Language</b>	Read only field.  The language for the advice message.  English is set as default language for the preview.
<b>Advice Type</b>	Select the advice type.
<b>Message Status</b>	Read only field. Display the message status of mail advice of guarantee details

Table 2-17 (Cont.) Preview Message - Field Description

Field	Description
<b>Repair Reason</b>	Read only field. Display the message repair reason of mail advice of guarantee details.
<b>Preview Message</b>	This field displays a preview of advice.

4. Click **Save and Close** to save the details and close the screen.
5. Click **Next**.

The task will move to next data segment. For more information refer [Settlement Details](#).  
For more information on action buttons, refer to the field description table below.

Table 2-18 Additional Details - Action Buttons - Field Description

Field	Description
<b>Clarification Details</b>	Click to open a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. 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
<b>Remarks</b>	Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTFCMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advise Amendment Beneficiary Consent.
<b>Signatures</b>	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 available, system should display all the signatures.

Table 2-18 (Cont.) Additional Details - Action Buttons - Field Description

Field	Description
<b>Request Clarification</b>	Click the Request Clarification button to request for an Online clarification from customer. Clicking the button opens a detailed screen to capture the clarification details.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Data ENrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system.  Refer Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Back</b>	On click of Back, system moves the task back to previous data segment.
<b>Next</b>	On click of Next, system validates 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.

## 2.3.5 Settlement Details

This topic provides the systematic instructions to capture the settlement details of Guarantee Advise Amendment Beneficiary Consent request.

As part of DE, the user can enter the basic settlement details available in the Guarantee advise amendment Beneficiary Consent.

1. On **Settlement Details** screen, specify the fields.

Figure 2-14 Settlement Details

**Guarantee Advise Amendment Beneficiary Consent DataEnrichment**  
**:: Application No:- PK2GTEA000006694**

Clarification Details Documents Remarks Overrides  
 Customer Instruction View Undertaking View Events Signatures

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

☐ Current Event

Settlement Details

Component	Currency	Debit/Credit	Account	Account Description	Account Currency	Netting Indicator	Current Event
AGUIR_COMI...	GBP	Debit	PK2001044...	GOODCARE PLC	GBP	No	No
AVL_SET_LCAMT	GBP	Debit	PK2001044...	GOODCARE PLC	GBP	No	No
AVL_SET_LCAM...	GBP	Credit	PK2001044...	GOODCARE PLC	GBP	No	No
CHGTRAMND_L...	GBP	Debit	15210003	Domestic Export Sight Bl...	GBP	No	Yes
CLAIM_CUST_A...	GBP	Debit	PK20010410...	WELLS FARGO LA	USD	No	No
CLAIM_CUST_A...	GBP	Debit	PK20010410...	WELLS FARGO LA	USD	No	No
CLAIM_SETTLE...	GBP	Credit	PK2001044...	GOODCARE PLC	GBP	No	No
COLLAMT_OSEQ	GBP	Debit	PK2001044...	GOODCARE PLC	GBP	No	No
COLL_AMNDA...	GBP	Debit	PK2001044...	GOODCARE PLC	GBP	No	Yes
COLL_AMT	GBP	Debit	PK2001044...	GOODCARE PLC	GBP	No	No
COLL_AMT DEFR	GBP	Credit	PK2001044...	GOODCARE PLC	GBP	No	Yes

Audit Request Clarification Reject Refer Hold Cancel Save & Close Back Next

Screen(5/6)

For more information on fields, refer to the field description table below.

**Table 2-19 Settlement Details – Field Description**

Field	Description
<b>Current Event</b>	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
<b>Component</b>	This field displays the components based on the product selected.
<b>Currency</b>	This field displays the default currency for the component.
<b>Debit/Credit</b>	This field displays the debit/credit indicators for the components.
<b>Account</b>	This field displays the account details for the components.
<b>Account Description</b>	This field displays the the description of the selected account.
<b>Account Currency</b>	This field displays the currency for all the items based on the account number.
<b>Netting Indicator</b>	This field displays the applicable netting indicator.
<b>Current Event</b>	This field displays the current event.

- Click **Next**.

The task will move to next data segment.

**Table 2-20 Settlement Details - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Click to open a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.

Table 2-20 (Cont.) Settlement Details - Action Buttons - Field Description

Field	Description
<b>Documents</b>	<p>Click to View/Upload the required document.</p> <p>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.</p> <p>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application</p>
<b>Remarks</b>	<p>Specify any additional information regarding the Guarantee. This information can be viewed by other users processing the request.</p> <p>Content from Remarks field should be handed off to Remarks field in Backend application.</p>
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instructions</b>	<p>Click to view/ input the following</p> <ul style="list-style-type: none"> <li>• <b>Standard Instructions</b> – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.</li> <li>• <b>Transaction Level Instructions</b> – In this section, OBTfPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	<p>This button displays the multiple messages (MT767+ up to 7 MT775. Click to allow parsing of MT 767 along with MT775 (up to 7) messages together to create a Guarantee Issuance.</p> <p>In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task.</p> <p>In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task.</p>
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advise Amendment Beneficiary Consent.
<b>Signatures</b>	<p>Click the Signature button to verify the signature of the customer/ bank if required.</p> <p>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.</p> <p>If more than one signature is available, system should display all the signatures.</p>
<b>Request Clarification</b>	Click the Request Clarification button to request for an Online clarification from customer. Clicking the button opens a detailed screen to capture the clarification details.
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.

**Table 2-20 (Cont.) Settlement Details - Action Buttons - Field Description**

Field	Description
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• <b>R1</b>- Documents missing</li> <li>• <b>R2</b>- Signature Missing</li> <li>• <b>R3</b>- Input Error</li> <li>• <b>R4</b>- Insufficient Balance/Limits</li> <li>• <b>R5</b> - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• <b>R1</b>- Documents missing</li> <li>• <b>R2</b>- Signature Missing</li> <li>• <b>R3</b>- Input Error</li> <li>• <b>R4</b>- Insufficient Balance/Limits</li> <li>• <b>R5</b> - Others</li> </ul>
<b>Next</b>	<p>On click of Next, system validates if all the mandatory fields have been captured. Necessary error and override messages to be displayed. On successful validation, system moves the task to the next data segment.</p>

## 2.3.6 Summary

This topic provides the systematic instructions to view the summary of Guarantee Advise Amendment Beneficiary Consent request.

User can review the summary of details updated in Data Enrichment Guarantee/ Standby Amendment Beneficiary Consent request.

The Summary tiles must display a list of important fields with values. The tiles where fields have been amended is highlighted in different color, User can drill down from Summary Tiles into respective data segments.

1. On **Summary** screen, click the 3 dots on any tile to view the details.

**Figure 2-15 Summary**

**Guarantee Advise Amendment Beneficiary Consent DataEnrichment ::**  
Application No:- PK2GTEA000006694

Clarification Details Documents Remarks Overrides Customer Instruction  
View Undertaking View Events Signatures

Screen(6/6)

**Summary**

**Main Details**

SBLC/Guarantee Type :  
Submission Mode : **Online**  
Date of Issue :

**Additional Fields**

Click here to view Additional :  
fields

**Advices**

Advice 1 : **AMD\_EXP\_CR**  
Advice 2 : **GUA\_AMD\_INST...**  
Advice 3 : **TRADE\_ENVELO...**  
Advice 4 : **GUAR\_RELEASE**  
Advice 5 : **GUA\_ACK\_ADVL...**

**Commission, Charges and taxes**

Charge :  
Commission : **GBP 5.00**  
Tax :  
Block Status : **Not Initiated**

**Limits and Collaterals**

Contribution Currency :  
Amount to Earmark :  
Limit Status : **Not Verified**  
Collateral Currency :  
Collateral Contribution :  
Collateral Status : **Not Verified**  
Deposit Linkage Currency :  
Deposit Linkage Amount :

**Preview messages**

Language : **ENG**  
Preview Message : -

**Settlement Details**

Component : **COLL\_AMT\_JNC...**  
Account Number : **PK2001044001...**  
Currency : **GBP**

**Accounting Details**

Event : **AMND**  
AccountNumber : **152110003**  
Branch : **PK2**

**Compliance details**

KYC : **Not Initiate...**  
Sanctions : **Not Initiate...**  
AML : **Not Initiate...**

Audit

Request Clarification Reject Refer Hold Cancel Save & Close Back Submit

### Tiles Displayed in Summary

- **Main Details** - User can view the application details and Guarantee details. User can only view but cannot modify the details.
- **Additional Fields** - User can view the details of User Defined Field maintained.
- **Advices** - User can view the advice detail.
- **Commission and Charges and Taxes** - User can view the details provided for charges. User can only view but cannot modify the details.
- **Limits and Collaterals** - User can view the limits and collateral details. User can only view but cannot modify the details.
- **Preview Messages** - User can have the preview of message.
- **Settlement Details** - User can view the Settlement details.
- **Accounting Details** - User can view the accounting entries generated in back office.

### 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. User can only view but cannot modify the details.
- **Compliance Details** - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

### 2. Click **Submit**.



The task will move to next logical stage.

**Table 2-21 Summary - Action Buttons - Field Description**

Field	Description
<b>Clarification Details</b>	Click to open a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested.
<b>Documents</b>	Click to View/Upload the required document.  Application displays the mandatory and optional documents. 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
<b>Remarks</b>	Specify any additional information regarding the Guarantee Advise Amendment Beneficiary Consent. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instructions</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>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.</li> <li>Transaction Level Instructions – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>Incoming Message</b>	This button displays the multiple messages (MT767+ up to 7 MT775. Click to allow parsing of MT 767 along with MT775 (up to 7) messages together to create a Guarantee Issuance. In case of MT798-MT726-MT759 request, user can view MT798 message(726-759) in this placeholder in Header of the task. In case of MT798_MT788-MT799 request, user can view MT798 message (788-799) in this placeholder in Header of the process-task.
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advise Amendment Beneficiary Consent.
<b>Signatures</b>	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 available, system should display all the signatures.
<b>Request Clarification</b>	Click the Request Clarification button to request for an Online clarification from customer. Clicking the button opens a detailed screen to capture the clarification details.

Table 2-21 (Cont.) Summary - Action Buttons - Field Description

Field	Description
<b>Save &amp; Close</b>	Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request.
<b>Cancel</b>	Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Back</b>	On click of Back, system moves the task back to previous data segment.
<b>Submit</b>	<p>Task will get moved to next logical stage of Guarantee Advise Amendment Beneficiary Consent.</p> <p>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. In case of duplicate documents' system will terminate the process after handing off the details to back office.</p>
<b>Checklist</b>	Make sure that the details in the checklist are completed and acknowledge. If mandatory checklist items are not marked, system will display an error on submit.

## 2.4 Exceptions

This topic helps you quickly get acquainted with the Exceptions process.

The Guarantee Advised Amendment Beneficiary Consent request, before it reaches the approval stage, the application will validate the Amount Block, KYC and AML. If any of these failed in validation will reach exception stage for further clearance for the exceptions.

## Amount Block Exception Approval

User can review the amount block exception for Trade Finance requests that failed to create Amount Block in backend system.

Log in into Trade Mid Office (TMO) system amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue.

Log in into Trade Mid Office (TMO) system amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue.

Open the task to view the summary tiles. The tiles should display a list of important fields with values.

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

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

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 (OBTFPMCS) 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 Refer back to DE providing alternate settlement account to be used for block.
  - Different collateral to be mapped or utilize lines in place of collateral.
- Reject: Reject the transaction due to non-availability of sufficient balance in settlement account Amount Bock Exception This section will display the amount block exception details.

## Amount Bock Exception

This section will display the amount block exception details.

### Summary

**Guarantee Advise Amendment Beneficiary Consent Amount Block Exception Approval**  
**:: Application No:- PK2GTEA000006694**

Documents Remarks Overrides Customer Instruction  
 View Undertaking View Events

KYC Exception Summary Screen(2/2)

**Main Details**  
 SBLC/Guarantee Type :  
 Submission Mode : **Online**  
 Date of Issue :

**Additional Fields**  
 Click here to view Additional :  
 fields

**Commission, Charges and taxes**  
 Charge :  
 Commission : **GBP 5.00**  
 Tax :  
 Block Status : **Not Initiated**

**Preview messages**  
 Language : **ENG**  
 Preview Message : -

**Advices**  
 Advice 1 : **AMD\_EXP\_CR**  
 Advice 2 : **GUA\_AMD\_INST...**  
 Advice 3 : **TRADE\_ENVELO...**  
 Advice 4 : **GUAR\_RELEASE**  
 Advice 5 : **GUA\_ACK\_ADV...**

**Accounting Details**  
 Event : **AMND**  
 AccountNumber : **152110003**  
 Branch : **PK2**

Audit Reject Refer Hold Approve Back

#### Tiles Displayed in Summary:

- Main Details - User can view the application details and Guarantee details. User can only view but cannot modify the details.
- Additional Fields – User can view the User Defined Field maintained.
- Commission Charges and Taxes - User can view the details provided for charges. User can only view but cannot modify the details.
- Preview Messages - User can have the preview of message.
- Advices - User can view the advice details.
- Accounting Details - User can view the accounting entries generated in back office.

#### 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. User can only view but cannot modify the details.

1. Click **Approve**. to approve thw export booking amount bolck exception check.

For more information on Action Buttons, refer to the field description table below.

**Table 2-22 Amount Bock Exception - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.

Table 2-22 (Cont.) Amount Bock Exception - Action Buttons - Field Description

Field	Description
<b>Remarks</b>	Specify any additional information regarding the Guarantee Advised Amendment Beneficiary Consent. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>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.</li> <li>Transaction Level Instructions – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advised Amendment Beneficiary Consent.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.
<b>Refer</b>	Select a Refer Reason from the values displayed by the system. 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  Refer Codes are: <ul style="list-style-type: none"> <li>R1- Documents missing</li> <li>R2- Signature Missing</li> <li>R3- Input Error</li> <li>R4- Insufficient Balance/Limits</li> <li>R5 - Others</li> </ul>
<b>Hold</b>	The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.  This option is used, if there are any pending information yet to be received from applicant.
<b>Approve</b>	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.

Table 2-22 (Cont.) Amount Bock Exception - Action Buttons - Field Description

Field	Description
Back	Task moves to previous logical step.

**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.

1. Log in into OBTFPMCS application, KYC exception queue. KYC exception failed tasks for Trade Finance transactions will be listed in your queue.
2. Open the task, to see summary tiles that display a summary of available updated 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).

**Summary**

**Guarantee Advise Amendment Beneficiary Consent KYC Exceptional approval :: Application No:- PK2GTEA000006694**

Documents Remarks Overrides Customer Instruction View Undertaking View Events Screen(2/2)

**KYC Exception Summary**

Main Details		Additional Fields		Commission, Charges and taxes	
SBLC/Guarantee Type	: Online	Click here to view Additional fields		Charge	: GBP 5.00
Submission Mode	:			Commission	:
Date of Issue	:			Tax	:
				Block Status	: Not Initiated

Preview messages		Advices		Accounting Details	
Language	: ENG	Advice 1	: AMD_EXP_CR	Event	: AMND
Preview Message	: -	Advice 2	: GUA_AMD_INST...	AccountNumber	: 152110003
		Advice 3	: TRADE_ENVELO...	Branch	: PK2
		Advice 4	: GUAR_RELEASE		
		Advice 5	: GUA_ACK_ADVL...		

Audit Reject Refer Hold Approve Back

Figure 2-16 Know Your Customer (KYC) Exception

Tiles Displayed in Summary:

- Main Details - User can view the application details and Guarantee details. User can only view but cannot modify the details.
- Additional Fields – User can view the User Defined Field maintained.
- Commission Charges and Taxes - User can view the details provided for charges. User can only view but cannot modify the details.

- Preview Messages - User can have the preview of message.
- Advices - User can view the advice details.
- Accounting Details - User can view the accounting entries generated in back office.

**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. User can only view but cannot modify the details.

For more information on Action Buttons, refer to the field description table below.

**Table 2-23 Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.
<b>Remarks</b>	Specify any additional information regarding the Guarantee Advised Amendment Beneficiary Consent. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• 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.</li> <li>• Transaction Level Instructions – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advised Amendment Beneficiary Consent.
<b>Reject</b>	On click of Reject, user must select a Reject Reason from a list displayed by the system.  Reject Codes are: <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.

**Table 2-23 (Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

Field	Description
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system. 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</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Approve</b>	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.
<b>Back</b>	Task moves to previous logical step.

**Exception - Limit Check/Credit**

The transactions that have failed limit check due to non-availability of limits will be available in limit check exception queue for further handling.

1. Log in into OBTFPMCS application, limit check exception queue. Limit check exception failed tasks for Trade Finance transactions must be listed in your queue.
2. Click **My Task**. The summary tiles displays summary of important fields with values.

**Note**

On Approval of the exception task, system should validate the Limit Availability, Limit Expiry Date in the Limit System and create Earmark in the ELCM system. In case if the Limit is not available or the Limit is expired, then system should display an error message and should not allow the user to approve and proceed.

Limit check Exception approver can do the following actions:

**Approve**

- Limit enhanced in the back end (outside this process).
- Without enhancing limit in the back end.

**Refer**

- Refer back to DE providing alternate limit id to map
- Refer additional collateral to be mapped

**Reject**



The transaction due to non-availability of limits capturing reject reason.

### Limit/Credit Check

This section will display the amount block exception details.

### Summary

Tiles Displayed in Summary:

- Main Details - User can view the application details and Guarantee details. User can only view but cannot modify the details.
- Additional Fields – User can view the User Defined Field maintained.
- Commission Charges and Taxes - User can view the details provided for charges. User can only view but cannot modify the details.
- Preview Messages - User can have the preview of message.
- Advices - User can view the advice details.
- Accounting Details - User can view the accounting entries generated in back office.

#### 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. User can only view but cannot modify the details.

For more information on action buttons, refer to the field description table below.

**Table 2-24 Exception - Limit Check/Credit - Action Buttons – Field Description**

Field	Description
<b>Documents</b>	Click the Documents icon to View/Upload the required documents. Application will display the mandatory and optional documents.
<b>Remarks</b>	Specify any additional information regarding the Guarantee Advised Amendment Beneficiary Consent. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• 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.</li> <li>• Transaction Level Instructions – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>
<b>View Undertaking</b>	Clicking this button allows the user to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advised Amendment Beneficiary Consent.

**Table 2-24 (Cont.) Exception - Limit Check/Credit - Action Buttons – Field Description**

Field	Description
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system. 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</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Approve</b>	On approve, application must validate for all mandatory field values, and task must move to the next logical stage.
<b>Back</b>	Task moves to previous logical step.

## 2.5 Multi Level Approval

This topic helps you quickly get acquainted with the Multi Level Approval process of Guarantee Advised Amendment Beneficiary Consent.

The Approval user can review and approve the details updated in approval stage of the Beneficiary Consent response for Amendment under Guarantee Issued.

Approval the user can view a snapshot of the beneficiary consent response to an amendment made to this transaction as read only.

1. Log in into OBTFPMCS application and acquire the task available in the approval stage in free task queue. The user can view the Summary tiles which displays list of important fields with values.
2. Click each tile 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 OBTFPMCS displays the Handoff failure error during the Approval of the task.

**Approval Summary**

**Guarantee Advise Amendment Beneficiary Consent Approval Task Level 1 ::**  
Application No:- PK2GTEA000062566

Documents Remarks Overrides Customer Instruction  
View Undertaking View Events Signatures

<b>Main Details</b> SBLC/Guarantee Type : <b>BILL</b> Submission Mode : <b>Desk</b> Date of Issue : <b>2022-04-20</b>	<b>Additional Fields</b> Click here to view Additional : fields	<b>Commission, Charges and taxes</b> Charge : Commission : <b>GBP 5.00</b> Tax : Block Status : <b>Not Initiated</b>
<b>Preview messages</b> Language : <b>ENG</b> Preview Message : -	<b>Advices</b> Advice 1 : <b>AMD_EXP_CR</b> Advice 2 : <b>GUA_AMD_INST...</b> Advice 3 : <b>TRADE_ENVELO...</b> Advice 4 : <b>GUAR_RELEASE</b> Advice 5 : <b>GUA_ACK_ADVI...</b>	<b>Accounting Details</b> Event : <b>AMND</b> AccountNumber : <b>313100001</b> Branch : <b>PK2</b>
<b>Party Details</b> Beneficiary : <b>GOODCARE PLC</b> Issuing Bank : <b>WELLS FARGO ...</b> Applicant : <b>MARKS AND SP...</b>	<b>Settlement Details</b> Component : <b>COLL_AMT_INC...</b> Account Number : <b>PK2001044001...</b> Currency : <b>GBP</b>	<b>Compliance details</b> KYC : <b>Not Initiate...</b> Sanctions : <b>Verified</b> AML : <b>Verified</b>
<b>Exception(Approval)</b> Sanction,KYC : <b>EXCEPTION</b> PLEASE VISIT REMARKS FOR MORE DETAILS		

Audit

Reject Hold Refer Cancel Approve

**Tiles Displayed in Summary:**

- **Main Details** - User can view the application details and Guarantee details. User can only view but cannot modify the details.
- **Additional Fields** – User can view the User Defined Field maintained.
- **Commission Charges and Taxes** - User can view the details provided for charges. User can only view but cannot modify the details.
- **Preview Messages** - User can have the preview of message.
- **Advices** - User can view the advice details.
- **Accounting Details** - User can view the accounting entries generated in back office.

**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. User can only view but cannot modify the details.
- Settlement Details - User can view the Settlement details.
- Compliance details - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.
- Exception(Approval) Details - User can view the exception (Approval) details.

**Documents and Checklist**

- Documents: Approval user can open the uploaded documents and verify them.
- Checklist: Verify the uploaded documents.
- Remarks: Approval user can view the remarks captured in the process during earlier stages. I
- Incoming Message: User can view the SWIFT MT 768 if applicable

**1. Click Approve.**

For more information on Action Buttons, refer to the field description table below.

**Table 2-25 Approval Summary - Action Buttons - Field Description**

Field	Description
<b>Documents</b>	View/Upload the required document.  Application displays the mandatory and optional documents. 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
<b>Remarks</b>	Specify any additional information regarding the guarantee. This information can be viewed by other users processing the request.  Content from Remarks field should be handed off to Remarks field in Backend application.
<b>Overrides</b>	Click to view the overrides accepted by the user.
<b>Customer Instruction</b>	Click to view/ input the following <ul style="list-style-type: none"> <li>• 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.</li> <li>• Transaction Level Instructions – In this section, OBTFPMCS user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions.</li> </ul>

Table 2-25 (Cont.) Approval Summary - Action Buttons - Field Description

Field	Description
<b>View Undertaking</b>	Clicking this button allows the user should to view the undertaking details.
<b>View Events</b>	Click View Events button to view the snapshot of various events under the Guarantee Advised Amendment Beneficiary Consent.
<b>Signatures</b>	<p>Click the Signature button to verify the signature of the customer/ bank if required.</p> <p>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.</p> <p>If more than one signature is available, system should display all the signatures.</p>
<b>Reject</b>	<p>On click of Reject, user must select a Reject Reason from a list displayed by the system.</p> <p>Reject Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul> <p>Select a Reject code and give a Reject Description. This reject reason will be available in the remarks window throughout the process.</p>
<b>Hold</b>	<p>The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.</p> <p>This option is used, if there are any pending information yet to be received from applicant.</p>
<b>Refer</b>	<p>Select a Refer Reason from the values displayed by the system.</p> <p>Refer Codes are:</p> <ul style="list-style-type: none"> <li>• R1- Documents missing</li> <li>• R2- Signature Missing</li> <li>• R3- Input Error</li> <li>• R4- Insufficient Balance/Limits</li> <li>• R5 - Others</li> </ul>
<b>Cancel</b>	Cancel the Approval stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue.
<b>Approve</b>	On approve, application must validate for all mandatory field values, and task must move to the next logical stage. If there are more approvers, task will move to the next approver for approval. If there are no more approvers, the transaction is handed off to the back end system for posting.

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