# Oracle Banking Trade Finance Process Management

## Export LC Transfer Amendment User Guide

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Oracle Banking Trade Finance Process Management Export LC Transfer Amendment User Guide, Release 14.8.2.0.0

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# Contents

# Preface



## Purpose

This manual is designed to help you quickly get acquainted with the Oracle Banking Trade Finance Process Management **Export LC Transfer Amendment** 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**

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. All critical patches should be applied in a timely manner to make sure effective security, as strongly recommended by 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 |
|---|---|
| **boldface** | Boldface type indicates graphical user interface elements associated with an action, or terms defined in text. |
| *italic* | Italic type indicates book titles, emphasis, or placeholder variables for which you supply particular values. |
| `monospace` | Monospace type indicates commands within a paragraph, URLs, code in examples, text that appears on the screen, or text that you enter. |

# 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 |
|---|---|
| OBTFPM | Oracle Banking Trade Finance Process Management |
| OBTFPMCS | Oracle Banking Trade Finance Process Management Cloud Service |
| 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 |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

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

| Action Buttons | Description |
| --- | --- |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Click **Cancel** to cancel the transaction input midway without saving any data. |
| **Save & Close** | Click **Save & Close** to save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| **Next** | Click **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. |
| **Submit** | Click **Submit** 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**

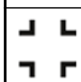
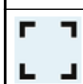
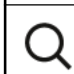
| Symbol/Icon | Function |
| --- | --- |
|  | Minimize |
|  | Maximize |
|  | Close |
|  | Perform Search |
|  | Open a list |

**Table 3 (Cont.) Symbols and Icons - Common**

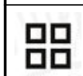
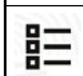
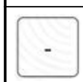
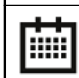
| Symbol/Icon | Function |
| --- | --- |
|  | Date Range |
|  | Add a new record |
|  | Navigate to the first record |
|  | Navigate to the last record |
|  | Navigate to the previous record |
|  | Navigate to the next record |
|  | Grid view |
|  | List view |
|  | Refresh |
|  | Click this icon to 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 |

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# Oracle Banking Trade Finance Process Management

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

Welcome to the Oracle Banking Trade Finance Process Management User Guide. This guide provides an overview on the OBTFPM application and takes you through the various steps involved in creating and processing Trade Finance transactions.

This document will take you through following activities in OBTFPM:

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

**Overview**

Oracle Banking Trade Finance Process Management is a Trade Finance middle office platform, which enables bank to streamline the Trade Finance operations. Oracle Banking Trade Finance Process Management 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 helps banks to manage Trade Finance operations across the globe in different currencies. OBTFPM allows you to:

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

**Key Features**

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

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# Export LC Transfer Amendment

This chapter is documented to get familiar with the Export LC Transfer Amendment process of Oracle Banking Trade Finance Process Management.

Following are some of the scenarios where transfer LC amendmentmay be required:

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

**Transfer LC Amendment by Increase in Transfer LC Value**

Following points are applicable for both Amendment with Beneficiary consent and Without Beneficiary Consent.

- System checks, that the increase in Transfer LC amount including tolerance if any, is not greater than the Outstanding amount in Parent LC. System displays an error if it is greater.
- System reduces the Outstanding Amount and liability in Parent LC, to the tune of the increased amount in Transfer LC including tolerance.

**Transfer LC Amendment by Decrease in Transfer LC value**

During Transfer LC Amendment by decrease in Transfer LC value, system validates the decrease value with the outstanding amount of Transfer LC If the decrease value is greater than outstanding amount, system will display an error.

This topic contains following sub-topics:

- Common Initiation Stage
  This topic provides the systematic instructions to initiate the **Export LC Transfer Amendment** request.
- Registration
  This topic provides the systematic instructions to initiate the Registration stage of Export LC Transfer Amendment request.
- Scrutiny
  This topic provides the systematic instructions to initiate the Scrutiny stage of Export LC Transfer Amendment request.
- Data Enrichment
  This topic provides the systematic instructions to initiate the Data Enrichment stage of Export LC transfer Amendment request.
- Exceptions
  This topic helps you quickly get acquainted with the Exceptions process.

- Customer Response - Draft Confirmation
  This topic helps you quickly get acquainted with the Customer Response - Draft Confirmation process.
- Multi Level Approval
  This topic helps you quickly get acquainted with the Multi Level Approval process.
- Customer - Acknowledgement Format
  This topic helps you quickly get acquainted with the Customer Acknowledgement process.
- Customer - Reject Advice
  This topic helps you quickly get acquainted with the Customer - Reject Advice.

# 2.1 Common Initiation Stage

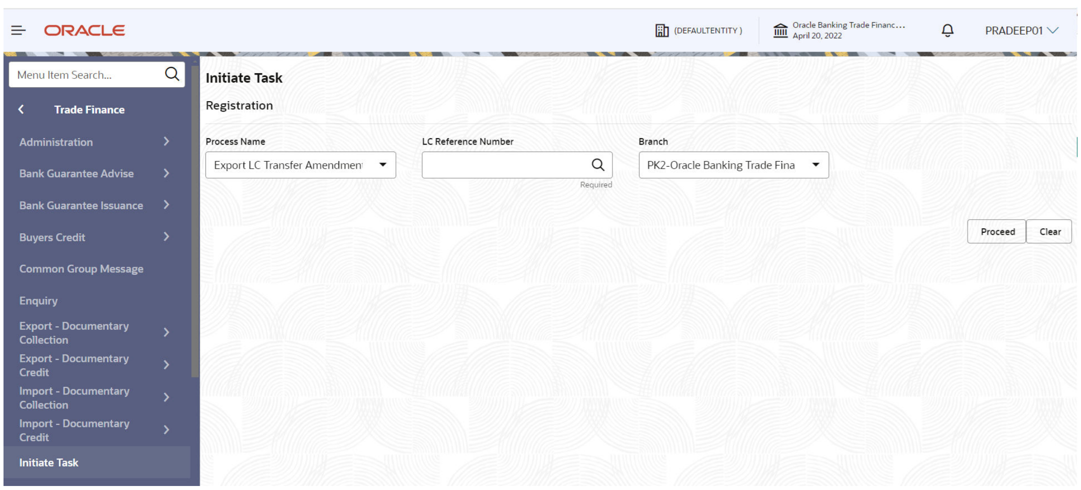
This topic provides the systematic instructions to initiate the **Export LC Transfer Amendment** request.

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 |
|---|---|
| **Process Name** | Select a process name from the drop-down list. |
| **LC Reference Number** | Click **Search** to search and select the required LC reference number. |
| **Branch** | 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 |
|---|---|
| **Proceed** | Task will get initiated to next logical stage.. |
| **Clear** | 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 Export LC Transfer Amendment request.

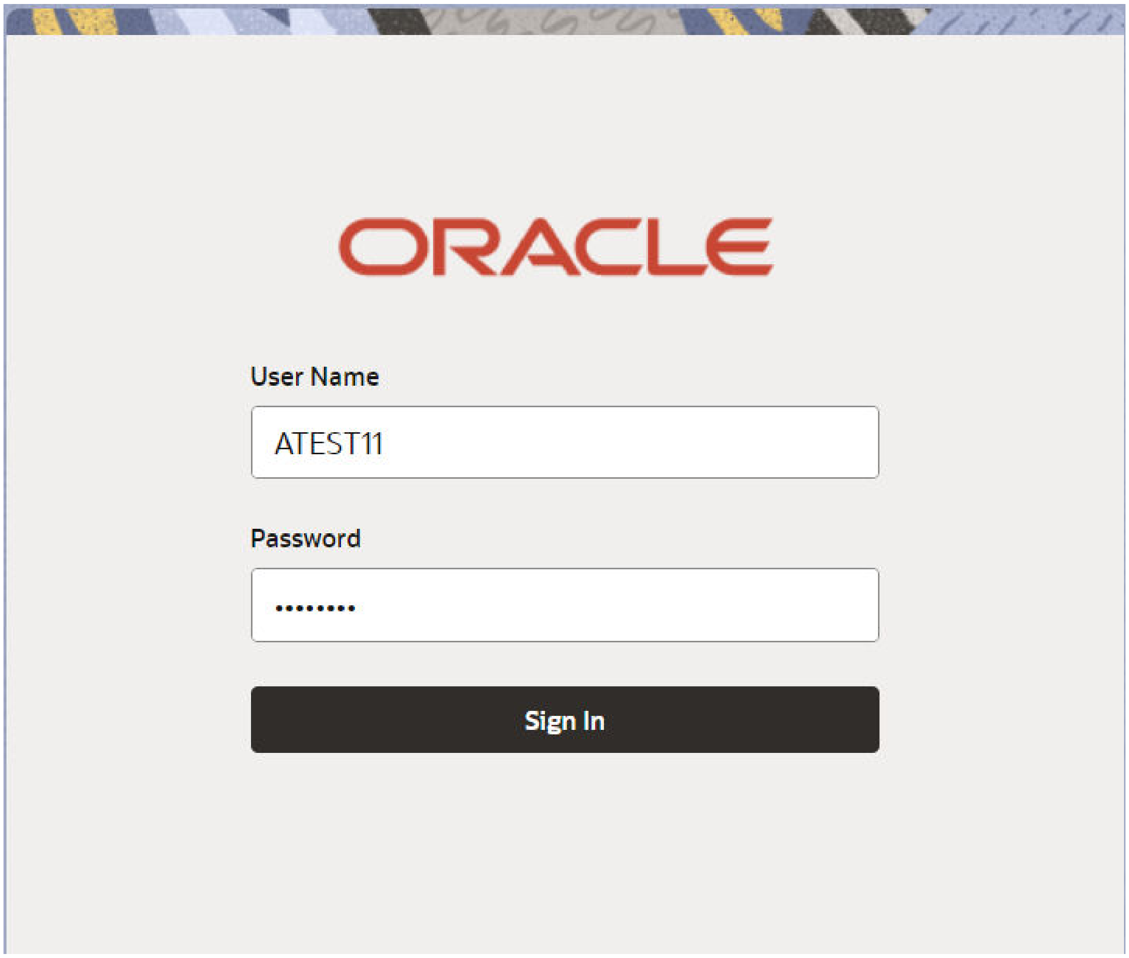
During the Registration stage, the user can register a request for an Export LC Transfer Amendment received at the front desk (as an application received physically/received by mail/ fax).
User can capture the basic details of the response, check the signature of the signatory from the advising bank and upload the related documents. On submit of the request, the customer should be notified with acknowledgment and the request should be available for an LC expert to handle in the next stage.

The OBTFPM user can process MT798 with sub messages MT 798<772> message received through SWIFT. The OBTFPM verifies the field 21 and 26E (of the MT759 and identifies the Original Contract Reference Number and Amendment Number and invokes the process. The user can cancel the previously received MT798 referenced message which is under process.

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

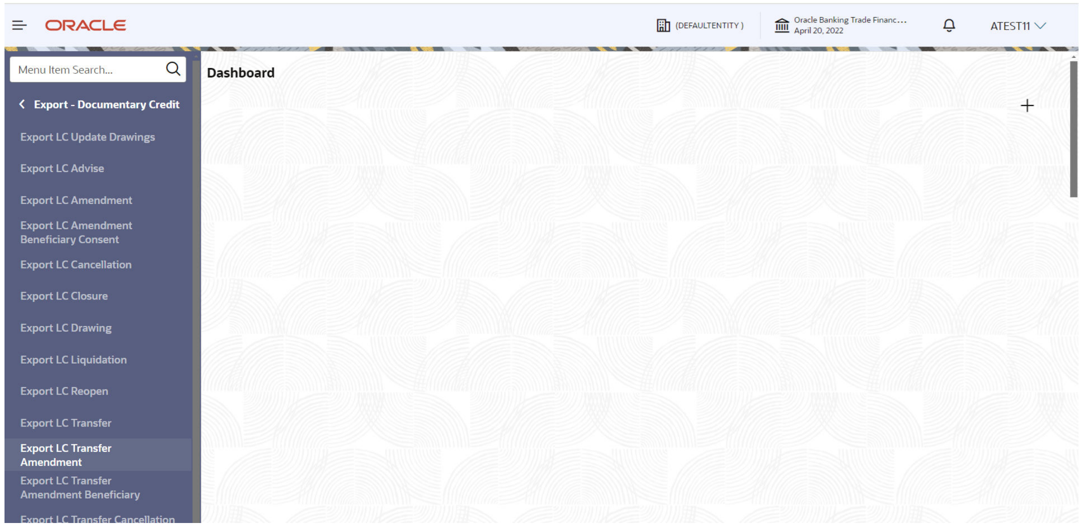
Specify **User ID** and **Password**, and login to **Home** screen.

**Figure 2-2 LogIn Screen**



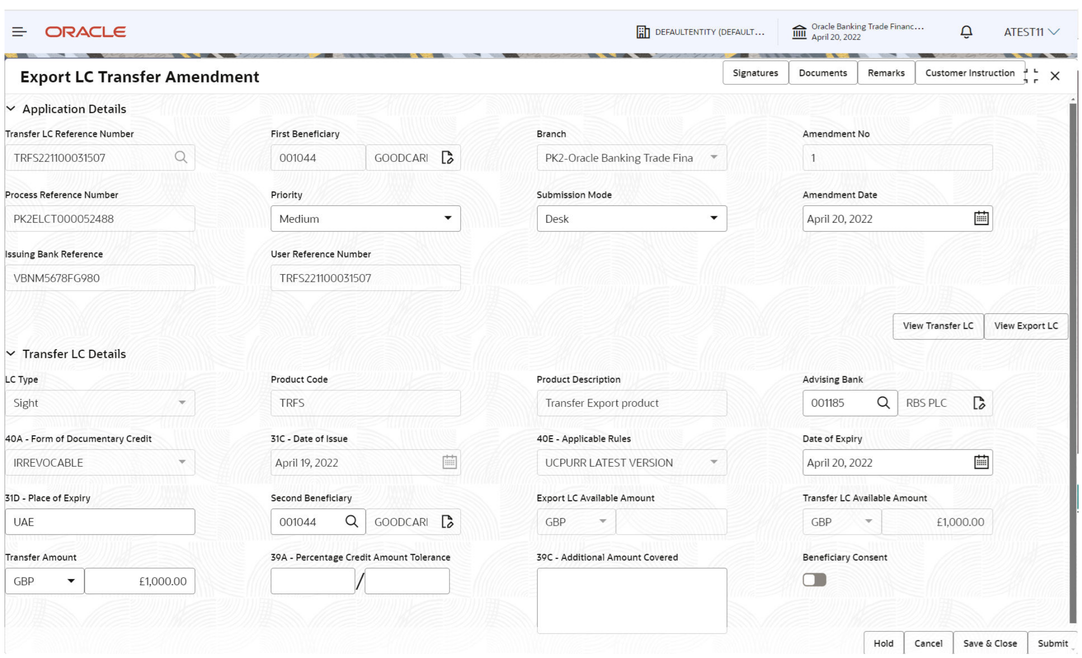

1. On **Home** screen, click **Trade Finance**. Under **Trade Finance**, click **Export Documentary Credit**.
2. Under **Export Documentary Credit**, click **Export LC Transfer Amendment**.

**Figure 2-3 Export LC Transfer Amendment**




The **Export LC Transfer Amendment** screen appears.
The Export LC Transfer Amendment - Registration stage has two sections Application Details and LC Details. Let's look at the details of Registration screens below:

**Figure 2-4 Export LC Transfer Amendment - Registration - Application Details**




3. On **Export LC Transfer Amendment - Registration - Application Details** 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 2-3 Export LC Transfer Amendment- Registration - Application Details - Field Description

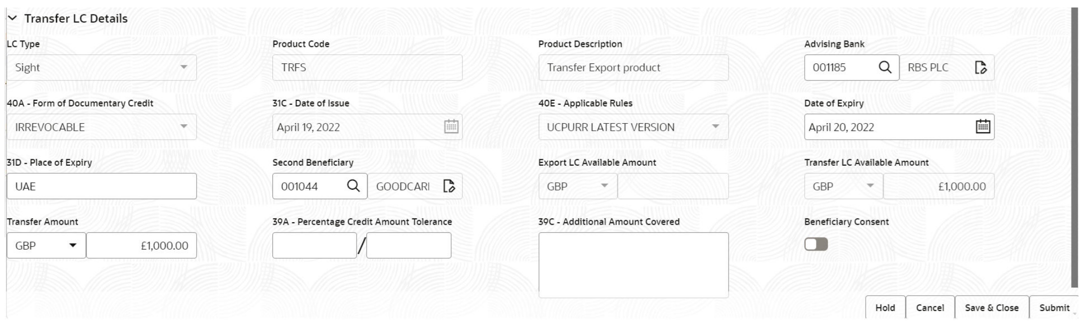
| Field | Description |
| --- | --- |
| **Transfer LC Reference Number** | Specify the transfer LC reference number.<br>Alternatively, click **Search** to search and select the transfer LC reference number.<br>As part of lookup, user can search giving Export LC Reference Number, Beneficiary, Currency, Amount and User Reference Number. Based on the search result, select the applicable transfer LC reference number. |
| **First Beneficiary** | Read only field.<br>First Beneficiary details is defaulted from the underlying Export LC. |
| **Branch** | Read only field.<br>Branch details is auto-populated from LC details. |
| **Amendment No** | Read only field.<br>System defaults the latest amendment number sequence for this Export LC. The amendment sequence number is simulated from the backend system. The System to default based on the logic < Last Amendment Number +1>. |
| **Process Reference Number** | Read only field.<br>Unique sequence number for the transaction.<br>This is auto generated by the system based on process name and branch code. |
| **Priority** | System populates the priority of the customer based on priority maintenance. If priority is not maintained for the customer, system will populate 'Medium' as the default priority.<br>User can change the priority populated any time before submit. |
| **Submission Mode** | System populates the submission mode of Export LC Transfer Amendment request.<br>By default the submission mode will have the value as 'Desk'.<br>• **Desk** - Request received through Desk<br>• **FAX** - Request received through<br>• **Email** - Request received through Email<br>• **Courier** - Request received through Courier<br>The user can change the submission mode. |
| **Amenment Date** | System defaults the branch's current date. |
| **Issuing Bank Reference** | Read only field.<br>System defaults the Issuing Bank number defaulted as per the Transfer LC. |

**Table 2-3 (Cont.) Export LC Transfer Amendment- Registration - Application Details - Field Description**

| Field | Description |
|---|---|
| **User Reference Number** | Read only field.<br>System defaults the User Reference number defaulted as per the Transfer LC. |

**LC Details**

Details in this screen displays the data from the LC issued.




4. On **Export LC Transfer Amendment - LC Details** 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 Export LC Transfer Amendment - Registration - LC Details - Field Description**

| Field | Description |
|---|---|
| **LC Type** | Read only field.<br>LC Type of the underlying Export LC is displayed. |
| **Product Code** | Read only field.<br>Product Code of the underlying Transfer LC is displayed. |
| **Product Description** | Read only field.<br>This field displays the description of the product of the underlying Transfer LC. |
| **Advising Bank** | Specify the advising bank name or click **Search** to search and select the advising bank from the lookup.<br>System validates whether the Advising Bank is RMA compliant, if not system should display an error message.<br>User can change the advising bank values or change the medium of communication from mail to SWIFT. |

**Table 2-4 (Cont.) Export LC Transfer Amendment - Registration - LC Details - Field Description**

| Field | Description |
|---|---|
| **40A - Form of Documentary Credit** | System defaults the value for form of documentary credit.<br>Default LC type is Irrevocable. |
| **Date of Issue** | Read only field.<br>Application will default the branch's current date in date of issue. User cannot change the defaulted date. Application will populate the Date of Issue field with branch date on approval if date of approval is later than date of Registration. |
| **Applicable Rules** | Read only field.<br>Applicable rules for the LC is defaulted by the system. Default rule is 'UCP Latest Version'. |
| **Date of Expiry** | Date of expiry is defaulted as per the Transfer LC.<br>User can change the defaulted date of expiry. On change of values, relevant validations will happen. Date of Expiry of Transferred LC cannot be later than the Expiry Date of the underlying Export LC. |
| **Place of Expiry** | Place of expiry is defaulted as per the Transfer LC.<br>User can change the defaulted place of expiry. On change of values, relevant validations will happen. |
| **Second Beneficiary** | Second Beneficiary is defaulted as per the Transfer LC.<br>The user can click **Search** to search and select the beneficiary for Export LC Transfer from the look up.<br>If beneficiary is not a customer of the bank, then choose WALKIN customer id and provide the beneficiary details. If beneficiary is a customer and KYC status is not valid, then system will display alert message. |
| **Export LC Available Amount** | Read only field.<br>This field displays the Export LC available amount along with currency for Transfer. It must be less than or equals to LC amount less amount transferred (if any). |
| **Transfer LC Available Amount** | Read only field.<br>This field displays the Export LC available amount along with currency for Transfer. It must be less than or equals to LC amount less amount transferred (if any). |
| **Transfer Amount** | Transfer amount is defaulted from the transferred LC.<br>The user can amend the Transfer LC amount including Tolerance if any. During Transfer LC amendment, system checks, that the increase in Transfer LC amount including tolerance is not greater than the Outstanding amount in Parent LC. System should display an error if it is greater.<br>System should display an error if it is greater. During Transfer LC Amendment, if LC amount is decreased, system checks that the decrease in LC amount is not greater than available balance in Transfer LC, including tolerance if any. |
| **Percentage Credit Amount Tolerance** | Tolerance amount to default from the underlying Export LC and user can change the values.<br>This field displays the percentage credit amount tolerance details of the selected LC. |
| **Additional Amount Covered** | Specify any additional amount included in export LC. |
| **Beneficiary Consent** | Enable the option, if beneficiary consent is required.<br>Disable the option, if beneficiary consent is not required. |

5. Click **Submit**.

   The task will move to next logical stage of Export LC Transfer Amendment.
   For more information on action buttons, refer to the field description table below.

### Table 2-5 Export LC Transfer Amendment - Registration - Action Buttons - Field Description

| Field | Description |
| --- | --- |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Documents** | Upload the documents received under the Export LC Transfer Amendment.<br>System displays the mandatory and optional documents. If mandatory documents are not uploaded, system should display an error on submit. |
| **Remarks** | Specify any additional information regarding the Export LC Transfer Amendment. This information can be viewed by other users handling the request. |
| **Customer Instruction** | Click to view/ input the following.<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **View Transfer LC** | Click to view the latest transfer LC values. |
| **View Export LC** | Click to view the latest export LC values displayed in the respective fields. All fields displayed in LC details section are read only fields. |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancels the Export LC Transfer Amendment task. Details entered will not be saved and the task will be removed |
| **Save & Close** | Save the information provided and holds the task in 'My Task' queue for working later.<br>This option will not submit the request. |
| **Submit** | The task will move to next logical stage of Export LC Transfer Amendment. If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. |
| **Checklist** | 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. |

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

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

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

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 upon request received from the customer.
**Pre- Conditions:**

- Customer Maintenance details are replicated from OBTF to Oracle Banking Trade Finance Process Management.
- Task is initiated in Oracle Banking Trade Finance Process Management, 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.
2. In Oracle Banking Trade Finance Process Management, 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 validates 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 Scrutiny

This topic provides the systematic instructions to initiate the Scrutiny stage of Export LC Transfer Amendment request.

At Scrutiny stage, user can scrutinize the Export LC Transfer Amendment request. As part of Scrutiny, the user enters the basic details of the Export LC transfer Amendment request and can verify if the request can be processed further.
**Non-Online Channel** - Export LC Transfer Amendment request that were received at the desk will move to Scrutiny stage post successful Registration. The requests will have the details entered during the Registration stage.

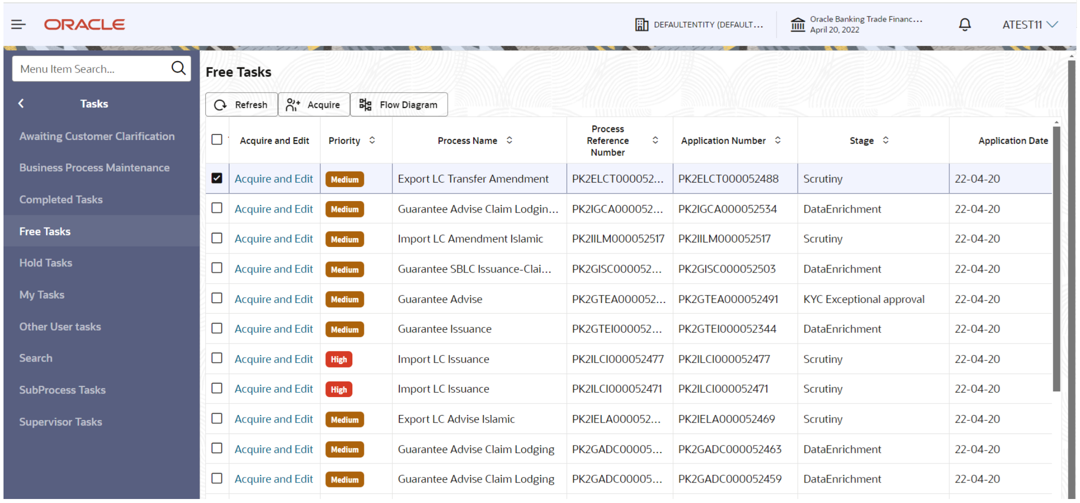
**Online Channel** - Requests that are received via online channels like trade portal, external system and SWIFT are available directly for further processing from Scrutiny stage and available data for all data segments from Application stage to Data Enrichment stage should be auto populated.

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

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

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

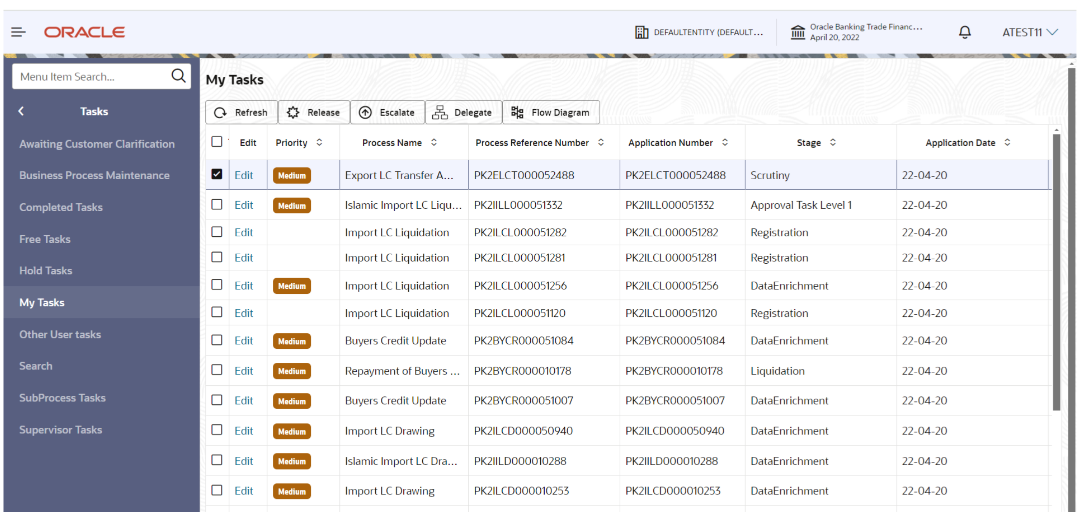
**Figure 2-5 Free Task**




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 scrutinize the registered task or provide input for Scrutiny stage.

**Figure 2-6 My Task**




Let’s look at the details for scrutiny 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.
The Scrutiny stage has the following hops for data capture:

- Main Details
  This topic provides the systematic instructions to initiate the main details of Scrutiny stage of Export LC Transfer Amendment request.
- Availability Shipment
  This topic provides the systematic instructions to capture the availability details.
- Payment Details
  This topic provides the systematic instructions to initiate the Payment in Scrutiny stage of Export LC Transfer Amendment request.
- Amendment Details
  This topic provides the systematic instructions to capture the Amendment Details.
- Additional Fields
  This topic provides the systematic instructions to capture the additional fields.
- Additional Details
  This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Export LC Transfer Amendment process.
- Summary
  This topic provides the systematic instructions to view the summary details in Scrutiny stage of Export LC Transfer Amendment request.

## 2.3.1 Main Details

This topic provides the systematic instructions to initiate the main details of Scrutiny stage of Export LC Transfer Amendment request.

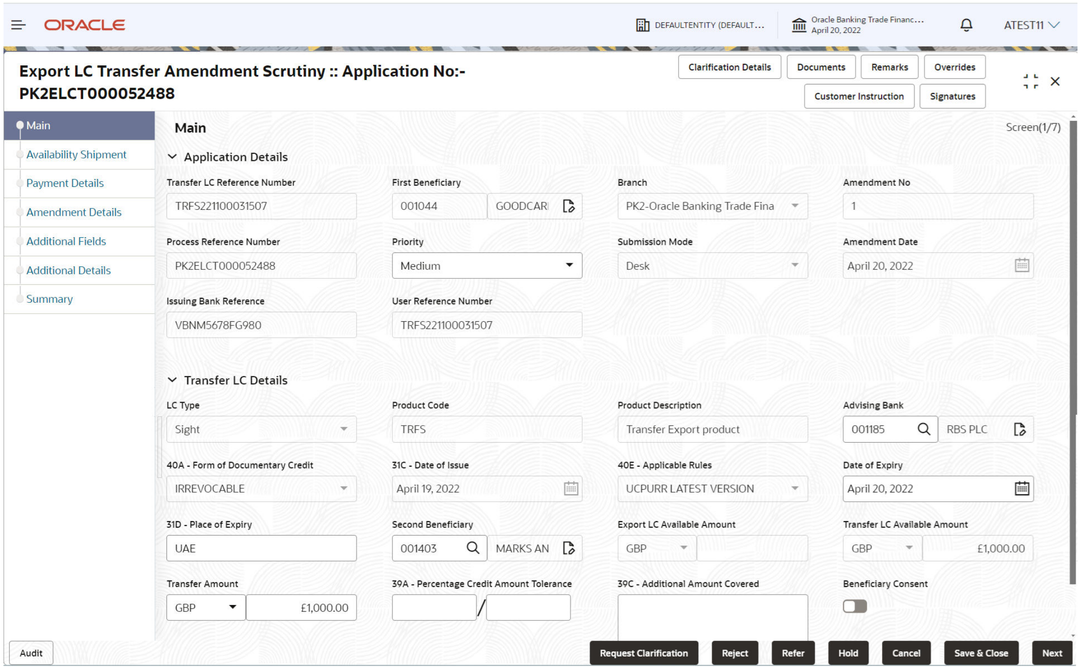
Main details section has two sub section as follows:

- Application Details
- Transfer LC Details.

**Application Details**
This section provides a quick snapshot of details of LC. User can enter the details in the following fields. Some of the fields that are already having value from registration/online channels will not be editable.

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

**Figure 2-7 Scrutiny - Main Details**




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

**Table 2-6 Export LC Transfer Amendment - Main Details - Application Details - Field Description**

| Field | Description |
|---|---|
| **Transfer LC Reference Number** | Read only field.<br><br>System displays the export LC reference number to be transferred. |
| **First Beneficiary** | Read only field.<br><br>System displays the name of the first beneficiary. |
| **Branch** | Read only field.<br><br>Branch details is auto-populated from LC details. |
| **Amendment No** | Read only field.<br><br>System defaults the latest amendment number sequence for this transfer LC. |
| **Process Reference Number** | Read only field.<br><br>Unique sequence number for the transaction.<br><br>This is auto generated by the system based on process name and branch code. |

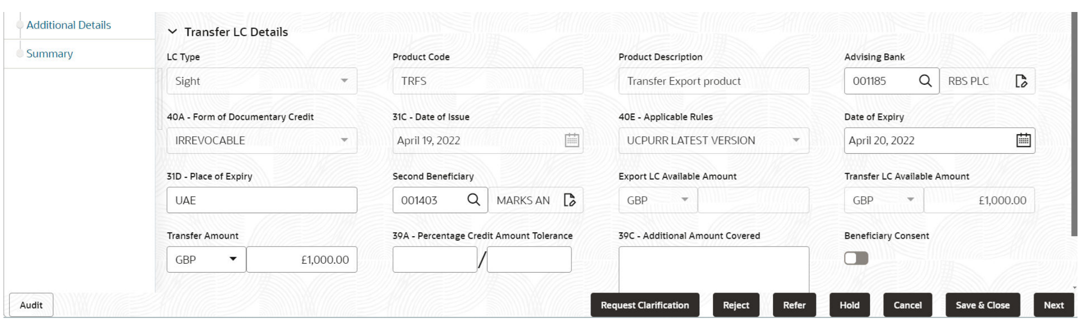
**Table 2-6 (Cont.) Export LC Transfer Amendment - Main Details - Application Details - Field Description**

| Field | Description |
|---|---|
| **Priority** | System populates the priority of the customer based on priority maintenance.<br>Values are High, Medium and Low. If priority is not maintained for the customer, system will populate 'Medium' as the default priority.<br>User can change the priority populated. |
| **Submission Mode** | Read only field.<br>System populates the submission mode of Export LC Transfer amendment request.<br>By default the submission mode will have the value as 'Desk'. |
| **Amendment Date** | Read only field.<br>System defaults the LC amendment date. |
| **Issuing Bank Reference** | Read only field.<br>System defaults the Issuing Bank number defaulted as per the Transfer LC. |
| **User Reference Number** | Read only field.<br>System defaults the User Reference number defaulted as per the Transfer LC. |

### Transfer LC Details

Registration user can capture the changes made to the Transfer LC in this section. During registration, if user has not captured input, then user can capture the details in this section.

**Figure 2-8 Transfer LC Details**




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

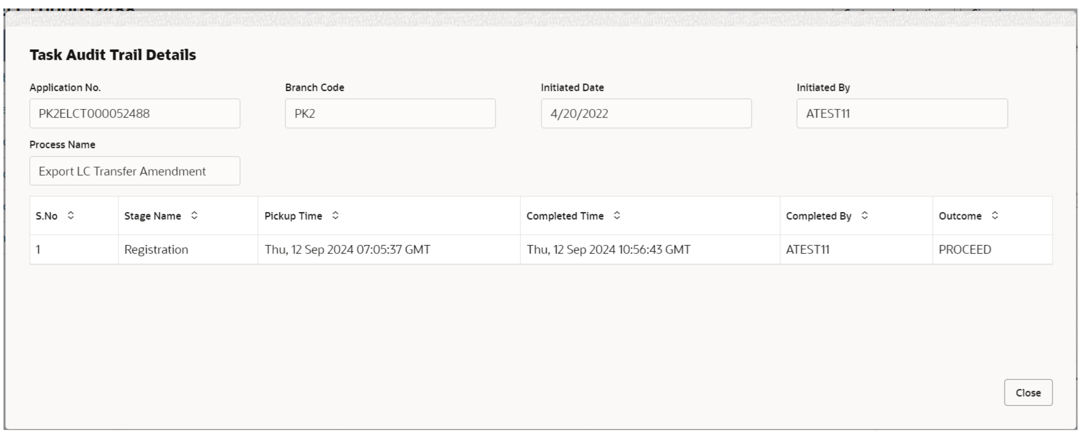
**Table 2-7 Export LC Transfer Amendment - Transfer LC Details - Field Description**

| Field | Description |
|---|---|
| **LC Type** | Read only field.<br>System displays the selected LC Type in Registration stage. |
| **Product Code** | Read only field.<br>Product Code of the underlying Export LC is displayed. |
| **Product Description** | Read only field.<br>This field displays the description of the product of the underlying Export LC. |
| **Advising Bank** | Specify the advising bank name or click **Search** to search and select the advising bank from the lookup.<br>System validates whether the Advising Bank is RMA compliant, if not system should display an error message. (Advising Bank is not RMA Compliant). User can change the advising bank values or change the medium of communication from mail to SWIFT. |
| **40A - Form of Documentary Credit** | System defaults the value for form of documentary credit.<br>Default LC type is Irrevocable. |
| **Date of Issue** | Read only field.<br>This field displays the LC issuance date. Application will default the branch's current date in date of issue. |
| **Applicable Rules** | Read only field.<br>Applicable rules for the LC is defaulted by the system. Default rule is 'UCP Latest Version'. |
| **Date of Expiry** | Date of expiry is defaulted as per the Transfer LC.<br>User can change the defaulted date of expiry. On change of values, relevant validations will happen.<br>Date of Expiry of Transferred LC cannot be later than the Expiry Date of the underlying Export LC. |
| **Place of Expiry** | Place of expiry is defaulted as per the Transfer LC.<br>User can change the defaulted place of expiry. On change of values, relevant validations will happen. |
| **Second Beneficiary** | Second beneficiary name is defaulted from the Registration stage as selected for Export LC Transfer Amendment.<br>The user can select the beneficiary for Export LC Transfer Amendment based on Party ID/Party Name from the look-up. If beneficiary is not a customer of the bank, then choose WALKIN customer id and provide the beneficiary details. If beneficiary is a customer and KYC status is not valid, then system will display alert message. |
| **Export LC Available Amount** | Read only field.<br>This field displays the Export LC available amount along with currency for Transfer. It must be less than or equals to LC amount less amount transferred (if any). |
| **Transfer LC Available Amount** | Read only field.<br>This field displays the Export LC available amount along with currency for Transfer. It must be less than or equals to LC amount less amount transferred (if any). |

**Table 2-7 (Cont.) Export LC Transfer Amendment - Transfer LC Details - Field Description**

| Field | Description |
|---|---|
| **Transfer Amount** | The export LC transfer amount is defaulted from the transferred LC. The user can amend the Transfer LC amount including Tolerance if any.<br>During Transfer LC amendment, system checks, that the increase in Transfer LC amount including tolerance is not greater than the Outstanding amount in Parent LC. System should display an error if it is greater.<br>During Transfer LC Amendment, if LC amount is decreased, system checks that the decrease in LC amount is not greater than available balance in Transfer LC, including tolerance if any. |
| **Percentage Credit Amount Tolerance** | Tolerance Amount to default from the underlying Export LC.<br>User can change the value of tolerance amount. |
| **Additional Amount Covered** | Specify any additional amount included in export LC.<br>In case of online request, system should auto-populate the details.<br>User cannot change the populated value. |
| **Beneficiary Consent** | Enable the option, if beneficiary consent is required.<br>Disable the option, if beneficiary consent is not required. |

## Audit




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 2-8 Audit - Field Description**

| Field | Description |
|---|---|
| **Application No.** | This field displays the appliation number of the process. |
| **Branch Code** | This field displays the branch code. |
| **Initiated Date** | This field displays the date on which process is initiated. |
| **Initiated By** | This field displays the user ID of the user who had initiated the process. |
| **Process Name** | This field displays the name of the process which is initiated. |
| **S. No** | This field displays the serial number of the audit record. |

**Table 2-8 (Cont.) Audit - Field Description**

| Field | Description |
|---|---|
| **Stage Name** | This field displays the current stage of the process. |
| **Completed Time** | This field displays the time on which the audit of the current stage is completed. |
| **Completed By** | This field displays the user ID of the user who had completed the audit. |
| **Outcome** | This field displays the outcome of the audit. |

2. Click **Next.**

   The task will move to next data segment.

**Table 2-9 Main Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'. |
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following.<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline. |

**Table 2-9 (Cont.) Main Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancels the Export LC Transfer task. Details entered will not be saved and the task will be removed |
| **Save & Close** | Save the information provided and holds the task in 'My Task' queue for working later.<br>This option will not submit the request. |
| **Next** | 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. |
| **Checklist** | 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. |

## 2.3.2 Availability Shipment

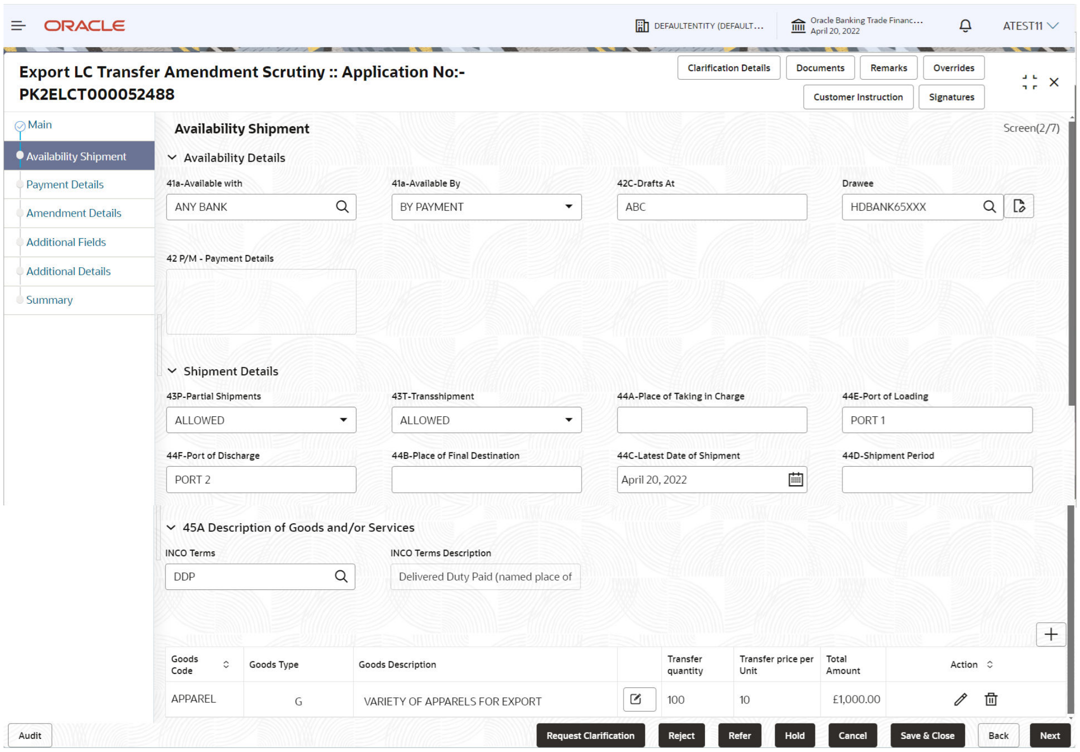
This topic provides the systematic instructions to capture the availability details.

In this section user can input the Availability Shipment details for Export LC Transfer Amendment. In case the request is received through online channel, the user can verify the details populated.
Non Online Channel - Export LC Transfer Amendment request that are received at the desk will move to scrutiny stage post successful Registration. The transaction will have the details entered during the Registration stage.

Online Channel - Requests that are received via online channels like trade portal, external system and SWIFT should be available directly for further processing in OBTFPM from scrutiny stage and available data for all data segments from Application stage to Data Enrichment stage would be auto populated.

1. On **Availability** screen, specify the fields.

**Figure 2-9 Availability Shipment**




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

**Table 2-10 Availability Shipment - Field Description**

| Field | Description |
| --- | --- |
| **Availability Details** | This section displays the **Availability Details** . As part of amendment, user can change the values available in the fields based on the description in the following table: |

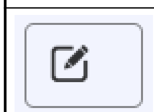
**Table 2-10 (Cont.) Availability Shipment - Field Description**

| Field | Description |
|---|---|
| **Available with** | This field identifies the bank with which the credit is available.<br>Click **Search** to search and select the bank with which the credit is available, in case of Non - Online channel.<br>• If the LC is restricted to any particular bank, search the bank with SWIFT code (BIC) or Bank Name.<br>On selection of the record if SWIFT code is available, then SWIFT code will be defaulted. If SWIFT code is not available then the bank's name and address gets defaulted.<br>• If the LC is not restricted to any bank, provide free text - (YOURSELVES, WITH ANY BANK etc.).<br>In case of Online channel, this field is read only. |
| **Available By** | This field displays the value of 'Available By' as per the issued LC.<br>Select the available by from the drop-down list, in case of Non - Online channel.<br>The options are:<br>• **BY NEGOTIATION**<br>• **BY PAYMENT**<br>Online Channel - Read only. |
| **Drafts At** | Specify the draft details.<br>This field specifies the tenor of drafts to be drawn under the documentary credit. |
| **Drawee** | This field displays the Drawee value as per the issued LC.<br>This field is enabled if **Drafts At** field has a value.<br>Click **Search** to search and select the Drawee bank (Advising bank or Confirming bank).<br>• Search the bank with SWIFT code (BIC) or Bank Name.<br>On selection of the record if SWIFT code is available, then SWIFT code will be defaulted, if SWIFT code is not available then the bank's name and address to be defaulted. |
| **Payment Details** | This field displays the payment details. |
| **Shipment Details** | This section displays the shipment details.<br>User can change the values available in the fields based on the description in the following table: |
| **Partial Shipments** | This field specifies whether or not partial shipments are allowed under the documentary credit. Partial shipment details are defaulted from the underlying Transfer LC.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled.<br>Select the partial shipment details from the drop-down list, in case of Non - Online channel.<br>The options are:<br>• **Allowed**<br>• **Conditional**<br>• **Not Allowed** |

Table 2-10 (Cont.) Availability Shipment - Field Description

| Field | Description |
| --- | --- |
| **Transshipment** | This field specifies whether or not transshipment are allowed under the documentary credit. Transshipment details are defaulted from the underlying Transfer LC.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled.<br>Select the transshipment details from the drop-down list, in case of Non - Online channel.<br>The options are:<br>• **Allowed**<br>• **Conditional**<br>• **Not Allowed** |
| **Place Of Taking In Charge** | This field specifies the place of taking in charge (in case of a multi-modal transport document), the place of receipt (in case of a road, rail or inland waterway transport document or a courier or expedited delivery service document), the place of dispatch or the place of shipment to be indicated on the transport document.<br>Details are defaulted from the underlying Transfer LC.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled. |
| **Port Of Loading** | This field specifies the port of discharge or airport of destination to be indicated on the transport document. Port of loading details are defaulted from the underlying Transfer LC.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled. |
| **Port Of Discharge** | This field specifies the port of discharge or airport of destination to be indicated on the transport document.<br>Port of discharge details are defaulted from the underlying Transfer LC.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled. |
| **Place Of Final Destination** | This field specifies the final destination or place of delivery to be indicated on the transport document.<br>Place of final destination details are defaulted from the underlying Transfer LC.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled. |
| **Latest Date Of Shipment** | Select the latest date for loading on board/dispatch/taking in charge.<br>**Note**<br>This field is alternate to **Shipment Period**. Latest date of shipment or shipment period must have value and if both the fields has values, application will display an error message.<br>Latest shipment date should be on or before expiry date and should not be before the branch date.<br>This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled. |

**Table 2-10 (Cont.) Availability Shipment - Field Description**

| Field | Description |
| --- | --- |
| **Shipment Period** | Non Online Channel - Specify the details of shipment.<br><br>**Note**<br>This field is alternate to **Latest Date Of Shipment.**. Latest date of shipment or shipment period must have value and if both the fields has values, application will display an error message. This field can be amended only when this field is amended in the underlying Export LC. This has to be operationally controlled.<br><br>In case of Online channel, this field is read only. |
| **Description of Goods and/or Services** | This field contains a description of the goods and/or services of the issued LC and can be changed if required. Provide the Shipment Details based on the description in the following table: |
| **INCO Terms** | INCO Terms is defaulted from the underlying LC and user can change the values.<br>Click **Search** to search and select the INCO terms from the document received. |
| **INCO Terms Description** | The respective INCO term description will be defaulted as per the INCO terms code.<br>Click the **+** icon to add multiple descrption of goods and services. |
| **Goods Code** | Goods Details is defaulted from the underlying LC and user can change the values.<br>Click **Search** to search and select the goods code. from the look-up.<br>Once you select goods code, value will populate in Goods Type and Goods Description. |
| **Goods Type** | The goods type is defaulted from the underlying LC and user can change the values. |
| **Goods Description** | The goods description is defaulted from the underlying Transfer LC and user can change the values. |
|  | Click the edit icon to edit the goods description. |
| **Transfer quantity** | This field displays the transfer quantity as available for a Transfer LC contract in Back office.<br>The user can modify the transfer quantity and this value should hand off to the Back office. |
| **Transfer Price per Unit** | This field displays the transfer price per unit as available for a Transfer LC contract in Back office.<br>The user can modify the transfer price per unit and this value should hand off to the Back office. |
| **Total Amount** | System calculates the total price. In case of online request, the system should populate the total amount from incoming request. System validates that the total amount is equal to the value of the transaction (LC/Collection). |
| **Action** | Click Edit icon to edit the goods code.<br>Click Delete icon to delete the goods code. |

2. Click **Next**.

The task will move to next data segment.
For more information on action buttons, refer to the field description table below.

**Table 2-11 Availability Shipment - Action Buttons - Field Description**

| Field | Description |
| --- | --- |
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'. |
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following.<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

**Table 2-11 (Cont.) Availability Shipment - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| **Back** | On click of Back, task moves to previous logical step. |
| **Next** | 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. |

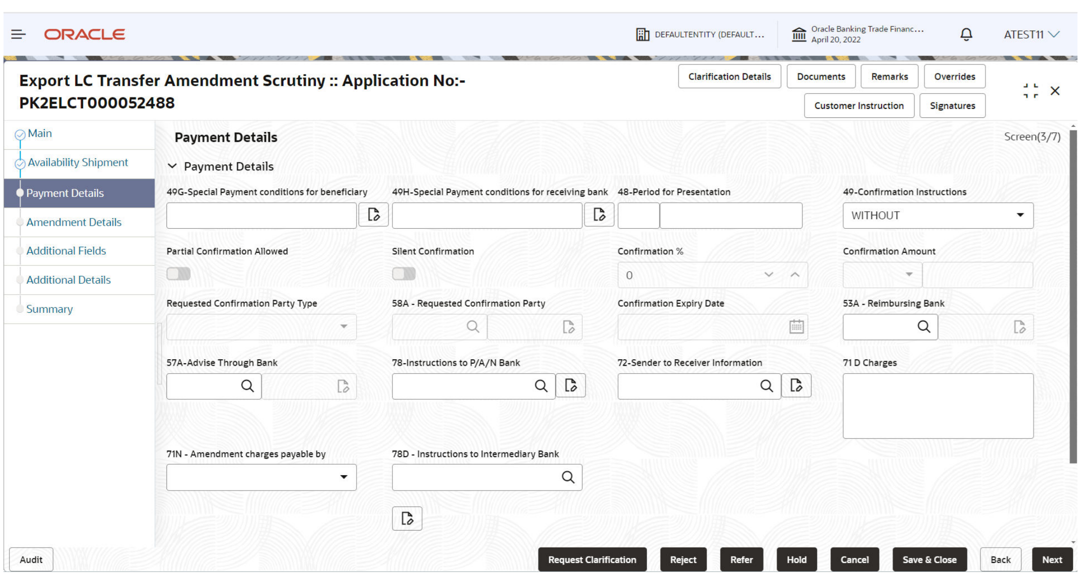
## 2.3.3 Payment Details

This topic provides the systematic instructions to initiate the Payment in Scrutiny stage of Export LC Transfer Amendment request.

In this section, user can input the Payment details for an Export LC Transfer Amendment.

1. On **Scrutiny - Payment Details** screen, specify the fields.

**Figure 2-10 Scrutiny - Payment Details**



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

**Table 2-12 Payment Details - Field Description**

| Field | Description |
| --- | --- |
| **Payment Details** | Specify the payment details based on the description of following table. |
| **Special Payment conditions for beneficiary** | Specify the details of special payment conditions for beneficiary, if any special payment condition has to be provided to beneficiary, for Online and Non - Online channel. |
| **Special Payment conditions for receiving bank** | Specify the details of special payment conditions for receiving bank, if any special payment condition has to be provided to receiving bank, for Online and Non - Online channel.<br>This field specifies special payment conditions applicable to the receiving bank without disclosure to the beneficiary, for example, post-financing request/conditions for receiving bank only. |
| **Period for Presentation** | Specify the event name in text along with the number of days in number, if the period of presentation is based on any event other than shipment, in case of non-online channel.<br>In case of Online channel, this field is read only. |
| **Confirmation Instructions** | Select the confirmation instruction for the LC from the available list, in case of non-online channels. The options are:<br>• CONFIRM<br>• MAY ADD<br>• WITHOUT<br>Applicable only if field 49 - confirmation instruction is 'confirm' or 'may add'. You can search through LOV, Party type with banks should only be displayed in LOV. The system should display the<br>• SWIFT code (if available)<br>• Name and address of the bank<br>On selection of the record if SWIFT code is available then SWIFT code will be defaulted, if SWIFT code is not available then the bank's name and address to be defaulted.<br>In case of Online channel, this field is read only. |
| **Partial Confirmation Allowed** | Read only field.<br>Toggle On: If LC has partial confirmed.<br>Toggle ff: If LC confirmed for full amount. |
| **Silent Confirmation** | Read only field.<br>This option when enabled the user can add silent confirmation to an LC already advised to the beneficiary and Confirmation Percentage should default as 100 and Silent Confirmation Amount should display the full LC outstanding value. User should not be able to modify them.<br>This field is added only for LC in which Issuing Bank does not request confirmation. |
| **Confirmation%** | Specify the confirmation percentage.<br>This field is applicable only if **Confirmation Instructions** is set to **Confirm** and **Partial Confirmation Allowed** option is enabled. |
| **Confirmation Amount** | Specify the confirmation amount.<br>This field is applicable only if **Confirmation Instructions** is set to **Confirm** and **Partial Confirmation Allowed** option is enabled. |

**Table 2-12 (Cont.) Payment Details - Field Description**

| Field | Description |
|---|---|
| **Requested Confirmation Party Type** | Select the requested confirmation party type.<br>This field is applicable only if **Confirmation Instructions** is set to is **CONFIRM** or**MAY ADD**. |
| **Requested Confirmation Party** | Specify requested confirmation party details or click the 'Search' icon to search and select the requested confirmation party, in case of online and non-online channels.<br>This field is enabled, if the **Confirmation Instructions** is **CONFIRM** or**MAY ADD** and **Requested Confirmation Party Type** is **OTHERS** |
| **Confirmation Expiry Date** | Displays the confirmation expiry date. |
| **Reimbursing Bank** | If reimbursing bank is applicable user must update the field.<br>Click **Search** icon to search and select the advise through bank, in case of Non - Online channel. Party type with banks must be displayed in look-up.<br>If reimbursing bank is applicable, user must update the field.<br>• SWIFT code (if available)<br>• Name and address of the bank<br>On selection of the record if SWIFT code is available, then SWIFT code will be defaulted. If SWIFT code is not available then the bank's name and address to be defaulted.<br>In case of online request, User can update the details received. |
| **Advise Through Bank** | Click **Search** to search and select the advise through bank, in case of Non - Online channel. Party type with banks must be displayed in look-up.<br>• SWIFT code (if available)<br>• Name and address of the bank<br>On selection of the record if SWIFT code is available, then SWIFT code will be defaulted. If SWIFT code is not available then the bank's name and address to be defaulted.<br>In case of online request, User can update the details received. |
| **Instructions to P/A/N Bank** | Click **Search** to search and select the instructions to P/A/N Bank, in case of Non - Online channel.<br>In case of Online channel, update the details received. |
| **Sender to Receiver Information** | Click **Search** to search and select the sender to receiver information (FFT), in case of Non - Online channel.<br>In case of Online channel, update the details received. |
| **Charges** | Specify the charges details, in case of non-online channel.<br>In case of Online channel, update the details received. |
| **Amendment Charges payable by** | Select the party to pay the amendment charges:<br>• Applicant<br>• Beneficiary<br>• Others |
| **Instructions to Intermediary Bank** | Click **Search** to search and select the instructions to intermediary bank. |

2. Click **Next**.

   The task will move to next data segment.

**Table 2-13 Payment Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'. |
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following.<br>• – In this section,**Standard Instructions** the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

**Table 2-13 (Cont.) Payment Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request. |
| **Back** | On click of Back, task moves to previous logical step. |
| **Next** | 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. |

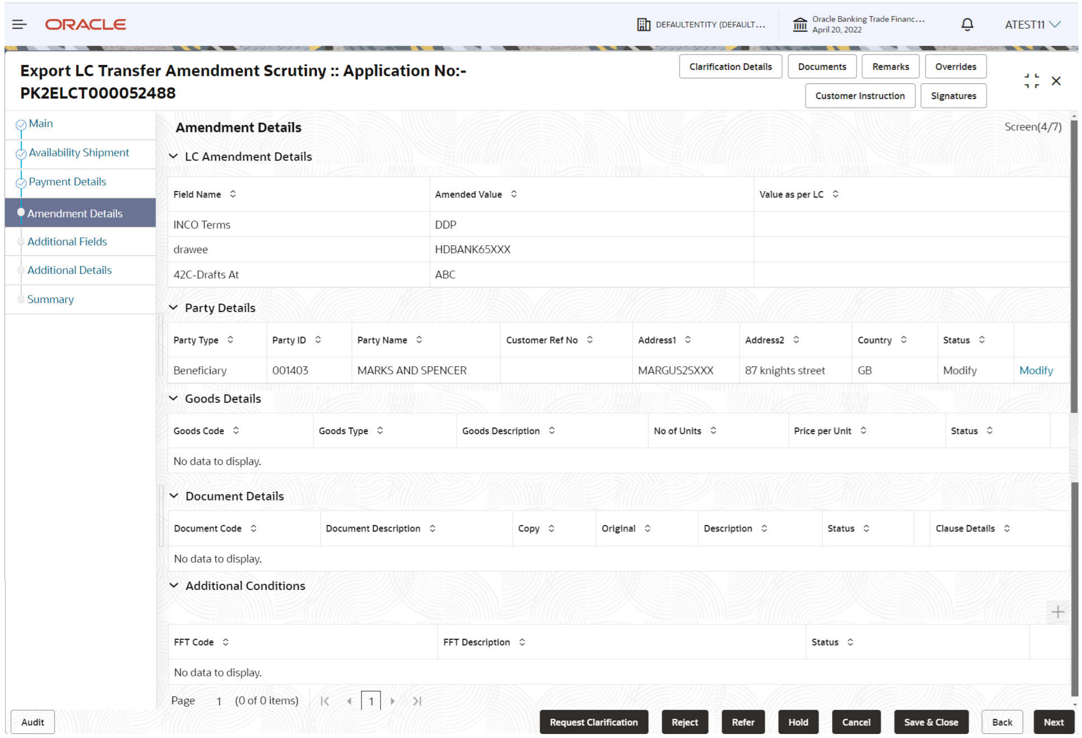
## 2.3.4 Amendment Details

This topic provides the systematic instructions to capture the Amendment Details.

This section lists the amendments made to the LC. The user can verify the fields that have been amended. The user can see a snapshot of the amended fields with the old values and the amended value of the LC.
As part of scrutiny, user should be able to view all the field tags that have been amended. Corresponding to the field the latest Transfer LC value before amendment and the new amended value should be displayed.

1. On **Amendment Details** screen, specify the fields, if any.

**Figure 2-11 Amendment Details**



2. Click **Next**.

The task will move to next data segment.
For more information on action buttons, refer to the field description table below.

**Table 2-14 Amendment Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'. |
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Specify any additional information regarding the Export LC transfer Amendment. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |

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

| Field | Description |
|---|---|
| **Customer Instruction** | Click to view/ input the following<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User should be able to submit the request for clarification to the “Trade Finance Portal” User for the transactions initiated offline. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request. |
| **Back** | On click of Back, task moves to previous logical step. |
| **Next** | 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. |

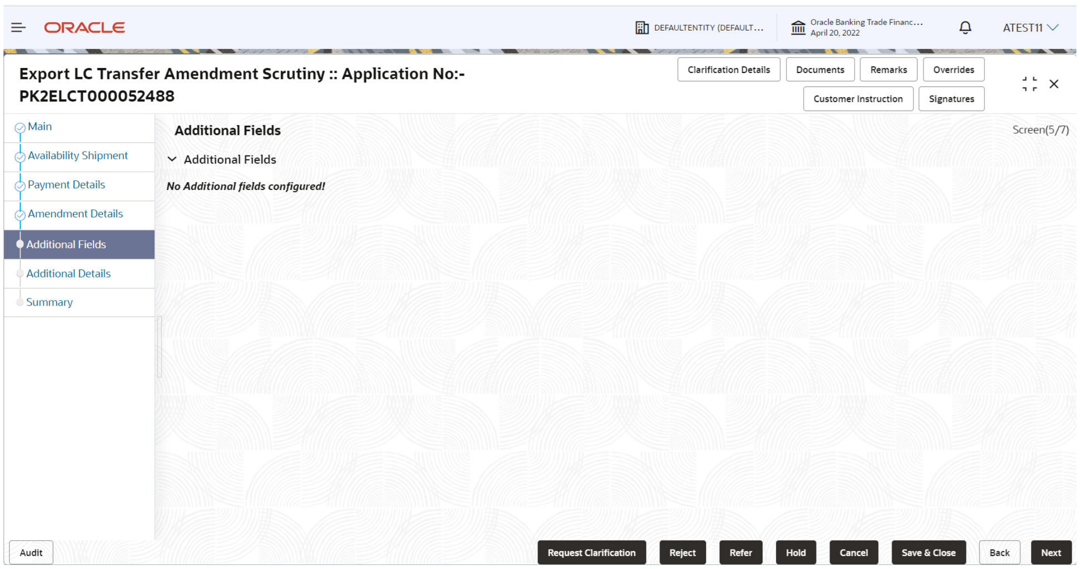
## 2.3.5 Additional Fields

This topic provides the systematic instructions to capture the additional fields.

In this section, the user can input in the additional fields implemented by the bank for Export LC Transfer Amendment. Any user defined fields maintained at the bank level should be available in this Additional field details.

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

**Figure 2-12 Scrutiny - Additional Fields**




2. Click **Next.**

   The task will move to next data segment.
   For more information on action buttons, refer to the field description table below.

**Table 2-15 Additional Fields - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be 'Clarification Requested'. |
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request. Content from Remarks field should be handed off to Remarks field in Backend application. |

**Table 2-15 (Cont.) Additional Fields - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following.<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User should be able to submit the request for clarification to the “Trade Finance Portal” User for the transactions initiated offline. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request. |
| **Back** | On click of Back, task moves to previous logical step. |

**Table 2-15 (Cont.) Additional Fields - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Next** | 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. |

# 2.3.6 Additional Details

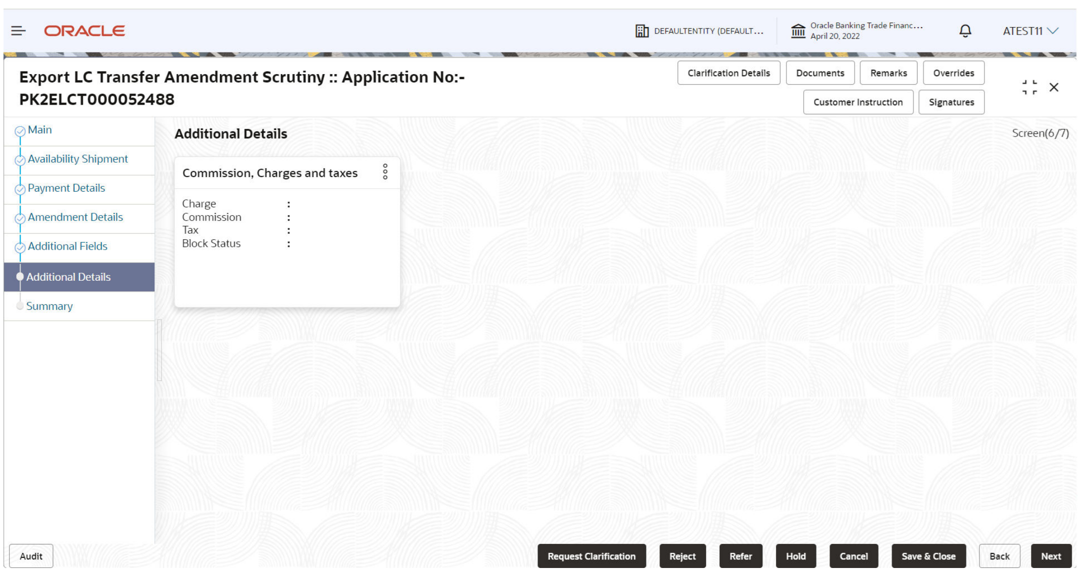
This topic provides the systematic instructions to capture the additional details in Scrutiny stage of Export LC Transfer Amendment process.

In the Additional Details section, the user can verify/input/update the additional details Data Segment of the Export LC Transfer Amendment.
The various additional details should be available as tile. Each tile can be selected and the respective screen will open for the user to capture details.

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

1. On **Additional Details** screen, click ⋮ on any Additional Details tile to view the details.

**Figure 2-13 Additional Details**



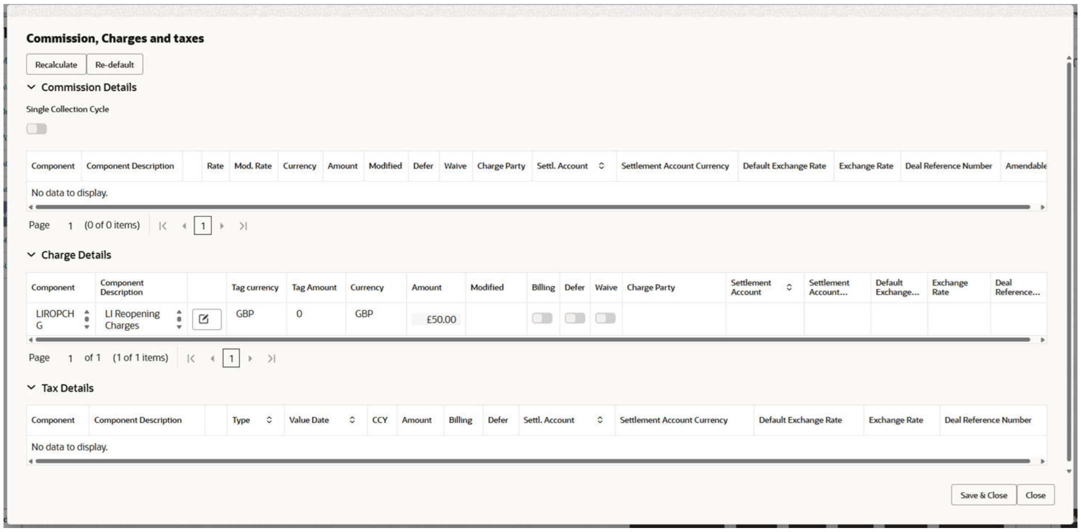

### Commission, Charges and Taxes

Landing on the additional tab, the default commission, charges and tax if any will get populated.

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

Charge Details are auto-populated from the back-end system.

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




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

**Table 2-16 Commission, Charges and Taxes Details - Field Description**

| Field | Description |
| --- | --- |
| **Commission Details** | The commission details.<br>All charges, commission and margin are collected from the counter-party by default. |
| **Component** | This field displays the commission component. |
| **Rate** | This field displays the rate that is defaulted from product.<br>The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate.<br>If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field. |
| **Mod. Rate** | From the default value, if the rate is changed the value gets updated in this field. |
| **Currency** | This field displays the currency in which the commission have to be collected. |
| **Amount** | This field displays the amount that is maintained under the product code.<br>The commission rate, if available in Back Office defaults in OBTFPM. The user is able to change the rate, but not the commission amount directly. The amount gets modified based on the rate changed and the new amount is calculated in back office based on the new rate and is populated in OBTFPM.<br>If flat commission is applicable, then commission amount defaulted from back office is modifiable by the user. Rate field will be blank and the user cannot modify the Rate field. |
| **Modified** | From the default value, if the amount is changed, the value gets updated in the modified amount field. |
| **Defer** | If enabled, charges/commissions has to be deferred and collected at any future step. |

**Table 2-16 (Cont.) Commission, Charges and Taxes Details - Field Description**

| Field | Description |
|---|---|
| **Waive** | Based on the customer maintenance, the charges/commission can be marked for Billing or Defer.<br>If the defaulted Commission is changed to defer or billing or waive, system must capture the user details and the modification details in the 'Remarks' place holder. |
| **Charge Party** | Charge party is 'Applicant' by default. User can change the value to Beneficiary. |
| **Settl. Account** | System defaults the settlement account. The user can modify the settlement account. |
| **Settlement Account Currency** | Read only field.<br>This field displays the settlement account currency defaulted by the system. |
| **Default Exchange Rate** | Read only field.<br>This field displays the maintained exchange rate when the component currency differs from the settlement account currency. |
| **Exchange Rate** | Specify **Exchange Rate** upto 4 decimal places, if applicable. System rounds off values beyond 4 decimals.<br>• Do not specify Exchange Rate for deferred charges, commission, and tax components under AR-AP.<br>System restricts input for these components.<br>• Specify Exchange Rate within the allowed range.<br>System allows save without any message.<br>• If Exchange Rate exceeds the allowed range but is within the override band. Click Save and Close.<br>System displays the override message - "Exchange Rate has exceeded Override Limit"<br>Proceed after accepting the override.<br>• If Exchange Rate exceeds the stop limit. Click Save and Close.<br>System displays the error message - "Exchange Rate has exceeded Stop Limit"<br>System does not allow the transaction to proceed. |
| **Deal Reference Number** | **Deal Reference Number** allows up to **30 characters**. Entries longer than 30 characters are not allowed.<br>**Deal Reference Number** can be specified only when **Exchange Rate** has a value. If **Exchange Rate** is blank and a **Deal Reference Number** is specified, the system displays: "Cannot add Deal Reference without specifying the Exchange Rate value." |
| **Amendable** | Displays if the field is amendable or not. |
| **Charge Details** | Displays the charge details. |
| **Component** | This field displays the charge component type. |
| **Tag Currency** | This field displays the tag currency in which the charges have to be collected. |
| **Tag Amount** | This field displays the tag amount that is maintained under the product code. |
| **Currency** | This field displays the currency in which the charges have to be collected. |
| **Amount** | This field displays the amount that is maintained under the product code. |
| **Modified** | 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.) Commission, Charges and Taxes Details - Field Description**

| Field | Description |
|---|---|
| **Billing** | If charges are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.<br>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 OBTFPM.<br>The user can not enable/disable the option, if it is de-selected by default.<br>This field is disabled, if ‘Defer’ toggle is enabled. |
| **Defer** | If charges have to be deferred and collected at any future step, this check box has to be selected.<br>On simulation of charges/commission from Back Office, if any of the Charges/Commission component for the customer is AR-AP tracking enabled, ‘Defer’ toggle for that component should be automatically checked in OBTFPM.<br>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. |
| **Waive** | Enable the toggle, if charges has to be waived.<br>Based on the customer maintenance, the charges should be marked for Billing or for Defer.<br>This field is disabled, if **Defer** toggle is enabled. |
| **Charge Party** | Charge party is applicant by default. User can change the value to beneficiary. |
| **Settlement Account** | The settlement account. |
| **Settlement Account Currency** | Read only field.<br>This field displays the settlement account currency defaulted by the system. |
| **Default Exchange Rate** | Read only field.<br>This field displays the maintained exchange rate when the component currency differs from the settlement account currency. |
| **Exchange Rate** | Specify **Exchange Rate** upto 4 decimal places, if applicable. System rounds off values beyond 4 decimals.<br>• Do not specify Exchange Rate for deferred charges, commission, and tax components under AR-AP. System restricts input for these components.<br>• Specify Exchange Rate within the allowed range. System allows save without any message.<br>• If Exchange Rate exceeds the allowed range but is within the override band. Click Save and Close. System displays the override message - "Exchange Rate has exceeded Override Limit" Proceed after accepting the override.<br>• If Exchange Rate exceeds the stop limit. Click Save and Close. System displays the error message - "Exchange Rate has exceeded Stop Limit" System does not allow the transaction to proceed. |

**Table 2-16 (Cont.) Commission, Charges and Taxes Details - Field Description**

| Field | Description |
|---|---|
| **Deal Reference Number** | **Deal Reference Number** allows up to **30 characters**. Entries longer than 30 characters are not allowed.<br>**Deal Reference Number** can be specified only when **Exchange Rate** has a value. If **Exchange Rate** is blank and a **Deal Reference Number** is specified, the system displays: “Cannot add Deal Reference without specifying the Exchange Rate value.” |
| **Tax Details** | Displays the tax details.<br>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. |
| **Component** | This field displays the tax component. |
| **Type** | This field displays the type of tax component. |
| **Value Date** | This field displays the value date of tax component. |
| **Ccy** | This field displays the currency in which the tax have to be collected. The tax currency is the same as the commission. |
| **Amount** | This field displays the tax amount based on the percentage of commission maintained.<br>You can edit the tax amount, if applicable. |
| **Billing** | If taxes are handled by separate billing engine, then by selecting billing the details to be available for billing engine for further processing.<br>This field is disabled, if ‘Defer’ toggle is enabled. |
| **Defer** | If taxes have to be deferred and collected at any future step, this option has to be enabled.<br>The user can enable/disable the option the check box. On de-selection the user has to click on ‘Recalculate’ charges button for re-simulation. |
| **Settl. Account** | System defaults the settlement account.<br>The user can modify the settlement account. |
| **Settlement Account Currency** | Read only field.<br>This field displays the settlement account currency defaulted by the system. |
| **Default Exchange Rate** | Read only field.<br>This field displays the maintained exchange rate when the component currency differs from the settlement account currency. |

**Table 2-16 (Cont.) Commission, Charges and Taxes Details - Field Description**

| Field | Description |
| --- | --- |
| **Exchange Rate** | Specify **Exchange Rate** upto 4 decimal places, if applicable. System rounds off values beyond 4 decimals.<br>• Do not specify Exchange Rate for deferred charges, commission, and tax components under AR-AP.<br>System restricts input for these components.<br>• Specify Exchange Rate within the allowed range.<br>System allows save without any message.<br>• If Exchange Rate exceeds the allowed range but is within the override band. Click Save and Close.<br>System displays the override message - "Exchange Rate has exceeded Override Limit"<br>Proceed after accepting the override.<br>• If Exchange Rate exceeds the stop limit. Click Save and Close.<br>System displays the error message - "Exchange Rate has exceeded Stop Limit"<br>System does not allow the transaction to proceed. |
| **Deal Reference Number** | **Deal Reference Number** allows up to **30 characters**. Entries longer than 30 characters are not allowed.<br>**Deal Reference Number** can be specified only when **Exchange Rate** has a value. If **Exchange Rate** is blank and a **Deal Reference Number** is specified, the system displays: “Cannot add Deal Reference without specifying the Exchange Rate value.” |

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

   The task will move to next data segment.
   For more information on action buttons, refer to the field description table below.

**Table 2-17 Additional Details - Action Buttons - Field Description**

| Field | Description |
| --- | --- |
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be ‘Clarification Requested’. |
| **Documents** | Upload the required documents.<br>The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Click the Remarks icon to provide any additional information. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |

**Table 2-17 (Cont.) Additional Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Customer Instruction** | Click to view/ input the following.<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User should be able to submit the request for clarification to the "Trade Finance Portal" User for the transactions initiated offline. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| **Back** | On click of Back, task moves to previous logical step. |
| **Next** | 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. |

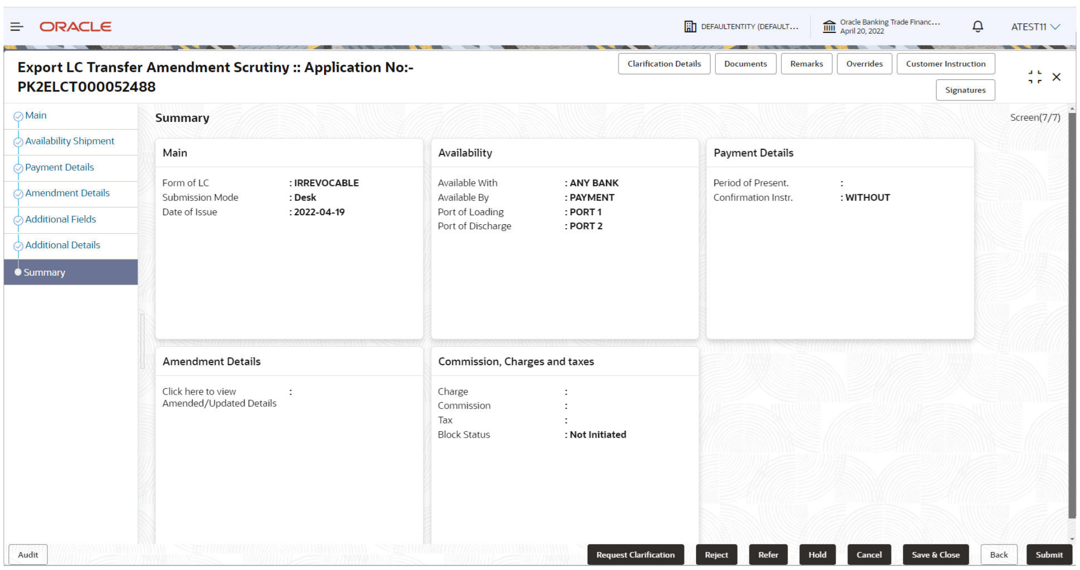
## 2.3.7 Summary

This topic provides the systematic instructions to view the summary details in Scrutiny stage of Export LC Transfer Amendment request.

User can review the summary of details updated for Export LC Transfer Amendment. The user can see the summary tiles.
The Summary tiles display a list of important fields with values. User can drill down from Summary tiles into respective data segments.

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

**Figure 2-14 Summary**




Tiles Displayed in Summary

- Main - User can view the application details details and export LC details. User can modify the details, if required.
- Availability - User can view already captured availability and shipment details. User can modify the details, if required.
- Payment Details - User can view all details related to payments. User can modify the details, if required.
- Amendment Details - User can view the amended details.
- Commission, Charges and Taxes: User can see the details provided for charges. User can update the details if required.

2. Click **Submit**.

The task will move to next logical stage.
For more information on fields, refer to the field description table below.

**Table 2-18 Summary - Action Buttons - Field Description**

| Field | Description |
| --- | --- |
| **Documents** | Click to View/Upload the required document.<br><br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Specify any additional information regarding the Export LC transfer Amendment. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Common Group Messages** | Click Common Group Message button, to send MT799 and MT999 messages from within the task. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

**Table 2-18 (Cont.) Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Scrutiny stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request. |
| **Back** | Clicking on Back button, takes the user to the previous screen. |
| **Submit** | Task will get moved to next logical stage of Export LC Transfer Amendment.<br>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. n case of duplicate documents' system will terminate the process after handing off the details to back office. |

# 2.4 Data Enrichment

This topic provides the systematic instructions to initiate the Data Enrichment stage of Export LC transfer Amendment request.

As a part of Data Enrichment stage, User can enter/update basic details of the incoming request.
Non Online Channel - Export LC Transfer request that were received at the desk will move to DE stage post successful registration and scrutiny stage. The transaction will have the details entered during the registration/scrutiny stage.

Online Channel - Request that are received via online channels like trade portal, external system and SWIFT are available directly for further processing in OBTFPM from scrutiny stage and available data for all data segments from Application stage to Data Enrichment stage would be auto populated.

The user can select the respective field and will be allowed to edit/update the field.

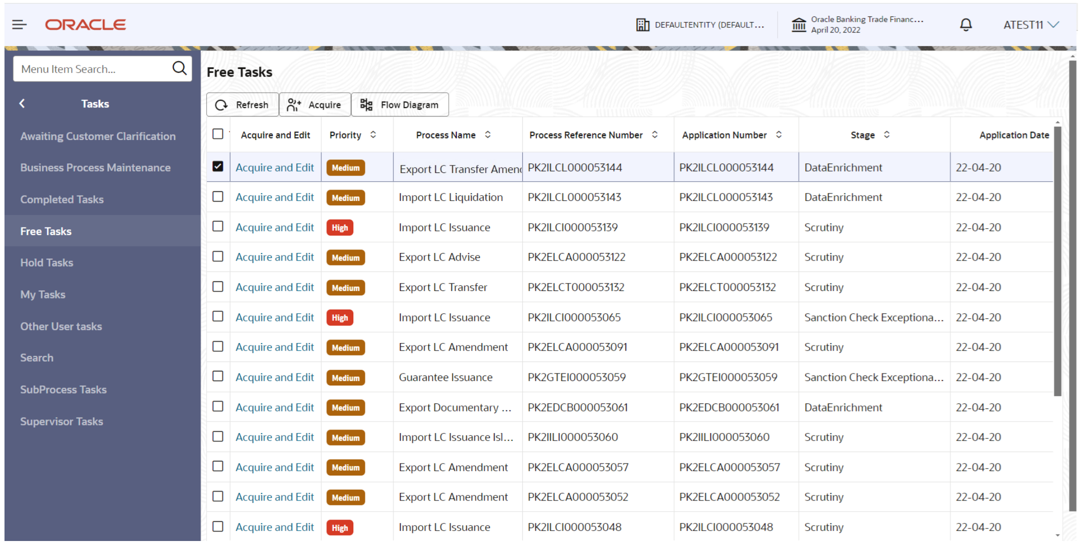
> **Note**
>
> For expired line of limits, the task moves to “Limit Exception” stage under Free Tasks, on ‘Submit’ of DE Stage with the reason for exception as “Limit Expired”.

Do the following steps to acquire a task which completed the registration and 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**.

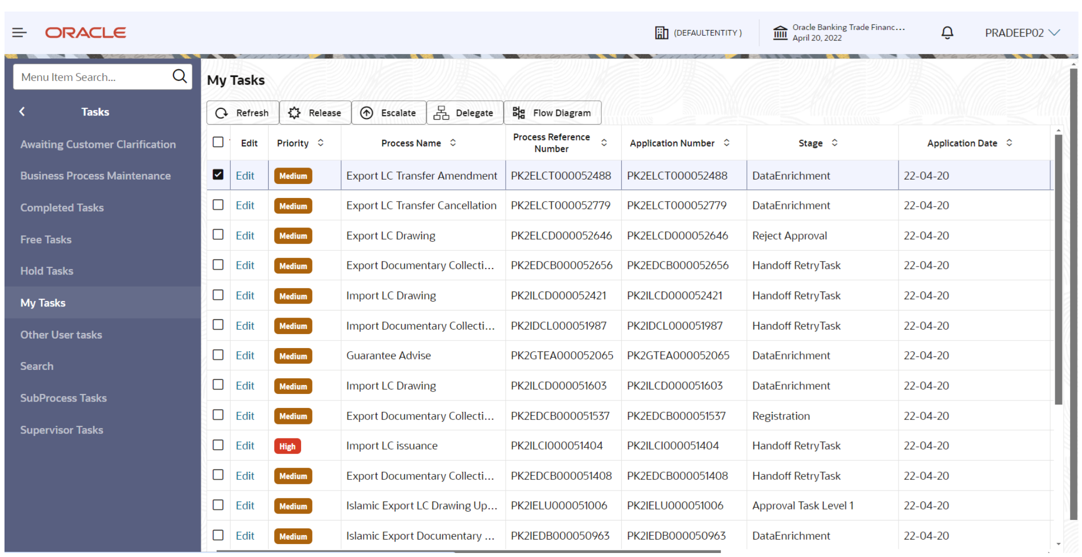
**Figure 2-15 Free Task**




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 provide input for Data Enrichment stage.

**Figure 2-16 My Task**



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

- Main Details
This topic provides the systematic instructions to initiate the Data Enrichment stage of Export LC Transfer Amendment request.
- Availability Shipment
This topic provides the systematic instructions to capture the availability and shipment details.
- Document and Conditions
This topic provides the systematic instructions to capture the details of the documents received.
- Payment Details
This topic provides the systematic instructions to initiate the Payment in Data Enrichment stage of Export LC Transfer Amendment request.
- Amendment Details
This topic provides the systematic instructions to capture the Amendment Details.
- Additional Fields
This topic provides the systematic instructions to capture the additional fields.
- Advices
This topic provides the systematic instructions to capture the advices details of Export LC Transfer Amendment process.
- Additional Details
This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Export LC Transfer Amendment process.
- Settlement Details
This topic provides the systematic instructions to capture the settlement details of Export LC Transfer Amendment request.
- Summary
This topic provides the systematic instructions to view the summary details in Data Enrichment stage of Export LC Transfer Amendment request.

## 2.4.1 Main Details

This topic provides the systematic instructions to initiate the Data Enrichment stage of Export LC Transfer Amendment request.

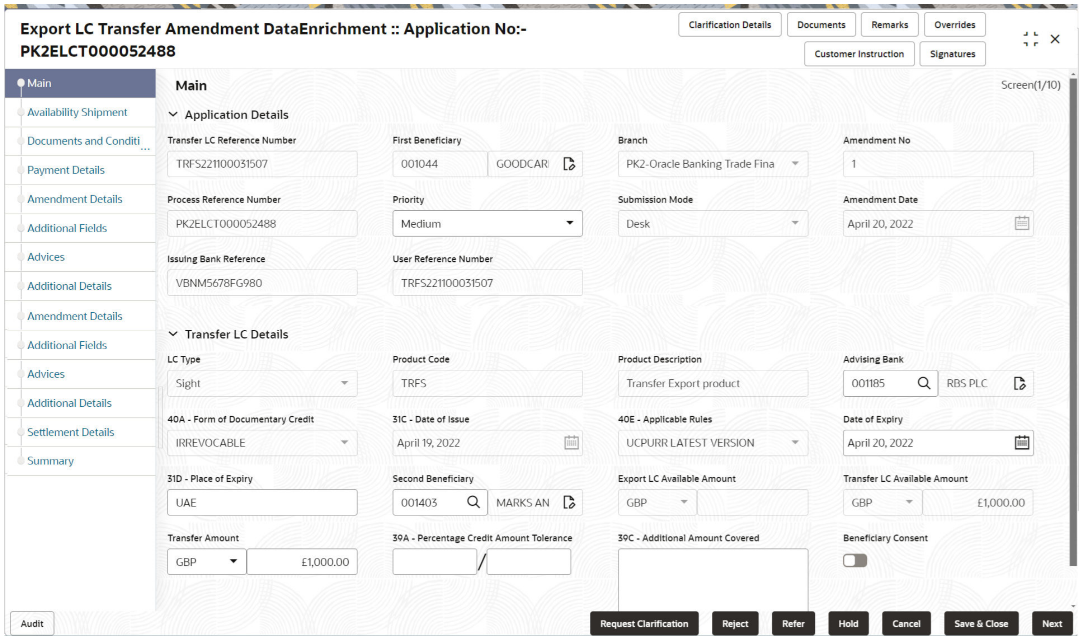
Main details section has two sub section as follows:

- Application Details
- Transfer LC Details.

**Application Details**

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

**Figure 2-17 Data Enrichment - Main Details**




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

**Table 2-19 Export LC Transfer - Main Details - Application Details - Field Description**

| Field | Description |
|---|---|
| **Transfer LC Reference Number** | Read only field.<br>System displays the export LC reference number to be amended. |
| **First Beneficiary** | Read only field.<br>System displays the name of the first beneficiary, as available from earlier stages. |
| **Branch** | Read only field.<br>Branch details is auto-populated from LC details. |
| **Amendment No** | Read only field.<br>System defaults the latest amendment number sequence for this Export LC, as available from earlier stages. |
| **Process Reference Number** | Read only field.<br>Unique sequence number for the transaction.<br>This is auto generated by the system based on process name and branch code. |

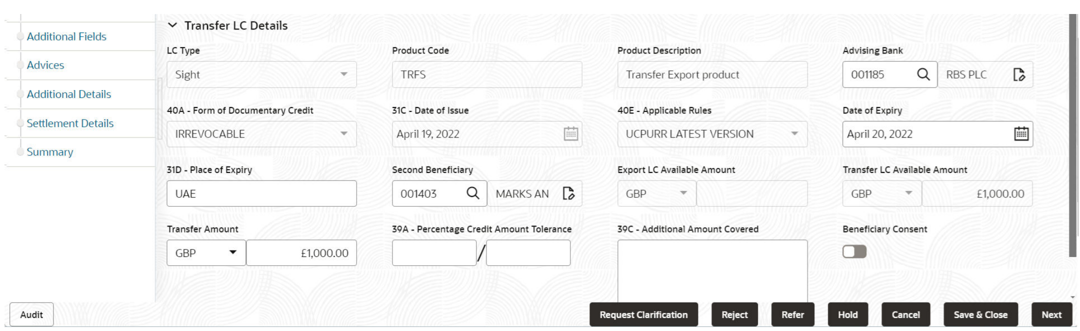
**Table 2-19 (Cont.) Export LC Transfer - Main Details - Application Details - Field Description**

| Field | Description |
|---|---|
| **Priority** | System populates the priority of the customer based on priority maintenance.<br>Values are High, Medium and Low. If priority is not maintained for the customer, system will populate 'Medium' as the default priority.<br><br>User can change the priority populated. |
| **Submission Mode** | Read only field.<br><br>System populates the submission mode of Export LC Transfer amendment request, as available from earlier stages. |
| **Amendment Date** | Read only field.<br>System should default the branch’s current date as LC amendment date. |
| **Issuing Bank Reference** | Read only field.<br><br>System defaults the Issuing Bank number defaulted as per the Transfer LC. |
| **User Reference Number** | Read only field.<br><br>System defaults the User Reference number defaulted as per the Transfer LC. |

### LC Details

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

**Figure 2-18 LC Details**




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

**Table 2-20 Export LC Transfer - LC Details - Field Description**

| Field | Description |
| --- | --- |
| **LC Type** | Read only field.<br>The value used for LC Type as per the latest LC details should be displayed. |
| **Product Code** | Read only field.<br>Product Code of the underlying Export LC is displayed. |
| **Product Description** | Read only field.<br>This field displays the description of the product of the underlying Export LC. |
| **Advising Bank** | Specify the advising bank name or click **Search** to search and select the advising bank from the lookup. |
| **40A - Form of Documentary Credit** | System defaults the value, as available from earlier stages. |
| **Date of Issue** | Read only field.<br>Application will default the branch's current date in date of issue. |
| **Applicable Rules** | Read only field.<br>Applicable rules for the LC is defaulted by the system. Default rule is 'UCP Latest Version'. |
| **Date of Expiry** | Date of expiry is defaulted from the underlying Export LC.<br>User can change the defaulted date of expiry. On change of values, relevant validations will happen.<br>Date of Expiry of Transferred LC cannot be later than the Expiry Date of the underlying Export LC. |
| **Place of Expiry** | Place of expiry is defaulted from the underlying Export LC.<br>User can change the defaulted place of expiry. |
| **Second Beneficiary** | Second beneficiary name is defaulted from Export LC Transfer.<br>User can change the defaulted value. |
| **Export LC Available Amount** | Read only field.<br>This field displays the Export LC available amount along with currency for Transfer. It must be less than or equals to LC amount less amount transferred (if any). |
| **Transfer LC Available Amount** | Read only field.<br>This field displays the Export LC available amount along with currency for Transfer. It must be less than or equals to LC amount less amount transferred (if any). |
| **Transfer Amount** | The export LC transfer amount is defaulted from the transferred LC. The user can amend the Transfer LC amount including Tolerance if any.<br>During Transfer LC amendment, system checks, that the increase in Transfer LC amount including tolerance is not greater than the Outstanding amount in Parent LC. System should display an error if it is greater.<br>During Transfer LC Amendment, if LC amount is decreased, system checks that the decrease in LC amount is not greater than available balance in Transfer LC, including tolerance if any. |
| **Percentage Credit Amount Tolerance** | Tolerance Amount to default from the underlying Export LC.<br>User can change the value of tolerance amount. |
| **Additional Amount Covered** | Specify any additional amount included in export LC. |

**Table 2-20 (Cont.) Export LC Transfer - LC Details - Field Description**

| Field | Description |
|---|---|
| **Beneficiary Consent** | Enable the option, if beneficiary consent is required.<br>Disable the option, if beneficiary consent is not required. |

2. Click **Next**.

   The task will move to next data segment.
   For more information on the action buttons, refer Table 2-9 in **Main Details** section of **Scrutiny** stage.

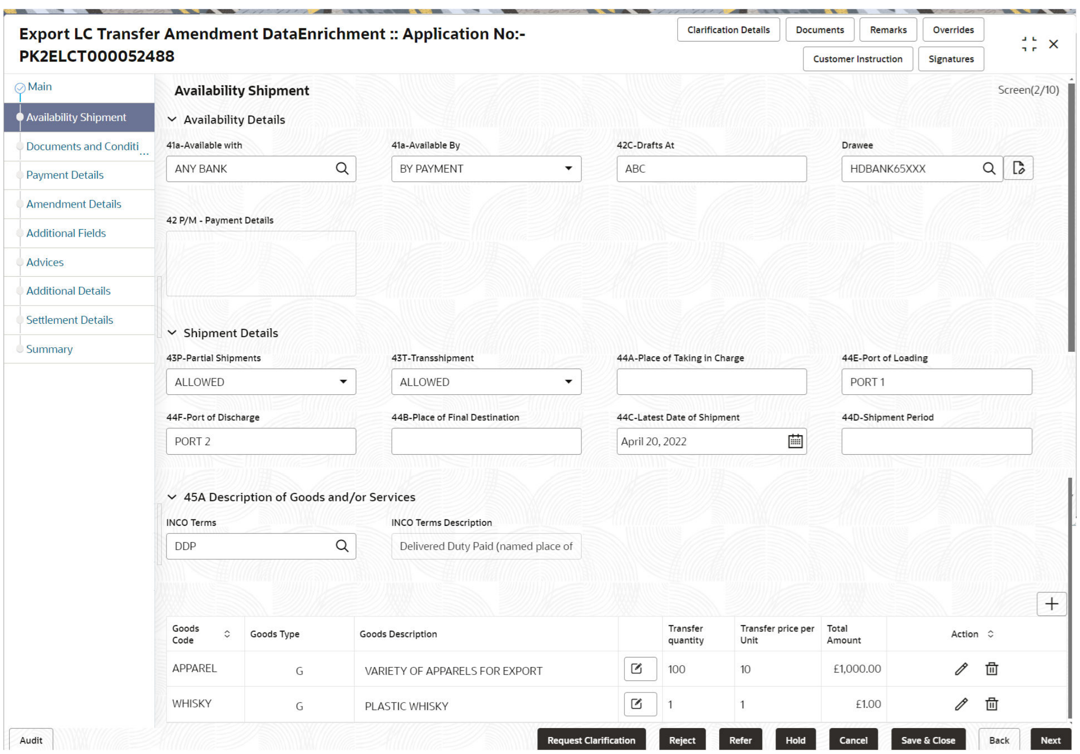
## 2.4.2 Availability Shipment

This topic provides the systematic instructions to capture the availability and shipment details.

DE user, can update/review the Availability details for Export LC Transfer Amendment.
DE user can select the respective field and should be allowed to edit/update the field. DE user can re-amend only some of the fields received from online channels.

1. On **Availability Shipment** screen, specify the fields.

**Figure 2-19 Availability**




For more information on fields, refer Table 2-10 of **Scrutiny** stage.

2. Click **Next**.

   The task will move to next data segment.
   For more information on action buttons, refer Table 2-11 of **Scrutiny** stage.

## 2.4.3 Document and Conditions

This topic provides the systematic instructions to capture the details of the documents received.

User can enter/ update Documents and conditions details for Export LC Transfer. The below fields can be modified in DE stage.

- Document Details
- Additional Conditions

**Document Details**

Documents details should default from underlying LC. If Substitute documents allowed is checked, system to give a warning message" Substitution of Documents allowed, please verify the documents".

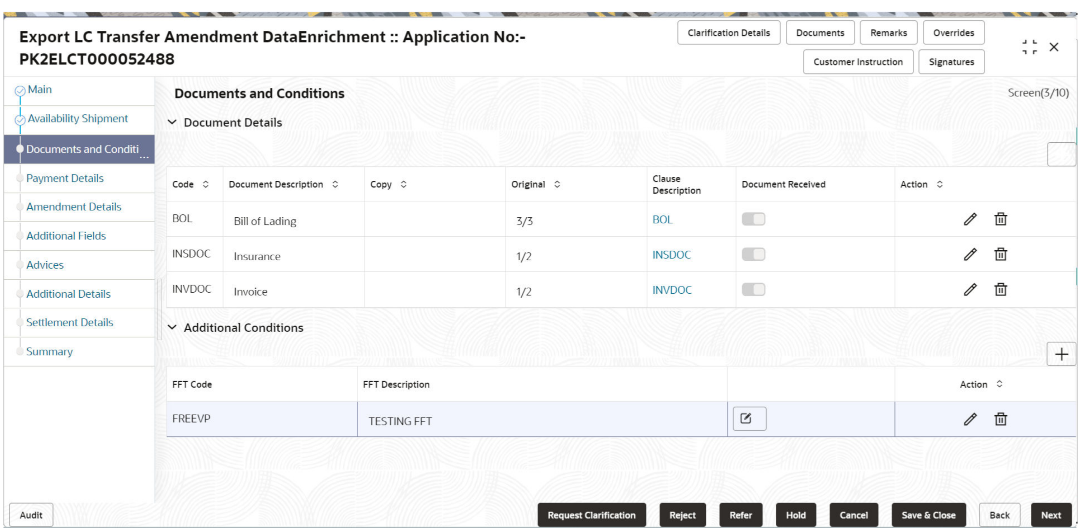
Online Channel - System will default the details received in the Description column. Based on the details populated, user can pick corresponding values for document code, originals and copy.

Non Online Channel - User can further edit (add or remove) the documents or document description as per requirement. Application will display an alert message, if both Bill Of lading'' and 'Airway Bill' are chosen. Non Online Channel - User can further edit (add or remove) the documents or document description as per requirement. Application will display an alert message, if both Bill Of lading'' and 'Airway Bill' are chosen.

Based on the 'Product' selected, Application will default the documents required under the LC. User can edit the details, delete an existing document and also add additional documents to the defaulted list.

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

**Figure 2-20 Data Enrichment - Document Details**




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

**Table 2-21 Document Details - Field Description**

| Field | Description |
| --- | --- |
| **Document Code** | Document code is auto-populated from the latest LC.<br>Click **Search** to search and select the document code based on the document received.<br>User can add or delete the code by deleting the line on the grid.<br>Click the '+' icon to add multiple document details. |
| **Document Description** | System dispalys the document description based on the document code from the latest LC. |
| **Copy** | System defaults the number of duplicate copies of documents as required in LC. User can edit the actual copies received.<br>Specify the number copies received. |
| **Original** | System defaults the number of documents in original as required in LC. User can edit the actual originals received.<br>Specify the number of original documents received. |
| **Clause Description** | System populates the description of the clause required as per LC. User can view the description of the clause by clicking the link in the 'Document Clause' column. |
| **Document Received** | Enable the option, if original document is required.<br>Disable the option, if original document is not required. |
| **Action** | Click Edit icon to edit the document details.<br>Click Delete icon to delete the document details. |

**Additional Conditions**

Online Channel - System will default the details received in the description column. System will parse the additional conditions required field into multiple line items based on line de-limiter (+) and shall populate each line item as a separate description. User can read the description and make any changes required to the description, also must be able to add more conditions.

Non Online Channel - User can use FFT to capture additional conditions and can edit the description populated from FFT. User should also be able to add additional FFT.

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

**Table 2-22 Additional Conditions - Field Description**

| Field | Description |
| --- | --- |
| **Additional Conditions** | Specify the **Additional Conditions** details.<br>Click the '+' icon to add multiple **Additional Conditions**. |
| **FFT Code** | Click **Search** to search and select the FFT code from the look up. |
| **FFT Description** | This field displays the description of the FFT code based on the selected FFT code. |
| **Action** | Click Edit icon to edit the additional condition details.<br>Click Delete icon to delete the additional condition details. |

2. Click **Next**.

   The task will move to next data segment.
   For more information on action buttons, refer to the field description table below.

**Table 2-23 Document Details - Action Buttons - Field Description**

| Field | Description |
| --- | --- |
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested. |
| **Documents** | View/Upload the required document.<br><br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Specify any additional information regarding the export lc Transfer amendment. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User can specify the clarification details for requests received online. |

**Table 2-23 (Cont.) Document Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in 'My Task' queue for further update. This option will not submit the request. |
| **Back** | Click the Back button, to go back to the previous screen. |
| **Next** | 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. |

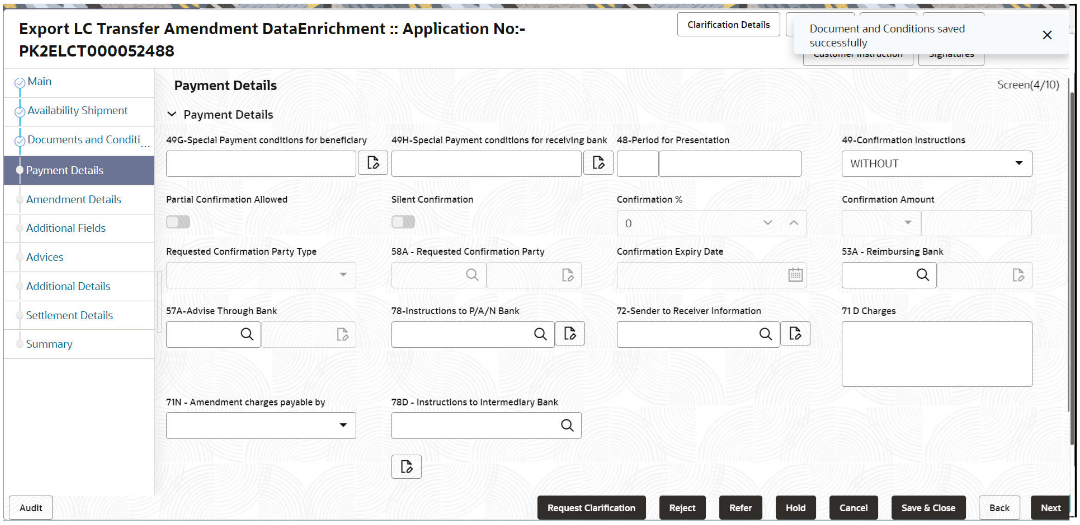
## 2.4.4 Payment Details

This topic provides the systematic instructions to initiate the Payment in Data Enrichment stage of Export LC Transfer Amendment request.

Data Enrichment user can verify and enter the basic details available in the Export LC Transfer Amendment request.

1. On **Data Enrichment - Payment Details** screen, specify the fields.

**Figure 2-21 Data Enrichment - Payment Details**




For more information on fields, refer Table 2-12 of Scrutiny stage.

2. Click **Next**.

   The task will move to next data segment.
   For more information on action buttons, refer Table 2-13 of Scrutiny stage.

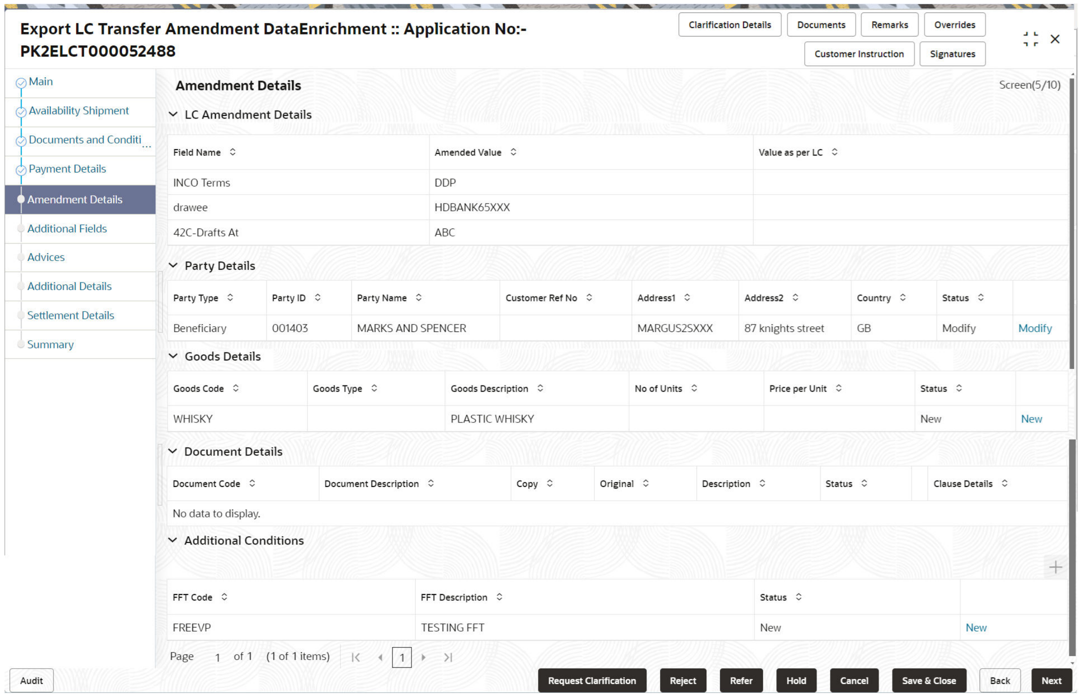
## 2.4.5 Amendment Details

This topic provides the systematic instructions to capture the Amendment Details.

DE user can verify the fields that have been amended. The user can see a snapshot of the amended fields with the old values and the LC amended value.
User can view all the field tags that have been amended in both Scrutiny and DE stage. Corresponding to the field the current latest LC value and the new amended value should be displayed.

1. On **Amendment Details** screen, specify the fields, if any.

**Figure 2-22 Amendment Details**




2. Click **Next**.

   The task will move to next data segment.
   For more information on action buttons, refer Table 2-14 of **Scrutiny** stage.

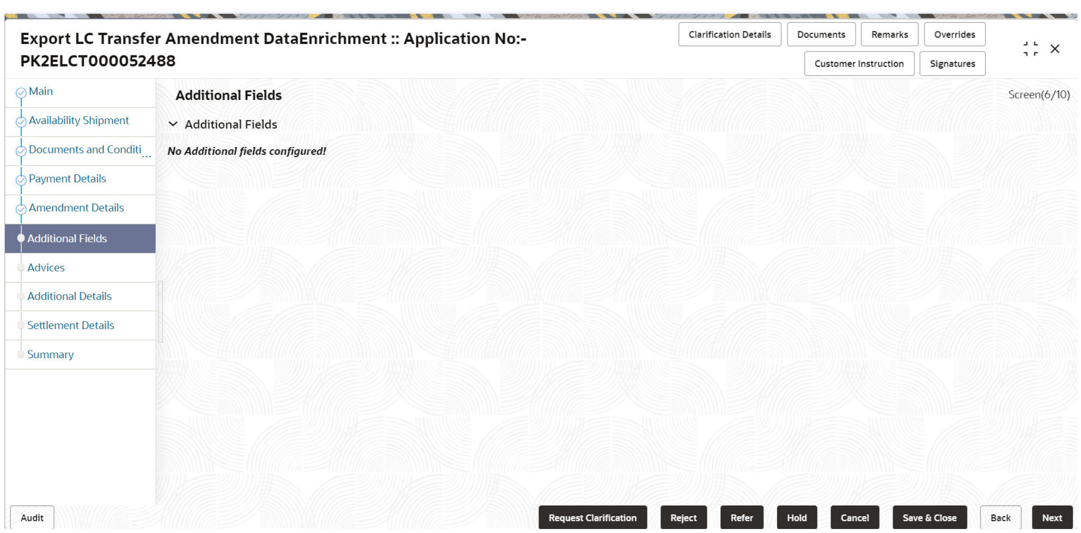
# 2.4.6 Additional Fields

This topic provides the systematic instructions to capture the additional fields.

Banks can configure these additional fields during implementation.

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

**Figure 2-23 Data Enrichment - Additional Fields**



2. Click **Next**.

   The task will move to next data segment.
   For more information on action buttons, refer Table 2-15 of **Scrutiny** stage.

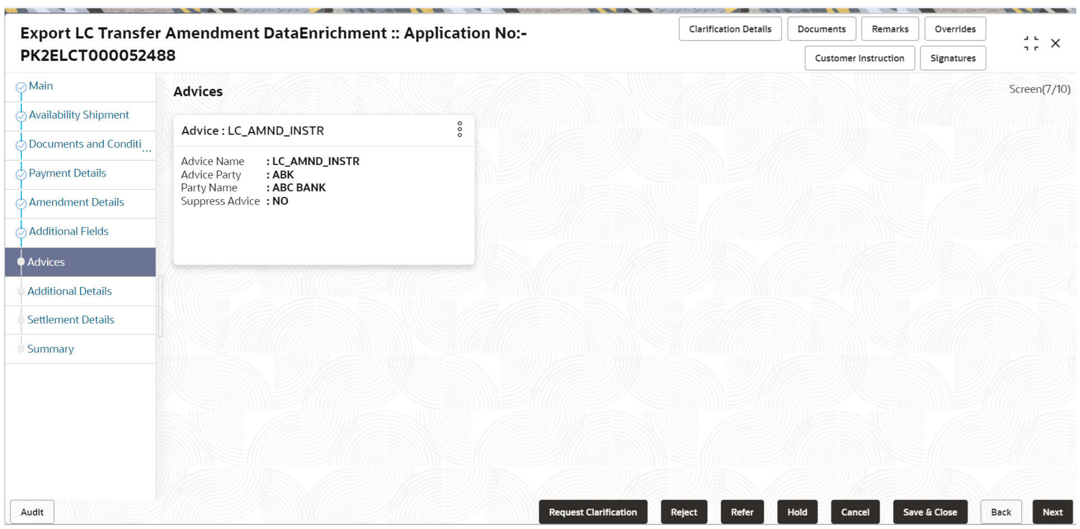
# 2.4.7 Advices

This topic provides the systematic instructions to capture the advices details of Export LC Transfer Amendment process.

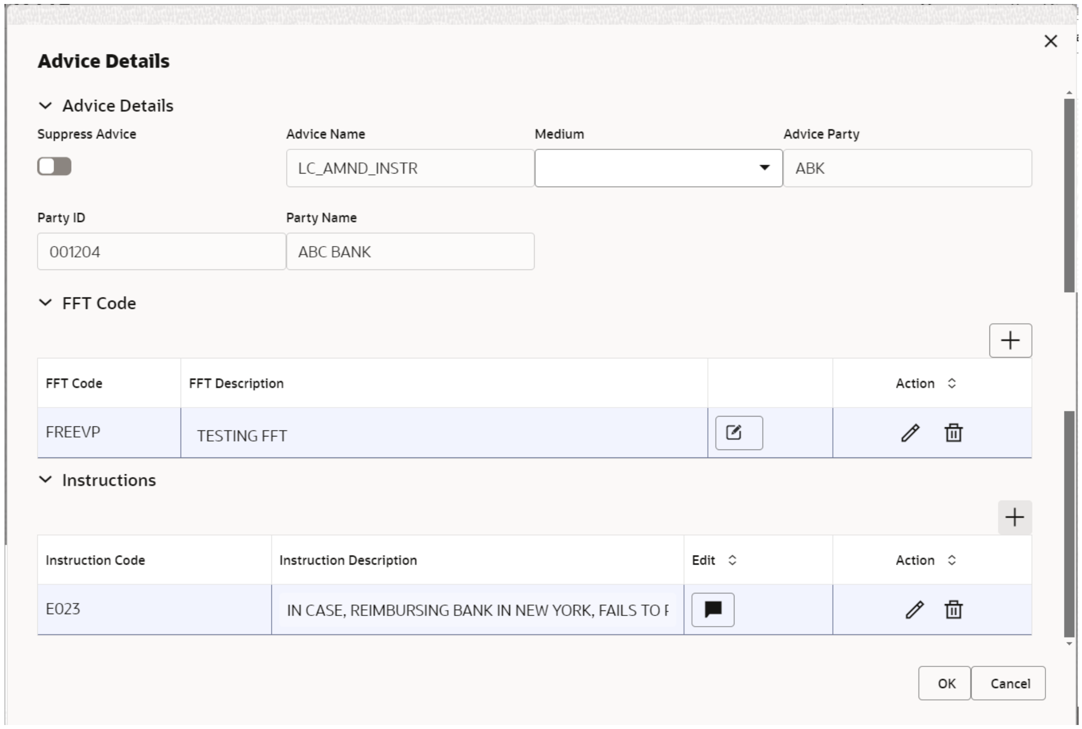
DE user can view the Advices generated during Export LC Transfer Amendment request. Advices menu displays the advices available under a product code from the back office as tiles. Some of the possible advices could be of Transfer LC Instrument (SWIFT MT 707), Transfer LC Amendment Instrument Copy, and Payment message.

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

**Figure 2-24 Advices**




**Advice Details**




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

**Table 2-24 Advice Details**

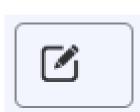
| Field | Description |
|---|---|
| **Suppress Advice** | Enable this option to suppress the advice.<br>Disable this option if suppress advice is not required. |
| **Advice Name** | Read only field.<br>Displays the advice name. |
| **Medium** | Displays the medium of advices is defaulted from the transfer LC.<br>User can update if required. |
| **Advice Party** | Read only field.<br>Displays the advice party, defaulted from the transfer LC. |
| **Party ID** | Read only field.<br>Displays the party Id defaulted from transfer LC. |
| **Party Name** | Read only field.<br>Displays the defaulted from transfer LC. |
| **FTT Code** | Specify the free format text based on the following table. |
| **FTT Code** | Click **Search** to search and select the FFT Code. |
| **FFT Description** | FFT description is populated based on the FFT code selected.<br>User can edit the FFT description. |
|  | Click edit icon to edit the existing FFT description. |

**Table 2-24 (Cont.) Advice Details**

| Field | Description |
|---|---|
| **Action** | Click edit icon to edit the existing FFT code.<br>Click delete icon to remove any existing FFT code. |
| **Instructions** | Specify the instrunction details based on the following table.<br>Click plus icon to add new instruction code. |
| **Instruction Code** | Click **Search** to search and select the instruction Code. |
| **Instruction Description** | Instruction description is populated based on the instruction code selected.<br>User can edit the instruction description. |
|  | Click edit icon to edit the existing instruction description. |
| **Action** | Click edit icon to edit the existing instruction code.<br>Click delete icon to remove any 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 2-25 Advices - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Clarification Details** | Clicking the button opens a detailed screen, user can see the clarification details in the window and the status will be Clarification Requested. |
| **Documents** | Click to View/Upload the required document.<br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Specify any additional information regarding the Export LC Transfer Amendment. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |

**Table 2-25 (Cont.) Advices - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Customer Instruction** | Click to view/ input the following<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User can specify the clarification details for requests received online. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold. User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request. |
| **Back** | Clicking on Back button, takes the user to the previous screen. |
| **Next** | 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. |

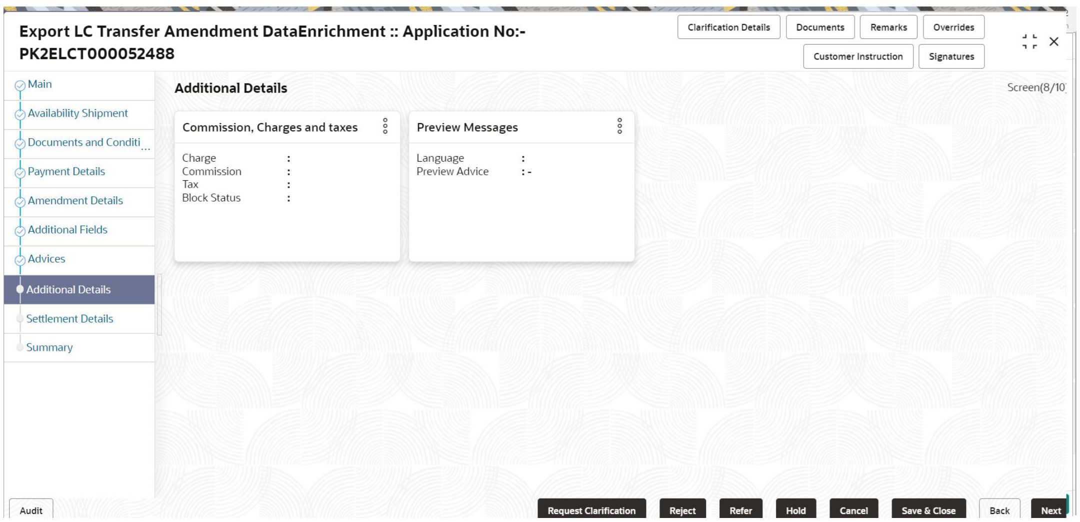
## 2.4.8 Additional Details

This topic provides the systematic instructions to capture the additional details in Data Enrichment stage of Export LC Transfer Amendment process.

A Data Enrichment user can verify and enter the basic additional details available for the Export LC Transfer Amendment request.
The various additional details should be available as tile. Each tile can be selected and the respective screen will open for the user to capture details. This is a multi-grid section with facility to attach more than one line.

1. On **Additional Details** screen, click ⋮ on any Additional Details tile to view the details.

**Figure 2-25 Additional Details**



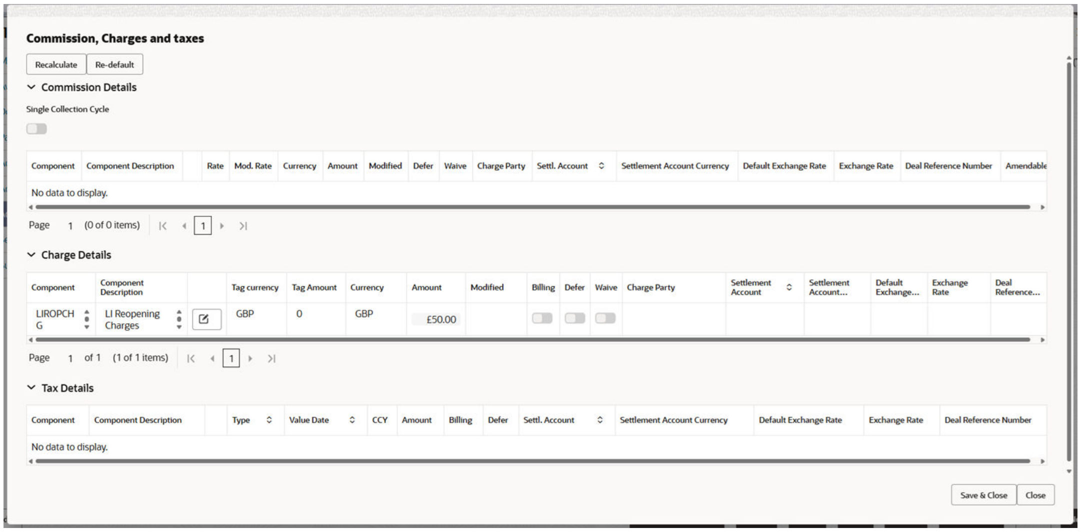

### Commission, Charges and Taxes

Landing on the additional tab, the default commission, charges and tax if any will get populated.

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

Charge Details are auto-populated from the back-end system.

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




For more information on fields, refer Table 2-16of **Scrutiny** stage.

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

**Preview Messages**
The bank user can view a preview of the message and advice simulated from back office which is based on the export LC transfer captured in the previous screen.

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

> **Note**
>
> Preview to have MT 707 as SWIFT and other advices as Mail Advice. This needs to be mentioned under Preview messages heading.

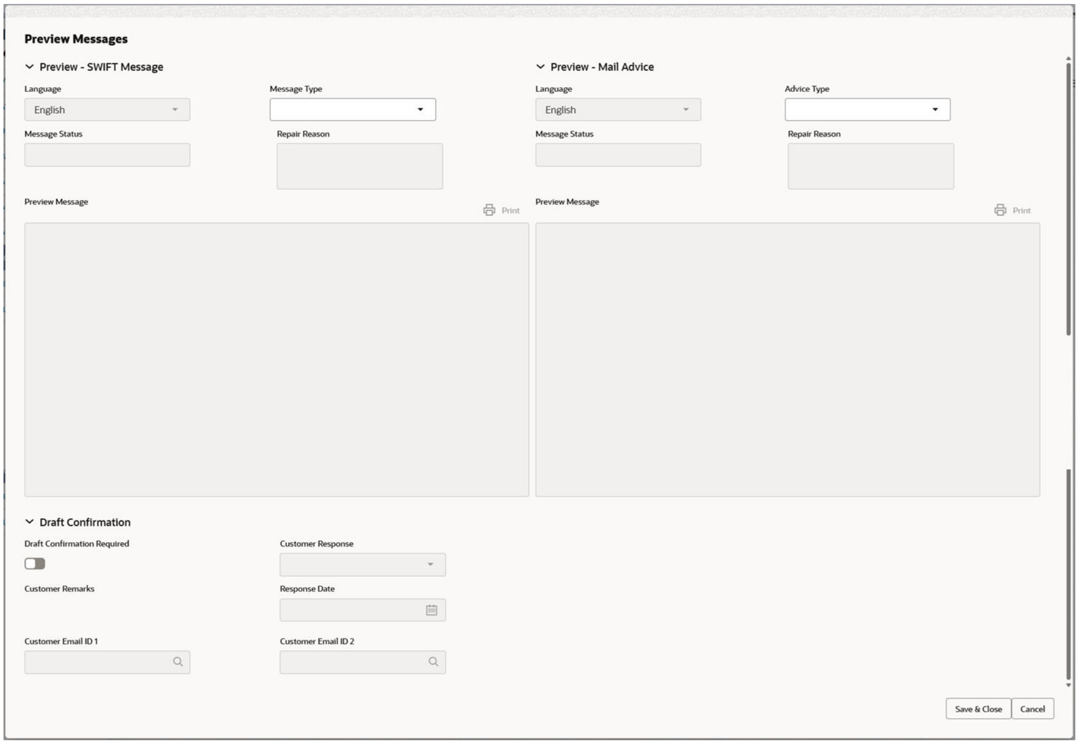
**Draft Confirmation**

The user can view the draft LC message (outgoing MT707 SWIFT message format) being displayed on the preview message text box.

If the user wants to send a copy of the draft LC for customer confirmation, the same can be done by choosing the customer response slider as ‘Yes’. On submit of the data enrichment stage the mail message to the customer will be sent.

The OBTFPM user can send the draft of the message to the registered email id of the corporate customer as an attachment containing PDF. The PDF sent to the corporate customer is protected by a password. Password to be generated with first four digits of Customer Name and last four digits of Customer Number.

The task will not move to approval but to ‘Pending customer response stage. Upon receipt of customer’s confirmation, the transaction moves to approval.




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

**Table 2-26 Preview - Field Description**

| Field | Description |
| --- | --- |
| **Preview SWIFT Message** | This section displays the preview of SWIFT message details. |
| **Language** | Read only field.<br>English is set as default language for the preview. |
| **Message Type** | Select the message type from the drop down.<br>User can choose to see preview of different message like MT 700, MT 740 and MT 701. |
| **Message Status** | Read only field.<br>This field displays the message status of draft message of transfer LC details. |
| **Repair Reason** | Read only field.<br>This field displays the message repair reason of draft message of transfer LC details. |
| **Preview Message** | This field displays a preview of the draft message. |
| **Preview Mail Advice** | This section displays the preview of mail advice details. |
| **Language** | Read only field.<br>English is set as default language for the preview. |
| **Advice Type** | Select the advice type. |
| **Message Status** | Read only field.<br>This field displays the message status of draft message of transfer LC details. |
| **Repair Reason** | Read only field.<br>This field displays the message repair reason of draft message of transfer LC details. |

**Table 2-26 (Cont.) Preview - Field Description**

| Field | Description |
|---|---|
| **Preview Message** | This field displays a preview of the advice. |
| **Print (SWIFT messages)** | If the required SMS rights are available, user can print SWIFT message previews and enquiry views, and Mail advice previews and enquiry views.<br>Printed output matches the back-office format and includes a watermark based on context: **DRAFT MESSAGE/DRAFT ADVICE** for previews and midoffice enquiries, and **COPY MESSAGE/COPY ADVICE** for back-office enquiries.<br>**Note**: If printing fails due to a technical issue (for example, printer, workstation, or connectivity issues), the system displays the error message: **“Unable to Print. Try again later !”** |
| **Print (Mail advices)** | If the required SMS rights are available, user can print Mail advice previews and enquiry views. Printed output matches the back-office format and includes a watermark based on context: **DRAFT MESSAGE/DRAFT ADVICE** for previews and midoffice enquiries, and **COPY MESSAGE/COPY ADVICE** for back-office enquiries.<br>**Note**: If printing fails due to a technical issue (for example, printer, workstation, or connectivity issues), the system displays the error message: **“Unable to Print. Try again later !”** |
| **Draft Confirmation** | This section displays the draft confirmation details. |
| **Draft Confirmation Required** | Enable the option to select if draft confirmation is required or not. Following fields will have values on receipt of customer response. |
| **Customer Response** | Specify the response received from customer.<br>If the response is received online, the response is auto populated in this field by the system. |
| **Customer Remarks** | Read only field.<br>Indicates the remarks from the customer for the draft. |
| **Response Date** | Read only field.<br>Indicates the customer response received date. |
| **Customer Email ID 1** | Indicates the email address of the customer.<br>System fetches the Email ID from Customer Address maintenance in Back office and auto populates the available Email ID. |
| **Customer Email ID 1** | By default this field is blank.<br>Click **Search** to search and select the Email ID from lookup from the Customer Email Address field of the customer maintenance in Back Office and replicated in OBTFPM. |

In case the customer asks for changes, the transaction will move to data enrichment and after necessary changes, it will move to approval.

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

   The task will move to next data segment.
   For more information on action buttons, refer Table 2-17 of **Scrutiny** stage.

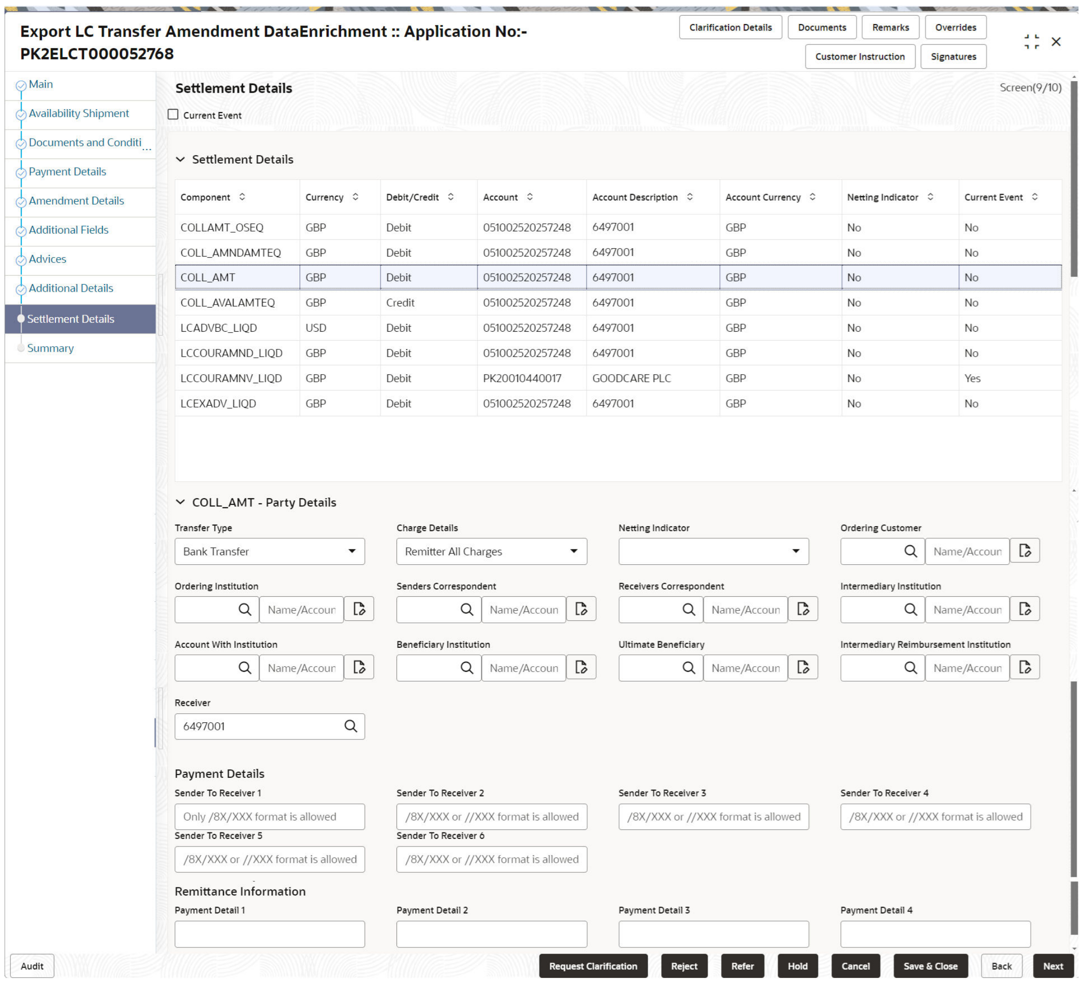
## 2.4.9 Settlement Details

This topic provides the systematic instructions to capture the settlement details of Export LC Transfer Amendment request.

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

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

**Figure 2-26 Settlement Details**




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

**Table 2-27 Settlement Details – Field Description**

| Field | Description |
|---|---|
| **Current Event** | Select the check box to populate the settlement details of the current event associated with the task. On De-selecting the check box, the system list all the accounts under the settlement details irrespective of the current event |
| **Component** | This field displays the components based on the product selected. |
| **Currency** | This field displays the default currency for the component. |
| **Debit/Credit** | This field displays the debit/credit indicators for the components. |
| **Account** | This field displays the account details for the components. |
| **Account Description** | This field displays the the description of the selected account. |
| **Account Currency** | This field displays the currency for all the items based on the account number. |
| **Netting Indicator** | This field displays the applicable netting indicator. |
| **Current Event** | This field displays the current event. |
| **Default Exchange Rate** | System displays the Default Exchange Rate as simulated in settlement details section from OBTF. |
| **Exchange Rate** | This field displays exchange rate. |
| **Deal Reference Number** | This field displays exchange deal reference number. |

2. Click any component in the grid.

**Party Details**

**Table 2-28 Party Details – Field Description**

| Field | Description |
|---|---|
| **Transfer Type** | Select the transfer type from the drop-down list.<br>The options are:<br>• **Customer Transfer**<br>• **Bank Transfer for own account**<br>• **None**<br>• **Direct Debit Advice**<br>• **Managers Check**<br>• **Customer Transfer with Cover**<br>• **Bank Transfer** |
| **Charge Details** | Select the charge details for the transaction.<br>The options are:<br>• **Beneficiary All Charges**<br>• **Remitter Our Charges**<br>• **Remitter All Charges** |
| **Netting Indicator** | Select the netting indicator for the component.<br>The options are:<br>• **Yes**<br>• **No** |
| **Ordering Customer** | Click search icon to search and select the ordering customer from the look up. |
| **Ordering Institution** | Click search icon to search and select the ordering institution from the look up. |
| **Senders Correspondent** | Click search icon to search and select the senders correspondent from the look up. |

**Table 2-28 (Cont.) Party Details – Field Description**

| Field | Description |
|---|---|
| **Receivers Correspondent** | Click search icon to search and select the receivers correspondent from the look up. |
| **Intermediary Institution** | Click search icon to search and select the intermediary institution from the look up. |
| **Account with Institution** | Click search icon to search and select the account with institution from the look up. |
| **Beneficiary Institution** | Click search icon to search and select the beneficiary institution from the look up. |
| **Ultimate Beneficiary** | Click search icon to search and select the ultimate beneficiary from the look up. |
| **Intermediary Reimbursement Institution** | Click search icon to search and select the intermediary reimbursement institution from the look up. |
| **Receiver** | Click search icon to search and select the receiver from the look up. |

**Payment Details**

**Table 2-29 Payment Details - Field Description**

| Field | Description |
|---|---|
| **Sender to Receiver 1** | Specify the sender to receiver message. |
| **Sender to Receiver 2** | Specify the sender to receiver message. |
| **Sender to Receiver 3** | Specify the sender to receiver message. |
| **Sender to Receiver 4** | Specify the sender to receiver message. |
| **Sender to Receiver 5** | Specify the sender to receiver message. |
| **Sender to Receiver 6** | Specify the sender to receiver message. |

**Remittance Information**

**Table 2-30 Remittance Information – Field Description**

| Field | Description |
|---|---|
| **Payment Detail 1** | Specify the payment details. |
| **Payment Detail 2** | Specify the payment details. |
| **Payment Detail 3** | Specify the payment details. |
| **Payment Detail 4** | Specify the payment details. |

3. Click **Next**.

   The task will move to next data segment.

**Table 2-31 Settlement Details - Action Buttons - Field Description**

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

**Table 2-31 (Cont.) Settlement Details - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the required document.<br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application. |
| **Remarks** | Specify any additional information regarding the export lc Transfer amendment. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• **Standard Instructions** – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• **Transaction Level Instructions** – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>The user can view the Customer Number and Name of the signatory, Signature image and the applicable operation instructions if any available in the back-office system. If more than one signature is required, system should display all the signatures. |
| **Request Clarification** | User can specify the clarification details for requests received online. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |

**Table 2-31 (Cont.) Settlement Details - Action Buttons - Field Description**

| Field | Description |
| --- | --- |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Cancel** | Cancel the Data Enrichment stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Save & Close** | Save the details provided and holds the task in ‘My Task’ queue for further update. This option will not submit the request. |
| **Back** | Click the Back button, to go back to the previous screen. |
| **Next** | 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. |

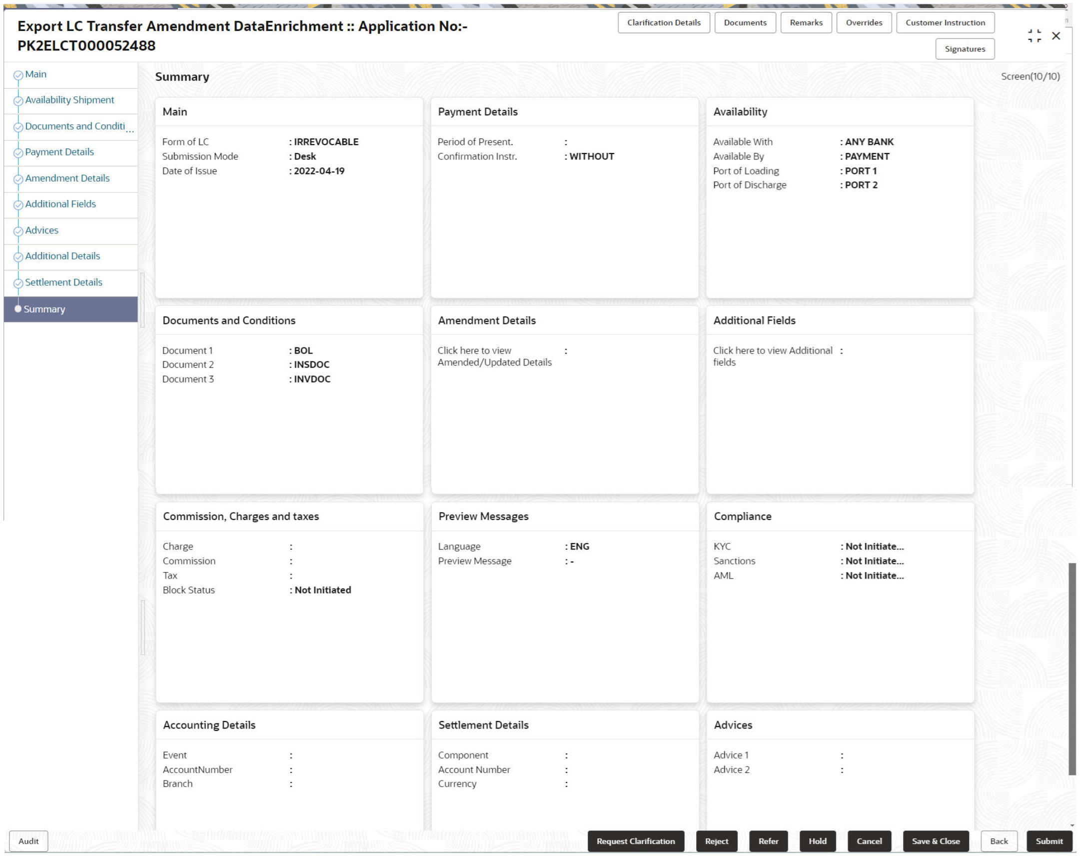
## 2.4.10 Summary

This topic provides the systematic instructions to view the summary details in Data Enrichment stage of Export LC Transfer Amendment request.

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

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

**Figure 2-27 Summary**




Tiles Displayed in Summary

- Main - User can view the application details details and Transfer LC details. User can modify the details, if required.
- Payment Details - User can view all details related to payments. User can modify the details, if required.
- Availability - User can view already captured availability and shipment details. User can modify the details, if required.
- Documents and Conditions - User can view the document details and additional condition details.
- Amendment Details - User can view the amended details.
- Additional Fields: Banks can configure the additional fields during implementation. User can view the details of additional fields.
- Commission, Charges and Taxes: User can see the details provided for charges. User can update the details if required.
- Preview Messages - User can view the preview of the message.
- Compliance - User can see the compliance details tiles. The status should be verified for KYC, AML and Sanction Checks.
- Accounting Details - User can view the accounting 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.

- Settlement Details - User can view the settlement details.
- Advices - User can view the details of the advices.

2. Click **Submit**.

   The task will move to next logical stage.
   For more information on action buttons, refer Table 2-18 of **Scrutiny** stage.

# 2.5 Exceptions

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

As per regulatory requirement, all tasks are scrutinized for KYC, Compliance and Sanctions. Task. The checks to external system/internal system is initiated after the DE Stage. The amount Block earmark and Limit Earmarks if applicable are also initiated after the DE stage.

If a negative response is received for any of the calls, the task lands in respective exceptional queue which require further manual handling/approval.

**Amount Block Exception Approval**

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

The transactions that have failed amount block due to non-availability of amount in respective account will reach the amount block exception stage.
Log in into OBTFPM application, amount block exception queue. Amount block validation failed tasks for trade transactions will be listed in the queue. Open the task to view summary of important fields with values.

On Approval, system should not release the Amount Block against each applicable account and system should handoff the “Amount Block Reference Number “to the back office. On successful handoff, back office will make use of these “Amount Block Reference Number” to release the Amount Block done in the mid office (OBTFPM) and should debit the CASA account from the Back office. If multiple accounts are applicable, Amount Block. Reference for all accounts to be passed to the back office.
Exception is created when sufficient balance is not available for blocking the settlement account and the same can be addressed by the approver in the following ways:

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

**Summary**

Tiles Displayed in Summary:

- Main - User can view the application details details and Transfer LC details.
- Availability - User can view already captured availability and shipment details.
- Documents and Conditions - User can view the document details and additional condition details.
- Payment - User can view all details related to payments.
- Amendment Details - User can view the amended details.
- Additional Fields: Banks can configure the additional fields during implementation.
- Commission, Charges and Taxes: User can see the details provided for charges.
- Preview Messages - User can view the preview of the message.
- Compliance - User can see the compliance details tiles. The status should be verified for KYC, AML and Sanction Checks.
- Settlement Details - User can view the settlement 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 2-32 Amount Bock Exception - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the required document. |
| **Remarks** | Specify any additional information regarding the Export LC Transfer Amendment. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |

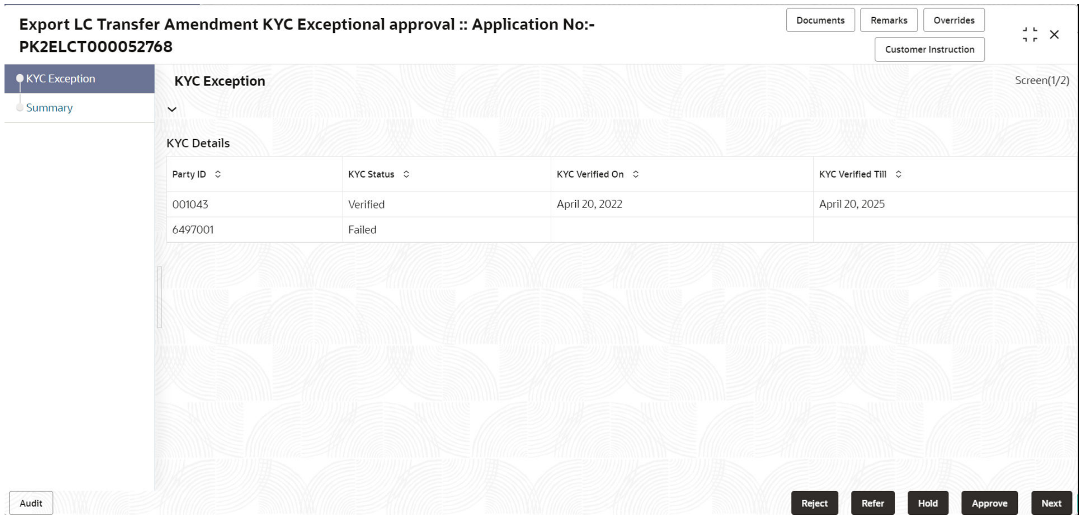
**Table 2-32 (Cont.) Amount Bock Exception - Action Buttons - Field Description**

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

### 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 OBTFPM 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.



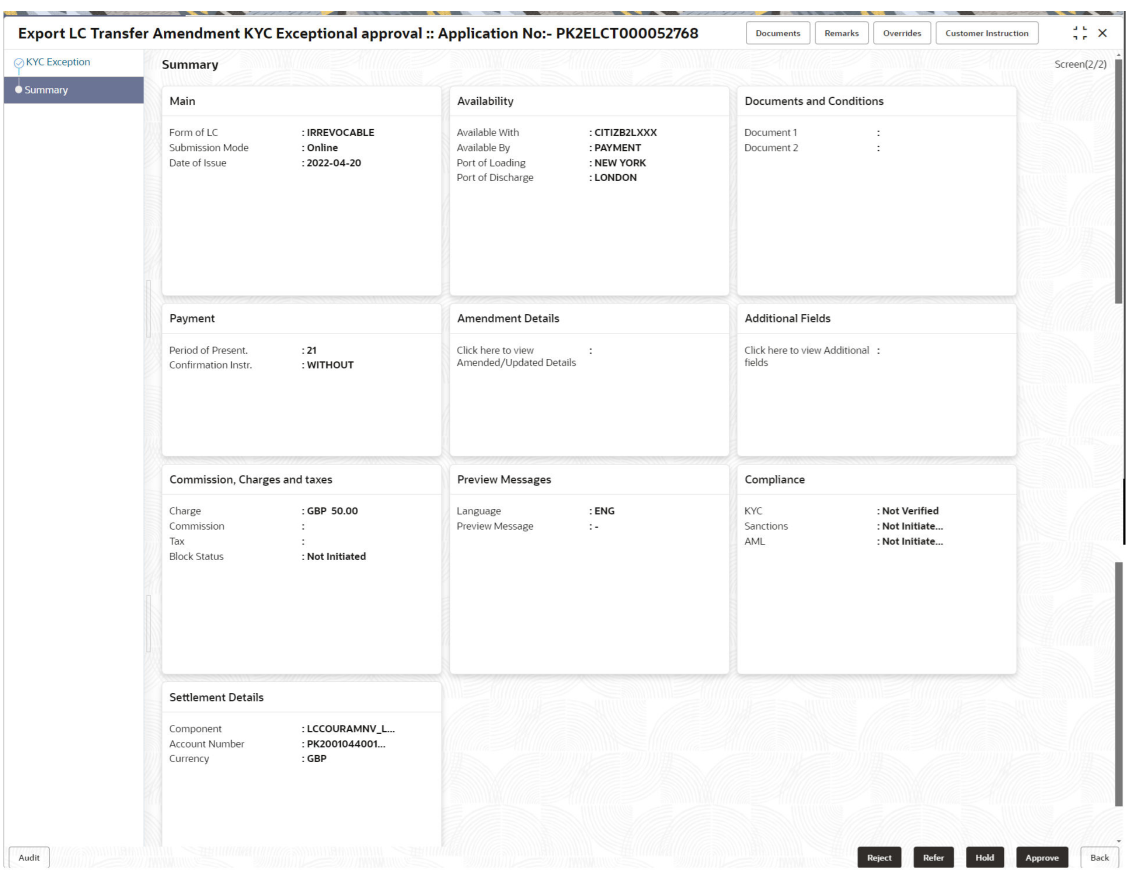

User can pick up a transaction and do the following actions:

**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**

**Figure 2-28 Know Your Customer (KYC) Exception**



Tiles Displayed in Summary:

- Main - User can view the application details details and Transfer LC details.
- Availability - User can view already captured availability and shipment details.
- Documents and Conditions - User can view the document details and additional condition details.
- Payment - User can view all details related to payments.
- Amendment Details - User can view the amended details.
- Additional Fields: Banks can configure the additional fields during implementation.
- Commission, Charges and Taxes: User can see the details provided for charges.
- Preview Messages - User can view the preview of the message.
- Compliance - User can see the compliance details tiles. The status should be verified for KYC, AML and Sanction Checks.
- Settlement Details - User can view the settlement details.

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

**Table 2-33 Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the required document. |
| **Remarks** | Specify any additional information regarding the Export LC Transfer Amendment. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |

**Table 2-33 (Cont.) Exception - Know Your Customer (KYC) Summary - Action Buttons - Field Description**

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

### 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 OBTFPM 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 - User can view the application details details and Transfer LC details.
- Availability - User can view already captured availability and shipment details.
- Documents and Conditions - User can view the document details and additional condition details.
- Payment - User can view all details related to payments.
- Amendment Details - User can view the amended details.
- Additional Fields: Banks can configure the additional fields during implementation.
- Commission, Charges and Taxes: User can see the details provided for charges.
- Preview Messages - User can view the preview of the message.
- Compliance - User can see the compliance details tiles. The status should be verified for KYC, AML and Sanction Checks.
- Settlement Details - User can view the settlement details.

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

**Table 2-34 Exception - Limit Check/Credit - Action Buttons – Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the required document. |

**Table 2-34 (Cont.) Exception - Limit Check/Credit - Action Buttons – Field Description**

| Field | Description |
|---|---|
| **Remarks** | Specify any additional information regarding the Export LC Transfer Amendment. This information can be viewed by other users processing the request.<br><br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br><br>Reject Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br><br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>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<br><br>Refer Codes are:<br><br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br><br>This option is used, if there are any pending information yet to be received from applicant. |
| **Approve** | On approve, application must validate for all mandatory field values, and task must move to the next logical stage. |
| **Back** | Task moves to previous logical step. |

# 2.6 Customer Response - Draft Confirmation

This topic helps you quickly get acquainted with the Customer Response - Draft Confirmation process.

The user can review and handle the customer's response received for the draft confirmation for Transfer LC Amendment transactions, which is sent to the customer for their verification and confirmation.
The Transaction Reference Number is masked before sending the Draft for Customer approval.

Non Online mode - User will have a physical response of the customer.

In online mode the customer will share their response online that will be automatically updated in the customer response field in the task, which is available in the customer response pending stage.

1. Log in into OBTFPM application and acquire the task to see customer response screen.

**Application**

All fields displayed under Application details section, would be read only.

- Received from Applicant Bank: Read Only field
- Received from-Customer Id: Read Only field
- Customer Name: Read Only field
- Branch: Read Only field.
- Currency Code: Read Only field
- Amount: Read Only field
- Priority: Read Only field
- Submission Mode: Read Only field
- Process Reference Number: Read Only field
- Application Date: Read Only field
- Customer Reference Number: Read Only field.

**Customer Response**

All fields displayed under Application details section, would be read only.

- Language - Read only field
- Draft Message - Read only field

**Draft Confirmation**

Draft Confirmation required - Read only field

Customer Response - This field will be available for you to update any of the below response based on the customer's reply

- Accepted
- Not Accepted (Remarks)

For non-online response – User can select customer response from one of the three drop list values mentioned above.

For Online response – Read only

Customer Remarks - The user can capture the remarks of the customer.

Response Date - Non-Online channel – The user can update the date on which the customer response has been received.

Online Channel – Read only

**Summary**

Tiles Displayed in Summary:

- Main Details - User can view the application and LC details.
- Party Details - User can view details like beneficiary, advising bank etc.
- Availability and Shipment - User can view availability and shipment details, if required.
- Payment -User can view all details related to payments.
- Documents & Condition - User can view the documents required grid and the additional conditions grid.
- Commission and Charges and Taxes: User can see the details for charges, commission and taxes.
- Preview Messages - User can view the preview details.
- Compliance - User can view compliance details. The status must be verified for KYC and to be initiated for AML and Sanction Checks.

Documents – User must be able to view the documents uploaded in the system and upload documents if customer response has been received through non- online channel.

Remarks - Capture remarks if required and must be able to view the remarks captured during earlier stages.

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

**Table 2-35 Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Documents** | View/Upload the documents uploaded in the system and upload documents if customer response has been received through non- online channel. |
| **Remarks** | Specify the remarks, if required and must be able to view the remarks captured during earlier stages. |
| **Cancel** | Cancel the Draft Confirmation. |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |

**Table 2-35 (Cont.) Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Submit** | Task will get moved to next logical stage of Export LC Transfer Amendment.<br>If mandatory fields have not been captured, system will display an error message until the mandatory fields data are provided. |

# 2.7 Multi Level Approval

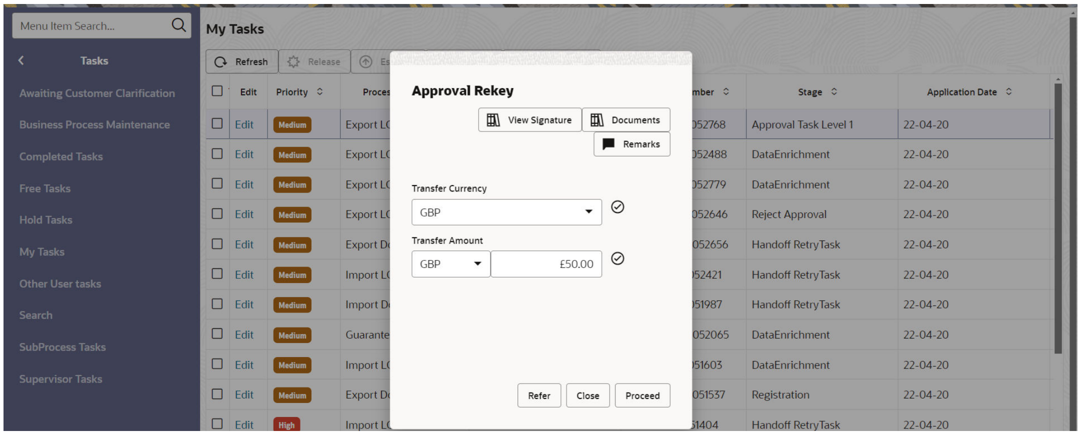
This topic helps you quickly get acquainted with the Multi Level Approval process.

This stage allows the approver user to review and approve the Export LC Transfer Amendment transaction.

1. Log in into OBTFPM application and on **Home** screen, click, **Task**.
2. Under **Task**, click **Free Task**.
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 approve the task.

   The **Approval Re-Key** pop-up screen appears.

**Figure 2-29 Approval Re-Key**




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

5. Open the task and re-key some of the critical field values from the request in the **Approval Re-Key** screen.

   Some of the fields below will dynamically be available for re-key.:

   - Transfer Currency
   - Transfer Amount

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

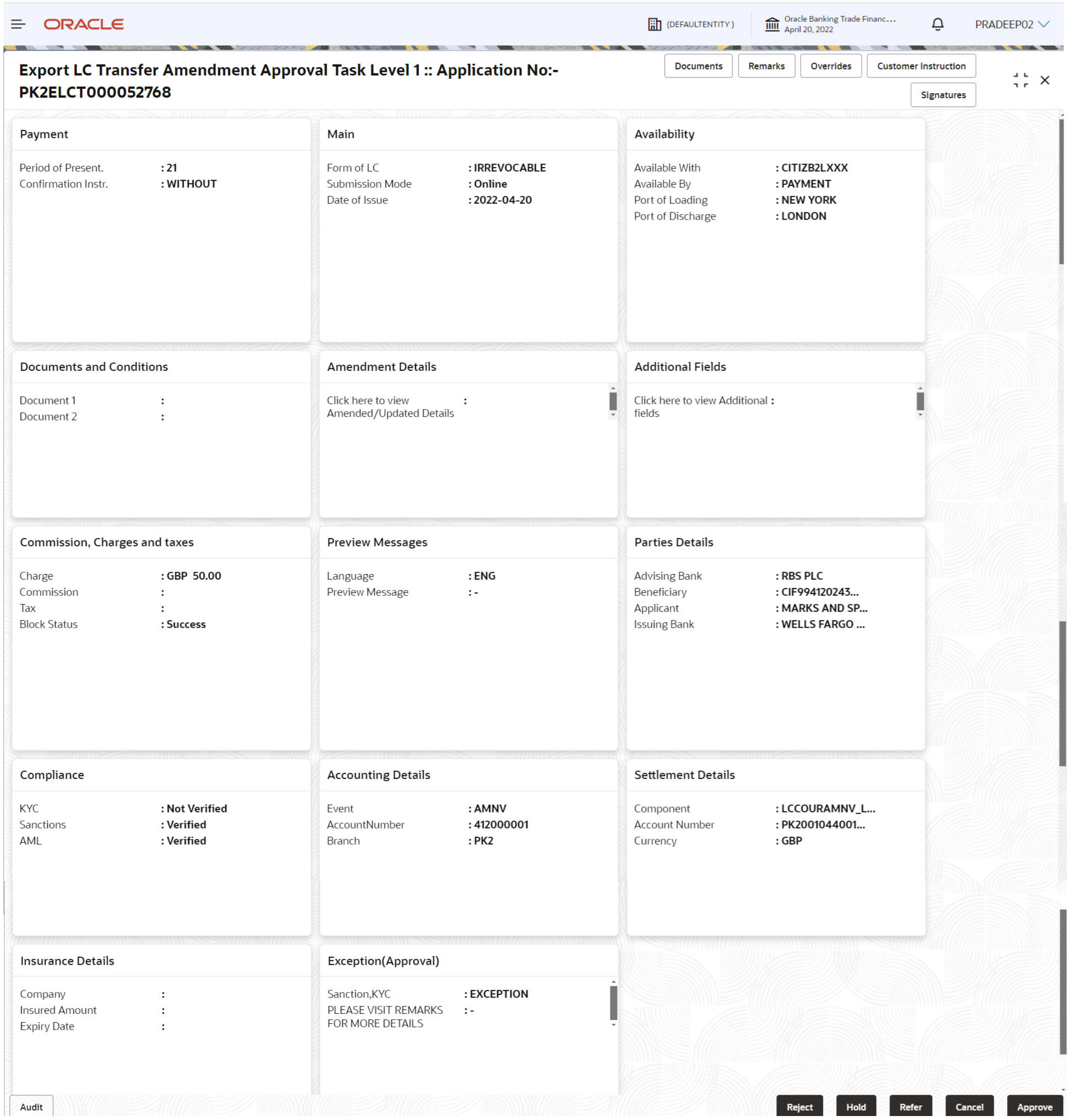
6. Click **Proceed** to proceed for the approval.

   The **Approval Summary** screen appears. The user can view the Summary tiles which displays list of important fields with values.

7. 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 OBTFM displays the Handoff failure error during the Approval of the task.

**Approval Summary**




Tiles Displayed in Summary:

- Main - User can view and modify details about application details and Export LC details. User can modify the details, if required.
- Payment - User can view all details related to payments. User can modify the details, if required.
- Availability - User can view already captured availability and shipment details. User can modify the details, if required.
- Documents and Conditions: User can to view the details of Documents and Conditions.
- Amendment Details - User can view the amended details.
- Additional Fields: Banks can configure the additional fields during implementation.
- Commission, Charges and Taxes: User can see the details provided for charges.
- Parties Details: User can see the party details like beneficiary, advising bank etc.
- Preview Messages: User can see the preview details grid.

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

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

**Table 2-36 Approval Summary - Action Buttons - Field Description**

| Field | Description |
| --- | --- |
| **Documents** | View/Upload the required document.<br>Application displays the mandatory and optional documents. The user can view and input/view application details simultaneously.<br>When a user clicks on the uploaded document, Document window get opened and on clicking the view icon of the uploaded document, Application screen should get split into two. The one side of the document allows to view and on the other side allows to input/view the details in the application |
| **Remarks** | Specify any additional information regarding the LC transfer. This information can be viewed by other users processing the request.<br>Content from Remarks field should be handed off to Remarks field in Backend application. |
| **Overrides** | Click to view the overrides accepted by the user. |
| **Customer Instruction** | Click to view/ input the following<br>• Standard Instructions – In this section, the system will populate the details of Standard Instructions maintained for the customer. User will not be able to edit this.<br>• Transaction Level Instructions – In this section, OBTFPM user can input any Customer Instructions received as part of transaction processing. This section will be enabled only for customer initiated transactions. |
| **Signatures** | Click the Signature button to verify the signature of the customer/ bank if required.<br>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.<br>If more than one signature is required, system should display all the signatures. . |

**Table 2-36 (Cont.) Approval Summary - Action Buttons - Field Description**

| Field | Description |
|---|---|
| **Reject** | On click of Reject, user must select a Reject Reason from a list displayed by the system.<br>Reject Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others<br>Select a Reject code and give a Reject Description.<br>This reject reason will be available in the remarks window throughout the process. |
| **Hold** | The details provided will be saved and status will be on hold.User must update the remarks on the reason for holding the task.<br>This option is used, if there are any pending information yet to be received from applicant. |
| **Refer** | Select a Refer Reason from the values displayed by the system.<br>Refer Codes are:<br>• R1- Documents missing<br>• R2- Signature Missing<br>• R3- Input Error<br>• R4- Insufficient Balance/Limits<br>• R5 - Others |
| **Cancel** | Cancel the Approval stage inputs. The details updated in this stage are not saved. The task will be available in 'My Task' queue. |
| **Approve** | On approve, application must validate for all mandatory field values, and task must move to the next logical stage. If there are more approvers, task will move to the next approver for approval. If there are no more approvers, the transaction is handed off to the back end system for posting. |

8. Click **Approve**.

# 2.8 Customer - Acknowledgement Format

This topic helps you quickly get acquainted with the Customer Acknowledgement process.

Customer Acknowledgment is generated every time a new Export LC Transfer Amendment is requested from the customer. The acknowledgment letter format is as follows.

To: <CUSTOMER NAME> DATE: DD-MM-YYYY

<CUSTOMER ADDRESS>

Dear Sir,

SUB: Acknowledgement to your LC Application number <CUSTOMER REFERENCE NUMBER> dated <APPLICATION DATE>

This letter is to inform you that we have received your application for issue of Export LC Transfer Amendment with the below details:

Applicant: XXXX

Beneficiary: XXXX

Currency: XXXX

Amount: XXXX

Issue Date: XXXX

We have also received the following Documents from you for processing the request:

Document Name 1

Document Name 2

Document Name n

We have registered your request. Please quote our reference < PROCESS REF NUMBER> in any future correspondence.

This acknowledgement does not constitute issuance of LC.

Thank you for banking with us.

Regards,

<DEMO BANK>

Notice: This document is strictly private, confidential and personal to its recipients and should not be copied, distributed or reproduced in whole or in part, nor passed to any third party. The information contained in this e-mail/ message and/or attachments to it may contain confidential or privileged information. If you are not the intended recipient, any dissemination, use, review, distribution, printing or copying of the information contained in this message and/or attachments to it are strictly prohibited. If you have received this communication in error, please notify us by reply e-mail or telephone and immediately and permanently delete the message and any attachments.

Thank you

## 2.9 Customer - Reject Advice

This topic helps you quickly get acquainted with the Customer - Reject Advice.

Reject Letter is generated by the system and addressed to the customer, when a task is rejected by the user. The Reject Letter format is as follows.

FROM:

<BANK NAME>>

<BANK ADDRESS

To: <CUSTOMER NAME> DATE: DD-MM-YYYY

<CUSTOMER ADDRESS>

<CUSTOMER ID>

Dear Sir,

SUB: Your Export LC Transfer Amendment application <Customer Reference Number> under our Process Ref <Process Ref No> - Rejected

Further to your recent Export LC Transfer Amendment application request dated <Application Date -DD/MM/YYYY>, under our process ref no <process ref no>, this is to advise you that we will not be able to issue the required Export LC Transfer Amendment.

After a thorough review of your application and the supporting documents submitted, we have concluded we will not be able to issue the LC due to the below reason

<Reject Reason > On behalf of Demo Bank, we thank you for your ongoing business and trust we will continue to serve you in future.

For any further queries about details of your Export LC Transfer Amendment application review, please contact us at our bank customer support ph.no xxxxxxxxxxxx
Yours Truly

Authorized Signatory

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