

Oracle® Banking Treasury Management

Core Entities and Services User Guide



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Preface

This topic contains the following sub-topics:

- [Purpose](#)
- [Audience](#)
- [Documentation Accessibility](#)
- [Critical Patches](#)
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- [Conventions](#)
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- [Acronyms and Abbreviations](#)
- [Basic Actions](#)
- [Symbols and Icons](#)

Purpose

This manual is designed to help you to quickly get acquainted with the Core Services module of Oracle Banking Treasury.

This User Manual is a supplement to the *Common Core - Core Entities and Services User Manual*. It only contains specific functionality and information related to Oracle Banking Treasury Management Core Entities. Hence, this document should be read in conjunction with the *Common Core - Core Entities and Services User Manual* from the perspective of completeness in flow and understanding.

Audience

This guide is intended for Back Office Data Entry Clerk, Back Office Managers/ Officers, Product Managers, End of Day Operators, and Financial Controller users.

Documentation Accessibility

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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.

Related Resources

For more information, see these Oracle Banking Treasury Management resources:

- *The Procedures User Manual*
- *The Settlement User Manual*
- *The Common Core- Entities and Services User Manual*

Conventions

The following text conventions are used in this document:

Table 1 Conventions and Meaning

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

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 acronyms and abbreviations are listed in this below table:

Table 2 Acronyms and Abbreviations

Abbreviations or Acronyms	Definition
AEOD	Automated End of Day
AIF	Alternative Investment Fund
CLS	Continuous Linked Settlement
CIF	Customer Information Files
DV	Derivatives
DR	Debit
EOFI	End of Financial Input
ECA	External Credit Approval
ESMA	European Securities and Markets Authority
FATCA	Foreign Account Tax Compliance Act,
FCY	Foreign Currency
FX	Foreign Exchange
GL	General Ledger
HIRE	Hiring Incentives to Restore Employment
HTTP	Hypertext Transfer Protocol
IRS	Internal Revenue Service
ICCB	Interest Commission Charge and Fee
LCY	Local Currency
MM	Money Market
OBTR	Oracle Banking Treasury Management
OT	Over the Counter Options
UCITS	Undertaking for Collective Investment in Transferable Securities

Basic Actions

Table 3 List of Basic Actions

Action	Description
Approve	Click Approve to approve the initiated report. This button is displayed, once the user click Authorize .
Audit	Click Audit to view the maker details, checker details of the particular record, and record status. This button is displayed only for the records that are already created.
Authorize	Click Authorize to authorize the record created. A maker of the screen is not allowed to authorize the report. Only a checker can authorize a record. This button is displayed only for the already created records.
Close	Click Close to close a record. This action is available only when a record is created.
Confirm	Click Confirm to confirm the performed action.
Cancel	Click Cancel to cancel the performed action.

Table 3 (Cont.) List of Basic Actions

Action	Description
Compare	Click Compare to view the comparison through the field values of old record and the current record. This button is displayed in the widget, once the user click Authorize .
Collapse All	Click Collapse All to hide the details in the sections. This button is displayed, once the user click Compare .
Expand All	Click Expand All to expand and view all the details in the sections. This button is displayed, once the user click Compare .
New	Click New to add a new record. The system displays a new record to specify the required data. Note: The fields which are marked in asterisk red are mandatory fields.
OK	Click OK to confirm the details in the screen.
Save	Click Save to save the details entered or selected in the screen.
View	Click View to view the report details in a particular modification stage. This button is displayed in the widget, once the user click Authorize .
View Difference only	Click View Difference only to view a comparison through the field element values of old record and the current record, which has undergone changes. This button is displayed, once the user click Compare .

Symbols and Icons

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

Table 4 Symbols and Icons - Common

Symbol/Icon	Function
	Minimize
	Maximize
	Close
	Perform Search
	Open a list
	Navigate to the first record
	Navigate to the last record
	Navigate to the previous record

Table 4 (Cont.) Symbols and Icons - Common

Symbol/Icon	Function
	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
	New
	Enter query
	Execute query
	Copy
	Delete
	Save
	Search
	Advanced search
	Clear all

Table 4 (Cont.) Symbols and Icons - Common

Symbol/Icon	Function
	Reset
	Export
	Print
	View Details
	Sorting

Table 5 Symbols and Icons - Widget

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

1

Core Maintenance

As part of enabling the module Oracle Banking Treasury Management, there are several maintenance to be performed. These maintenance have been elaborated upon in the sections given below.



Note:

All fields with asterisk (*) symbol are mandatory.

This topic contains the following sub-topics:

- [Prerequisites for the Application Login](#)
This topic provides the systematic instructions to login to the application to access all of the features.
- [Define a New Product and Static Data](#)
This topic provides the systematic instructions to define a new product and static data.
- [Maintain an Existing Product and Static Data](#)
This topic provides the systematic instructions to maintain an existing product and static data, or to revisit the data saved as draft.
- [Treasury Bank Parameters Maintenance](#)
This topic describes the systematic instructions to maintain the basic information about your bank such as its name, head office. The details that you maintain in this screen can be made applicable to all branches of your bank.
- [Treasury Branch Parameters Maintenance](#)
This topic describes the systematic instructions to maintain branch parameters.
- [Maintain Period Code](#)
This topic describes the systematic instructions to maintain period code.
- [Maintain Mandatory Information](#)
This topic describes the Mandatory Information Maintenance feature to capture other mandatory information such as location details of the customer apart from Customer Information Files (CIF records) for each entity.
- [Maintenance of Treasury Customer Details](#)
This topic describes the systematic instructions to maintain the additional details of the customer.
- [Process Customer Classification Maintenance](#)
This topic describes the systematic instructions to process customer classification maintenance.
- [Maintain Address Code](#)
This topic describes the systematic instructions to maintain address code of the customers.
- [Maintain Treasury Relationship Maintenance](#)
This topic describes the systematic instructions to maintain the type of relation with the customer.

- [Maintain Customer Spreads](#)
This topic describes the systematic instructions to maintain customer spreads.
- [Treasury Customer Spread Maintenance](#)
This topic describes the systematic instructions to maintain customer spread.
- [Treasury MIS Head Maintenance](#)
This topic describes the systematic instructions to maintain MIS Head.
- [Maintain Allowed List of MIS Codes](#)
This topic describes the systematic instructions to maintain allowed list of MIS Codes.
- [Treasury Product Group Maintenance](#)
This topic describes the systematic instructions to maintain product groups.
- [Maintain Transaction Limits](#)
This topic describes the systematic instructions to maintain transaction limits.
- [Treasury Product Restrictions](#)
This topic describes the systematic instructions to maintain product restrictions.
- [Maintain FATCA Product](#)
This topic describes the systematic instructions to maintain FATCA product.
- [Treasury Status Code Maintenance](#)
This topic describes the systematic instructions to maintain status code which indicates whether the status codes are maintained for an Account, Contract, or for both.
- [Treasury Group Code Maintenance](#)
This topic describes the systematic instructions to maintain Group Code which is used to track exposure due to loans issued to customers in the group, as well as customer accounts with outstanding overdrafts.
- [Maintain Treasury Risk Category](#)
This topic describes the systematic instructions to maintain risk category for Customers.
- [Process Risk Percentage Details](#)
This topic describes the systematic instruction to process risk percent details to track the risk weighted amount for FX, Derivatives, and Options products by attaching a risk percent to it.
- [Process Treasury Dealer Maintenance](#)
This topic describes the systematic instructions to define dealer Identification.
- [Treasury External Service Maintenance](#)
This topic describes the systematic instruction to maintain external service.
- [Treasury Core Entity Error Queue](#)
This topic describes the systematic instructions to process core entity error queue.
- [Start the Background Process](#)
This topic describes the systematic instructions to start or stop the background process.
- [Notification Process](#)
This topic describes the notification process for processing the parameters.
- [Process Notifications Enroute](#)
This topic provides the systematic instructions to process Notifications Enroute.
- [Process Notification Messages](#)
The topic provides the systematic instructions to process notification messages.
- [Process ECA Block Details](#)
This topic provides the systematic instructions to process ECA Block Details.

- [Process Feature](#)
This topic describes the systematic instructions to process features.
- [Maintain Feature ID](#)
This topic describes the systematic instructions to maintain Function ID that should be installed in the branch.
- [Process Confirmation/ Affirmation Type Maintenance](#)
This topic describes the systematic instructions to process and maintain different confirmation and affirmation types.
- [Floating Rates Maintenance](#)
This topic describes the systematic instructions to process floating rate maintenance.

1.1 Prerequisites for the Application Login

This topic provides the systematic instructions to login to the application to access all of the features.

To login to the application, perform the following:

1. Enter the **User ID**.
2. Enter the **Password**.

The Home page is displayed.

1.2 Define a New Product and Static Data

This topic provides the systematic instructions to define a new product and static data.

To define a new product and static data, on the respective Maintenance screen follow this procedure:

1. Click **New** at the top of the screen.
2. Enter the values in the required fields.
3. Click **Save** to create the product with the new details.
4. Click **Hold** to save the details as draft.

1.3 Maintain an Existing Product and Static Data

This topic provides the systematic instructions to maintain an existing product and static data, or to revisit the data saved as draft.

1. Click **Enter Query** at the top of the respective Maintenance screen.
2. Enter the unique Code or Id of the product to define a static data.
3. Click **Execute Query** to view the existing details of the product or static.
4. Click **Unlock** to enable the screen for editing the details.
5. Review the saved existing values saved or kept on hold.
6. Enter new values for the fields if required..
7. Click **Save** to update the product and static data with the new details.

1.4 Treasury Bank Parameters Maintenance

This topic describes the systematic instructions to maintain the basic information about your bank such as its name, head office. The details that you maintain in this screen can be made applicable to all branches of your bank.

1. On the Home page, enter **STDTRBNK** in the text box, and click next arrow.
The **Treasury Bank Parameters Maintenance** screen is displayed.

Figure 1-1 Treasury Bank Parameters Maintenance

2. On the **Treasury Bank Parameters Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-1 Treasury Bank Parameters Maintenance

Field	Description
Bank Code and Bank Name	Specify the bank code maintained in the Bank Core Parameters Maintenance (STDTRBNK) screen.
Fatca Applicable	Select this field to enable FATCA processing.
Discount Currency	Specify the discount currency.
Legal Entity Identifier	Specify the unique global identifier for legal entities participating in financial transactions to identify the legal entities on a globally accessible database.
Nature of the Entity	Select the nature of the entity from the drop down list. The available options are: • Central Counterparty - a legal person that interposes itself between the counterparties to the contracts traded on one or more financial markets, becoming the buyer to every seller and the seller to every buyer. • Financial - includes banks, investment managers, insurance companies or brokers. • Non Financial - includes all entities that are not Financial Counterparties This field Indicate if the Bank Entity is a Central Counterparty , a financial, non-financial counterparty or other type of counterparty

Table 1-1 (Cont.) Treasury Bank Parameters Maintenance

Field	Description
Sector	Specify the nature of the company activities. If the counterparty is a financial counterparty, this field contains all necessary codes included in the Taxonomy for Financial Counterparties. The Existing Type names mapped to Type Sector maintained in Treasury Static type maintenance (CODTRTYP) screen are populated in this field.
Sector Description	This field display Description of the sector from the Type value maintained in Treasury Static type maintenance (CODTRTYP) screen.

1.5 Treasury Branch Parameters Maintenance

This topic describes the systematic instructions to maintain branch parameters.

1. On the Home page, enter the **STDTRBRN** in the text box, and click next arrow.
The **Treasury Branch Parameters Maintenance** screen is displayed.

Figure 1-2 Treasury Branch Parameters Maintenance

2. On the **Treasury Branch Parameters Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-2 Treasury Branch Parameters Maintenance- Field Description

Field	Description
Branch Code	Select the branch code from the available list of values.
Parent Branch	Specify the name of the parent branch. This is the name of the office or branch, the code of which is input.

Table 1-2 (Cont.) Treasury Branch Parameters Maintenance- Field Description

Field	Description
Customer Identity	Select the customer identity number of the branch from the available list of values.
Branch Name	Displays the branch name for the selected branch code.
Individual Certificate Required	Select the Individual Certificate Required check box, if individual certificate is required for the branch.
Netting Suspense General Ledger	Select the general ledger code from the available list of values. The net amount of the settlement is transferred through the Nostro accounts. For example, let us take the following two outstanding contracts entered into by bank A from bank B and both contracts settling on January 10, 1998. Bank A bought 1 Million USD from bank B in exchange for 35 Million INR and sold 1/2 million USD to bank B in exchange for 18 million INR. The above contracts can be settled in either of the two ways given below, on the settlement date: Settle both contracts separately or Net the settlements of the two contracts.
Internal Swap Customer	Specify an internal swap customer for processing internal swaps. The names of all the customers of your bank will be displayed in the option-list provided. This will be a unique customer meant for processing internal swaps.
Back Value Days	If you enable the Back Value Check Required option, you must indicate the number of calendar days up to which back-valued transactions can be allowed. During transaction processing you will be allowed to post back-valued transactions up to the specified date in the past (no check will be done). Further, if the option is checked but you have not maintained the Back Value Days' (maintained as NULL), the system interprets it to be 'Zero' days allowed (for back valued transactions). The restriction for the maximum period up to which back valued posting can be allowed, and made available on the transactions.
Default Bank Operation Code	Select the default bank operation code from the available list of values for the required Payment Message.
Track Previous Year Profit and Loss Adjustment	Select the Track Previous Year Profit and Loss Adjustment check box to track the previous year profit and loss adjustment.
Proceed with Previous Available rate	By Default the Proceed with Previous Available rate is selected. In this case during EOD processing, the system checks for rate availability for that particular effective date in the floating rate table and if rates are not available for that date, then rate revision event is applied on contracts with the previous latest rate available in the system. When the check box is not enabled, then during EOD processing, the system skips Rate fixing and revision event process on respective contracts in case when the rate for that effective date is not available. Once rates are available/uploaded in system then user has an option to execute rate-fixing process on adhoc basis.
Back value Check Required	Select the Back value Check Required check box to enable the back value check.
Default Bank Operation Code	Select the default bank operation code from the available list of values.

Table 1-2 (Cont.) Treasury Branch Parameters Maintenance- Field Description

Field	Description
Cutoff Time (In Minutes)	Specify the cutoff time in minutes which is used for deciding whether the deal falls with the cut off or not in minutes. Validation is available to ensure that the value maintained in this field does not accept any decimal value or negative values.

- On the **Treasury Branch Maintenance** screen, click **LCY Message Preference** available at the bottom of the screen.

The **Branch Parameters LCY Message Preferences** screen is displayed.

Figure 1-3 Branch Parameters LCY Message Preferences

- On **Branch Parameters LCY Message Preferences**, specify the fields.
For more information on fields, refer to the below table.

Table 1-3 Branch Parameters LCY Message Preferences- Field Description

Field	Description
Branch	Displays the branch code.
Description	Displays the branch description.
Module	Specify the module code.
Module Description	Specify description of the module.
Local Currency Message Type	Select the local currency message from the drop-down list, the available options are: • Suppress LCY • Generate LCY Message Through SWIFT • General Local Payments

1.6 Maintain Period Code

This topic describes the systematic instructions to maintain period code.

Banks, like all business houses compute their profits and losses and assess their financial position at the end of each financial year, which typically extends to 12 months- from January

to December or from March to April. However, this could be changed, depending upon the Bank's policies and regulatory requirements.

For interim reporting needs, the financial year is further divided into accounting periods, the duration of which is again determined by the bank's accounting requirements. For example, your bank's Board of Directors meets once a month therefore, you would divide the financial cycle into monthly periods.

The system also offers you the flexibility of keeping a financial period/financial cycle open, allowing you to post adjustments to it and obtain a revised profit or loss statement/balance sheet. You can maintain these details in the **Treasury Period Code Maintenance** screen.

The financial year and the accounting periods are referred to in the Treasury system as the 'Financial Cycle' and the 'Financial Periods' respectively and are maintained at the bank level by your Head Office branch. At the end of each financial period and financial cycle you can generate profit and loss statement and a balance sheet.

1. On the Home page, specify **STDTRPRC** in the text box, and click next arrow.

The **Treasury Period Code Maintenance** screen is displayed.

Figure 1-4 Treasury Period Code Maintenance

Treasury Period Code Maintenance

New Enter Query

Financial Cycle

Financial Cycle *
Description
Start Date *
End Date *

Period Group

Period Code * Start Date End Date *

No data to display.

Page 1 (0 of 0 items) |< 1 >|

Audit Exit

2. On the **Treasury Period Code Maintenance** screen, specify the fields.

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

The financial cycle of your bank giving the start date and end date of each financial year.

The period group - financial periods into which each financial cycle is to be divided.

Table 1-4 Treasury Period Code Maintenance - Field Description

Field	Description
Financial Cycle	Specify the financial cycle code. For each financial cycle you maintain the following parameters: This is a code for the financial cycle. It acts as an identifier for the cycle. For example, while posting adjustments into a previous financial cycle- you would identify the year through this code. Input the code using a maximum of 9 characters, alphanumeric. For example, the financial cycle extends from 1st April to 31st March in India. A bank here could define its code for the year 1996-97 as FY 1996-97.
Description	This describes the financial cycle. Enter description using a maximum of 35 characters, alphanumeric. Taking the above example, you could enter Financial Year - 1996-97.
Start Date	Displays the first day of this financial cycle.
End Date	Select the last day in the calendar of this financial cycle.
Period Group	Specify the below period group fields. The financial cycle defined above, can be divided into different accounting periods. To define individual accounting periods click on the first row under period code. A period called FIN is created by the system. This is an open ended period coinciding with the last day of the financial cycle. You can maintain the following parameters for each accounting period within a financial cycle:
Period Code	Specify the period code. This code identifies the accounting period. Enter a code using a maximum of 3 characters, alphanumeric. For example, if your period length is a quarter you can enter - Q1 for the first period; Q2 for the second; Q3 for the third and so on. If your period length is a bimonthly you can enter BM1, BM2. If your period length coincides with a month you can input M1 and M2.
Start Date	Indicates the first day of the corresponding period.
End Date	Indicates the last date of the corresponding period. End date of a period should always end on a month end. Note: - The period codes could be of varying lengths but no gaps should be left between periods - The duration of two periods should not overlap - You can modify the period code of the current or a future period; however, a past period cannot be modified even if it has not been closed - All details maintained in the Period Code Screen are automatically applied to any new branch opened by you in the Branch Parameters Screen - The current financial cycle code and the current period code are displayed in the Treasury Branch Parameters Maintenance screen

1.7 Maintain Mandatory Information

This topic describes the Mandatory Information Maintenance feature to capture other mandatory information such as location details of the customer apart from Customer Information Files (CIF records) for each entity.

As part of capturing customer related information in Treasury you need to maintain Customer Information Files (CIF records) for each entity who is a customer of your bank. Apart from creating CIF records for each entity you need to maintain certain mandatory information. These details have been discussed in the preceding sections.

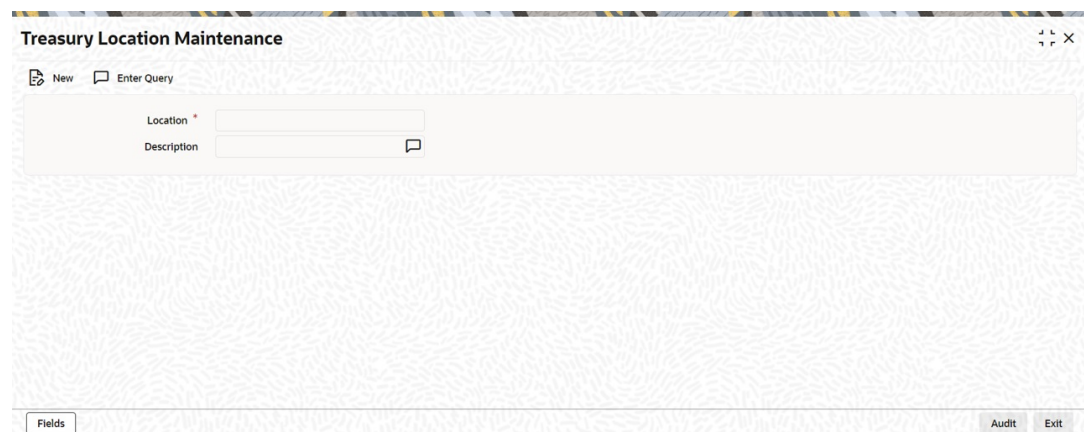
This topic contains following sub-topic:

- [Maintain Location Details](#)

1.7.1 Maintain Location Details

1. On the Home page, enter **STDTRLOC** in the text box, and click next arrow.
The **Treasury Location Maintenance** screen is displayed.

Figure 1-5 Treasury Location Maintenance



2. On the **Treasury Location Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-5 Treasury Location Maintenance- Field Description

Field	Description
Location	Specify the location details. You can capture a unique three-character code to identify the locality where the customer resides. Note: While maintaining customer information details and associating a location code with a customer and country code combination, a list of all the valid location codes you have maintained in this screen is available in the option list for the location code field. You can select the appropriate code.
Description	Specify a brief description with the location code. This description is for information purposes only and not printed on any customer correspondence. Note: While maintaining the Customer Short Name in the CIF Details screen the system automatically appends the Location code to the customer short name when you associate the appropriate Location Code with the Customer Code.

1.8 Maintenance of Treasury Customer Details

This topic describes the systematic instructions to maintain the additional details of the customer.

1. On the Home page, specify **STDTRCIF** in the text box, and click next arrow.
The **Treasury Customer Additional Detail Maintenance** screen is displayed.

Figure 1-6 Treasury Customer Additional Detail Maintenance

Treasury Customer Additional Details Maintenance

NewEnter Query

Customer No *

Customer Name

Customer Category *

Front Office Short Name

Front Office Long Name

Relationship Pricing☐

MainAdditionalESMA DetailsProprietary Codes

Settlement Parameters

CLS Participant☐

Credit Check Parameters

Credit Check Required☐

Multiple Swift Confirmation Parameters

Fund Type Customer☐

Custodian BIC Code

Settlement Member BIC Code

Generate Confirmation Message to

☐ Custodian Only

☐ Settlement Member Only

☐ Both Custodian and Settlement Member

Party Role

Clearing House / CCP☐

Counterparty☐

Broker☐

Triparty Agent/Custodian☐

Intermediary☐

Trading Venue☐

CLS RestrictionsForce Debit LimitChange Log

AuditExit

 Note:

In a co-deployed environment, the system supports an auto-population of treasury customer additional details from the customer maintenance during new, modify, reopen and close operations.

2. On the **Treasury Customer Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-6 Treasury Customer Additional Detail Maintenance- Main- Field Description

Field	Description
Customer No	Specify a customer code for the customer. The customer code is assigned to identify a customer. It is also referred to as the customer CIF Number. This code should be unique across branches. It can be 9-characters long For example, Assign a code using a maximum of 9 characters, alphanumeric. Also, assume your customer is XYZ Corporation, US. You can assign him a code, which could either be a number representing the customer's serial number or an alphabetic code like xyzp or an alphanumeric code like XYZ1000US or XYZ1000 / 1000XYZUS, if the user is the 1000th customer to approach your bank.
Customer Name	Indicates the name of the Customer.
Customer Category	Select the customer category from the available list of values. The option list displays the values maintained in customer categories maintenance. Choose the appropriate one. Note: You need to capture the basic details for each customer, regardless of the type of customer you are maintaining. You need to capture the basic details for each customer, regardless of the type of customer you are maintaining.
Front Office Short Name	Specify the front office short name.
Front Office Long Name	Specify the front office long name.
Relationship Pricing	Select the Relationship Pricing check box to enable relationship pricing option.
CLS Participants	Select the CLS Participants check box to allow the customers to do CLS trades by marking the customer as a CLS Participant. Customers of your bank can settle their FX deals via the CLS (Continuous Linked Settlements) bank to reduce the risks associated with such transactions. However, you have to ensure that the branch at which the customer operates is also qualified to process CLS deals that is the branch should also be marked as a CLS Participant before allowing the same for the customer. Further, you can also capture currency restrictions for your customers by maintaining a list of allowed or disallowed currencies for CLS trading. Click CLS Restrictions available at the bottom of this screen to maintain this CLS participants list. Note: The currency restrictions will be allowed only for customers who are CLS participants. For more information, refer to the Continuous Linked Settlements chapter of the Foreign Exchange User Manual on maintaining currency restrictions and other maintenance required for processing CLS deals in Oracle Banking Treasury Management.
Party Role	Select any of the following party role options. • Clearing House/CCP • Counterparty • Broker • Triparty Agent/Custodian • Intermediary • Trading Venue

Table 1-6 (Cont.) Treasury Customer Additional Detail Maintenance- Main- Field Description

Field	Description
Credit Check Required	Select the Credit Check Required check box to indicated whether the credit check is required or not.
Fund Type Customer	Select the Fund Type Customer check box, if the customer is to be identified as the Fund type Customer. For cases, when the counter-party to a trade is a Fund, Oracle Baking Treasury management allows to generate multiple confirmations to custodian and settlement member associated with that fund. Populating of specific tag for MT 320 and MT 300 with fund details is also supported for such cases.
Custodian BIC Code	Select the custodian BIC code from the available list of values.
Settlement Member BIC Code	Select the settlement member BIC code from the available list of values.
Generate Confirmation Message to	Select any of the following options to whom the confirmation message has to be generated. • Custodian Only • Settlement Member Only • Both Custodian and Settlement member
Address 1–5	Specify the mailing address of the customer. In each line, all characters should conform to SWIFT standards.

- On the **Treasury Customer Maintenance** screen, click **Additional**.
The **Additional Parameters**, **MISC Details**, and **Restriction Details** are displayed.

Figure 1-7 Treasury Customer Maintenance- Additional

- On the **Treasury Customer Maintenance** screen, under **Additional**, specify the fields.
For more information on fields, refer to the below table.

Table 1-7 Additional- Field Description

Field	Description
Customer/Bank Flag	Select the Customer or Bank flag from the drop-down field.
Charge Details	Select the charge details from the drop-down list. The available options are: • Shared • Beneficiary • Bank
Confirmation/Affirmation	Select the confirmation or affirmation method from the available list of value.
Tax Group	Select the tax group of the customer from the option list provided. Only the Group Codes maintained with type Tax will appear for selection.
Charge Group	Select the charge group of the customer from the option list provided. Only the Group codes maintained with type Charge can appear for selection.
FX Netting Customer	Select the FX netting customer from the available list of values.
Risk Category	Select the risk category from the available list of values.
Risk Profile	Select the risk profile from the available list of values.
Location Currency	Select the location currency from the available list of values.
Restricted Note	Select the restricted note from the available list of values.
Effective Date	Select the effective date from the calendar.

- On the **Treasury Customer Additional Maintenance** screen, click **ESMA Details**.
The **ESMA Details** fields are displayed.

Figure 1-8 Treasury Customer Additional Maintenance- ESMA Details

The screenshot shows the 'Treasury Customer Additional Details Maintenance' window. At the top, there are tabs for 'Main', 'Additional', 'ESMA Details' (which is selected), and 'Proprietary Codes'. Below the tabs, there are several input fields and buttons. On the left, under the 'Main' tab, there are fields for 'Customer No', 'Customer Name', and 'Customer Category'. On the right, under the 'ESMA Details' tab, there are fields for 'Front Office Short Name', 'Front Office Long Name', and 'Relationship Pricing'. Below these, there are fields for 'Sector', 'Sector Description', 'Additional Sector', 'Additional Sector Description', 'Nature of the Entity', and 'LEI Code'. At the bottom, there are buttons for 'CLS Restrictions', 'Force Debit Limit', 'Change Log', 'Audit', and 'Exit'.

- On the **Treasury Customer Additional Maintenance** screen, under **ESMA Details**, specify the details.
For more information on fields, refer to the below table.

Table 1-8 Treasury Customer Additional Details Maintenance- ESMA Details- Field Description

Type	Description
Sector	Select the unique code of the sector from the displayed list of values for identifying a counterparty.
Sector Description	The brief description of the selected sector of counterparty is displayed in this field.
Additional Sector	Select the unique code of the additional sector from the displayed list for identifying a counterparty. The reporting counterparty is an Undertaking for Collective Investment in Transferable Securities (UCITS) or Alternative Investment Fund (AIF).
Additional Sector Description	The brief description of the selected sector of counterparty is displayed in this field.
Nature of the Entity	Select the counterparty's nature of the entity from the drop-down list. The drop-down list shows the following options: • Financial • Non Financial
LEI Code	Specify the LEI code of the counterparty. Indicates whether the reporting counterparty is a financial or non-financial counterparty.

- On the **Treasury Customer Additional Maintenance** screen, click **Proprietary Code**. The **Proprietary Code** fields are displayed.

Figure 1-9 Proprietary Code

The screenshot shows the 'Treasury Customer Additional Details Maintenance' application window. At the top, there are 'New' and 'Enter Query' buttons. Below these are search fields for 'Customer No', 'Customer Name', and 'Customer Category'. To the right, there are fields for 'Front Office Short Name', 'Front Office Long Name', and a 'Relationship Pricing' toggle switch. The main area has four tabs: 'Main', 'Additional', 'ESMA Details', and 'Proprietary Codes'. The 'Proprietary Codes' tab is selected, showing a table with the following columns: 'Data Source Scheme', 'Proprietary Code', 'Default', 'LBL_PRRTRYNAME', and 'Comments'. The table is empty, with a message 'No data to display.' and pagination 'Page 1 (0 of 0 items)'. At the bottom of the window, there are buttons for 'CLS Restrictions', 'Force Debit Limit', 'Change Log', 'Audit', and 'Exit'.

- On the **Treasury Customer Additional Maintenance** screen, under **Proprietary Code**, specify the details.
For more information on fields, refer to the below table.

Table 1-9 Treasury Customer Additional Details Maintenance- Proprietary Code-Field Description

Field	Description
Data Source Scheme	Select the data source scheme of the counterparty from the available list of values to identify the delivering agent of securities which must be appeared in counterparties database.
Proprietary Code	Specify the proprietary code.
Default	Select the default option to enable the default proprietary code of the counterparty.
LBL_PRRTRYNAME	Specify the proprietary name.
Comments	Specify the additional comments.

- [Force Debit Limit](#)

1.8.1 Force Debit Limit

The Treasury Customer Additional details Maintenance screen is enhanced with a new sub system Force Debit Limit for each currency along with the limit amount. The application performs force debit only if the limit amount is mapped to the respective currencies, else the force debit limit is failed.

When account has an insufficient balance to meet the requested block amount, there must be a facility to decide whether the block can be created forcefully.

1. On the **Treasury Customer Additional Details Maintenance** screen, click **Force Debit Limit** available in the bottom of this screen.

The **Force Debit Limit** screen is displayed.

Figure 1-10 Treasury Customer Additional Details Maintenance- Force Debit Limit

2. On the **Force Debit Limit** screen, specify the fields.
For more information on fields, refer to the below table.

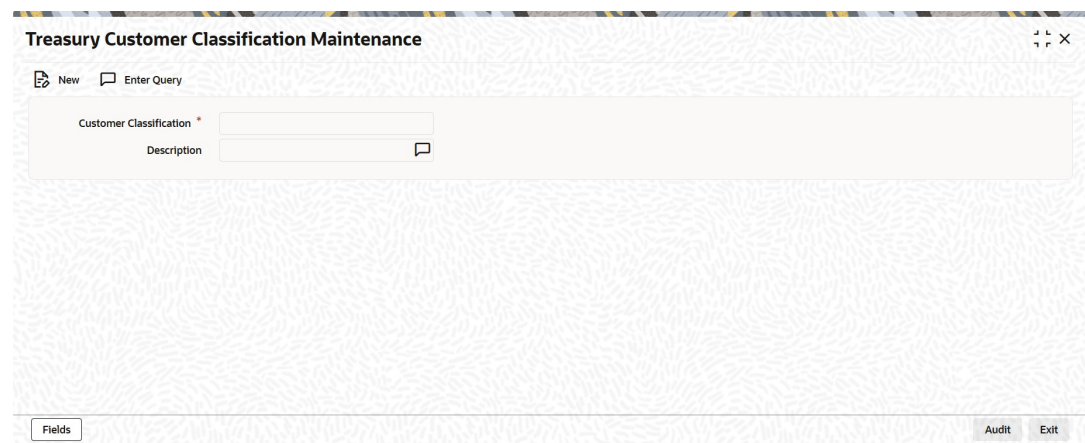
Table 1-10 Treasury Customer Classification Maintenance- Field Description

Field	Description
Limit Currency	Select the limit currency code from the displayed list of values.
Currency Name	The system displays the currency name based on the selected limit currency code.
Limit Amount	Specify the limit amount. This limit amount is the maximum transaction debit amount allowed for force block during ECA request.

1.9 Process Customer Classification Maintenance

This topic describes the systematic instructions to process customer classification maintenance.

1. On Home page, specify **STDTRCCM** in the text-box, and click next arrow.
The **Treasury Customer Classification Maintenance** screen is displayed.

Figure 1-11 Treasury Customer Classification Maintenance

2. On the **Treasury Customer Classification Maintenance** screen, specify the fields.
For more information on the fields, refer to the below table.

Table 1-11 Treasury Customer Classification Maintenance- Field Description

Field	Description
Customer Classification	Specify the appropriate classification for the customer, when you specify CIF details for a customer in the Customer Information Maintenance screen.
Description	Specify a description for the classification.

1.10 Maintain Address Code

This topic describes the systematic instructions to maintain address code of the customers.

1. On Home page, specify **STDTRADM** in the text box, and click next arrow.
The **Treasury Address Code Maintenance** screen is displayed.

Figure 1-12 Treasury Address Code Maintenance

2. On the **Treasury Address Code Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-12 Treasury Address Code Maintenance

Field	Description
Address Code	Specify the address code from the adjoining option list.
Address Line 1 - 4	Specify the mailing address of the customer.
Pin-code	Specify the pin code of the mailing address specified.
Country	Specify the country as given in the address of correspondence of the customer. You can select the appropriate country from the adjoining option list.

1.11 Maintain Treasury Relationship Maintenance

This topic describes the systematic instructions to maintain the type of relation with the customer.

1. On the Home page, specify **CSDTRREM** in the text box, and click next arrow.
The **Treasury Relationship Maintenance** screen is displayed.

Figure 1-13 Treasury Relationship Maintenance

Treasury Relationship Maintenance

New Enter Query

Relationship *
Description *
Category * Customer To Customer

LBL_SYSTEM_DEFINED

Fields Audit Exit

2. On the **Treasury Relationship Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-13 Treasury Relationship Maintenance - Field Description

Field	Description
Relationship	Specify the type of relationship in this field. You can use a maximum of 20 alphanumeric characters to define a relationship.
Category	Select the category from the drop down list to define the nature of the relationship with the customer. The available options are: • Customer to Customer • Customer to Account • Customer to Contract
Description	Specify a brief description of the relationship being maintained. This will further help you in identifying the relationship. You can enter a maximum of 35 alphanumeric characters in this field. The types of relationships defined in this screen become available for linking two customers, only upon authorization of the details maintained.

1.12 Maintain Customer Spreads

This topic describes the systematic instructions to maintain customer spreads.

1. On Home page, specify **CYDTRCSP** in the text box, and click next arrow.
The **Treasury Customer Currency Spread Maintenance** screen is displayed.

Figure 1-14 Treasury Customer Currency Spread Maintenance

2. On the **Treasury Customer Currency Spread Maintenance** screen, specify the fields.

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

In this screen, for a customer and currency pair, you can maintain buy and sell spreads for different tenors. You need to maintain customer spreads in each branch. Transactions initiated in a branch picks up the spread(s) maintained for that branch.

Table 1-14 Treasury Customer Currency Spread Maintenance - Field Description

Field	Description
Branch Code	Specify the branch code.
Currency 1	Select the Currency 1 from the available list of values.
Currency 2	Select the Currency 2 from the available list of values.
Spread Definition	Specify the spread definition in percentage.
Customer Spread Details	Specify the customer spread details. When processing an FX deal involving a customer (for whom you have maintained spread details), the system picks up the customer spread corresponding to the tenor of the deal and builds it into the exchange rate. If spread details are unavailable for a specific tenor, the system picks up the spread defined for the nearest lower tenor. For example, assume for a customer and currency pair you maintain spread details for the following tenors: '3', '5', and '10' days. When processing a deal with a tenor of '4' days (involving the customer and the currency pair), the system picks up the spread details defined for a tenor of three days. This is because spread details for a '4' day tenor are unavailable for the customer and currency pair. Note: You can also maintain customer spreads for the wildcard entry – ALL. If spread details for a specific counterparty (for the currency pair) are unavailable, the System looks for the customer spread maintained for the wildcard ALL entry. If even that is not available, then the customer spread defaults to zero.

- [Compute Buy and Sell Spreads](#)

1.12.1 Compute Buy and Sell Spreads

Using percentage system, suppose the bank wants to make a profit of 5% over and above the mid rate quoted. Suppose the dealing currencies are USD and AUD. 1USD = 1.4166 AUD for Standard rate type. (Mid rate being 1.4166).

Now to arrive at the spread the bank will use the following formula:

$$\text{Spread} = 5 / 100 \times \text{Mid rate (1.4166)} = 0.07083$$

Using the points system, suppose the point quoted by the bank is 708.3.

The points multiplier in this case would be 0.0001 (depends on the decimal points that the mid rate extends to. Usually it is 4 decimal places).

$$\text{Spread} = \text{Points (708.3)} \times \text{Points Multiplier (0.0001)}$$

Now coming to the buy and sale rate computing, there are two ways of computing the buy and sale rates- Direct and Indirect. Depending upon the quotation method you have specified in the Currency pair screen, the system computes the spreads.

In the Direct method, the buy and sell rates are calculated as follows:
Buy Rate = Mid-Rate - Buy Spread
Sell Rate = Mid-Rate + Sell Spread

For cross currency contracts, the rate for the currency pair is: 1 unit of Ccy 1 = Rate * 1 unit of Ccy 2

In the Indirect method, the buy and sell rates are calculated as follows:

$$\text{Buy Rate} = \text{Mid-Rate} + \text{Buy Spread}$$

$$\text{Sell Rate} = \text{Mid-Rate} - \text{Sell Spread}$$

For cross currency contracts, the rate for the currency pair is: 1 unit of Ccy 2 = Rate * 1 unit of Ccy 1

The method of spread definition – percentage or points – that you have maintained for the currency pair is displayed on this screen.

1.13 Treasury Customer Spread Maintenance

This topic describes the systematic instructions to maintain customer spread.

For each customer of your bank you can define buy and sell margins for a specific currency. This spread is applied to floating interest components that involve the customer and currency combination. The margin that you define is appropriately picked up and applied to arrive at the final rate that is applied to floating components of contracts that involve the customer- currency combination.

The buy and sell margins that you define are for a customer and currency combination. You can select the customer and currency combination from the option lists available. For the selected currency– customer combination, you can define amount slabs and specify a Borrow and Lend margin for each slab. To add a slab to the list click add icon and enter the slab details.

To remove a slab from the list, highlight it and click delete icon. Whenever you enter a contract in Treasury that involves the customer and currency combination, the appropriate spread is applied to arrive at the floating rate to be charged. The slab is selected based on the contract amount and depending on the nature of the contract, the Borrow or Lend spread is applied.

1. On the Home page, specify **CFDTRCSM** in the text box, and click next arrow.
The **Treasury Customer Spread Maintenance** screen is displayed.

Figure 1-15 Treasury Customer Spread Maintenance

2. On the **Treasury Customer Spread Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-15 Treasury Customer Spread Maintenance

Field	Description
Customer	Select the customer from the available list of values.
Currency	Select the currency from the available list of values.
Amount Slab	Specify the amount slab.
Spreads	Specify the spread value.
Borrow/Lend	Select the borrow or lend, as per the requirement.

1.14 Treasury MIS Head Maintenance

This topic describes the systematic instructions to maintain MIS Head.

Each accounting entry that is generated can be linked to an MIS Head. An MIS Head indicates the manner in which the type of entry should be considered for profitability reporting purposes.

1. On the Home page, specify **MIDTRHED** in the text box, and click next arrow.
The **Treasury MIS Head Maintenance** screen is displayed.

Figure 1-16 Treasury MIS Head Maintenance

The screenshot shows the 'Treasury MIS Head Maintenance' window. It includes a 'New' button and an 'Enter Query' button. The form fields are: 'Head *' (text input), 'Description' (text input), 'Category *' (dropdown menu), and 'Refinance' (toggle switch). At the bottom right, there are 'Audit', 'Exit', and 'Save' buttons.

2. On the **Treasury MIS Head Maintenance** screen, specify the fields. If you are calling an MIS Head that has already been defined, double-click an MIS Head from the summary screen.

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

Table 1-16 Treasury MIS Head Maintenance- Field Description

Field	Description
Head	Specify the head.
Description	Specify the description.
Category	Select the category from the drop-down list. The available options are: • Balance- Indicates that the accounting entry should be considered for calculating the Cumulative Average Balance. Typically, an asset entry would be classified under the balance type MIS Head. The GL entry leg of a loan disbursement transaction, would typically be classified under a Balance type of MIS Head • Income- Indicates that the accounting entry should be considered as an income for the purpose of profitability reporting. Clearly, any interest or charge income would be classified under an Income type of MIS Head • Expense- Indicates that the accounting entry should be considered as an expense for the purpose of profitability reporting. Any interest, or tax expense would be classified under an expense type of MIS Head • Contingent- Indicates that the accounting entry should be considered as a contingent entry for the purpose of profitability reporting. The issue of an import Letter of Credit, etc., are examples of contingent type of entries. You can generate a report that gives the balances due to such contingent type of entries. Under each type of MIS Head, you may define additional MIS Heads, as per your reporting requirement. For example, you can have an MIS Head for each loan product, so that you can have the cumulative average balance due to all the loans disbursed under the product The MIS Head Category classification indicates the method in which the accounting entry can be reported in the profitability report.

Table 1-16 (Cont.) Treasury MIS Head Maintenance- Field Description

Field	Description
Refinance	Select the refinance option for marking MIS Heads for refinancing. For MIS Heads that are marked for refinancing, the refinancing income or expense would be calculated, on the cumulative average balance, for the reporting period. You would typically mark a balance type of MIS Head for refinancing. This option is provided because not all the balance type of entries would come under the umbrella of refinancing.

1.15 Maintain Allowed List of MIS Codes

This topic describes the systematic instructions to maintain allowed list of MIS Codes.

You can maintain a list of allowed MIS codes for a given MIS class, product or account class combination for a branch in the MIS Code Allowed For MIS Class and Product/Account Class screen. The MIS call forms would pick only the MIS codes that are allowed for the product or account class and MIS class combination.

1. On the Home page, specify the **MIDTRPRD** in the text box, and click next arrow.
The **Treasury MIS Code Restriction Maintenance** screen is displayed.

Figure 1-17 Treasury MIS Code Restriction Maintenance

2. On the **Treasury MIS Code Restriction Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-17 Treasury MIS Code Restriction Maintenance

Field	Description
Branch Code	Specify the branch code. Alternatively, you can select the branch code from the option list. The list displays all the branch code for which the MIS code restrictions are maintained.

Table 1-17 (Cont.) Treasury MIS Code Restriction Maintenance

Field	Description
Branch Name	The system displays the name of the branch maintained in the system.
MIS Class	Specify the MIS class for which the allowed list of MIS codes are maintained. Alternatively, you can select the class code from the option list. The list displays all the MIS classes maintained in the system. The customer MIS classes are not part of the list.
MIS Class Description	The system displays the MIS class description maintained in the system.
Product Code	Specify the product code for which the allowed lists are maintained. Alternatively, you can select the code from the option list. The list displays all the products or account class code maintained in the system.
Product Description	The system displays the product or account class description respectively maintained in the system.
MIS Code	Specify the MIS code maintained. Alternatively, you can select the MIS code from the option list. The list displays all the MIS codes maintained in the system.
MIS Code Description	The system displays the MIS code description maintained in the system.
Allowed	Select this box to allow the MIS code for a given MIS class, product or account class combination for a branch. Note: The MIS call forms attached to a transaction input or an account creation screen populates the MIS codes that are allowed for a given MIS class, product or account class combination for a branch. If you do not perform maintenance for a given branch, account class/product code and MIS class combination, then all MIS Classes linked to the account class/product code will be available.

1.16 Treasury Product Group Maintenance

This topic describes the systematic instructions to maintain product groups.

1. On the Home page, specify **STDTRPRG** in the text box, and click next arrow.

The **Treasury Product Group Maintenance** screen is displayed.

Figure 1-18 Treasury Product Group Maintenance

Treasury Product Group Maintenance

New Enter Query

Group Id *

Description

Fields Audit Exit

2. On the **Treasury Product Group Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-18 Treasury Product Group Maintenance- Field Description

Field	Description
Group ID	Specify a group ID for the product group that you are defining.
Description	Specify a brief description of the product group that you are defining.

1.17 Maintain Transaction Limits

This topic describes the systematic instructions to maintain transaction limits.

1. On the Home page, specify **CSDTRPLM** in the text box, and click next arrow.
The **Treasury Product Transaction Limit Maintenance** screen

Figure 1-19 Treasury Product Transaction Limit Maintenance

Treasury Product Transaction Limits Maintenance

New Enter Query

Module Identification * Source Code *
Module Description Transaction Limit Currency *
Product Code * Customer Type * All
Product Description Customer Group * ALL

Role Based Authorization
Follow Sequence

Product Transaction Limit Details

Transaction Limit *	Level of Authorization	Minimum Authorization Limit	Cumulative
No data to display.			

Page 1 (0 of 0 items) |< 1 >|

Authorization Role Mapping

Authorization Rule	Level1	Level2	Level3	Level4
No data to display.				

Page 1 (0 of 0 items) |< 1 >|

Fields Audit Exit

- On the **Treasury Product Transaction Limit Maintenance** screen, specify the fields.

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

To maintain details of a new currency-wise transaction limit for a specific module and product combination, click **New** on the Application toolbar. The **Treasury Product Transaction Limit Maintenance** screen is displayed without any details. Every record that you create will be processed in Oracle Banking Treasury Management only after it is authorized. A user bearing a different Login ID can authorize the record that you have created.

Table 1-19 Treasury Product Transaction - Field Description

Field	Description
Module Identification	Select the module identification code from the available list of values. Every module in Oracle Treasury is identified by a code. First, you have to identify the module for which the currency-wise transaction limit is to be maintained.
Module Description	The description associated with the module can be defaulted in the adjacent field.
Product Code	Select the product code from the available list of values. Each module contains a number of products within it. After you identify the module, indicate the product within the module for which you would like to maintain a currency-wise transactional limit.
Product Description	The description associated with the product can be defaulted in the adjacent field.
Source Code	Specify the source code.

Table 1-19 (Cont.) Treasury Product Transaction - Field Description

Field	Description
Transaction Limit Currency	Select the transaction limit currency from available list of values. The transaction limit currency is the currency for which you would like to maintain the amount limit. Every time you process a transaction in the specified Module-Product, Code-Currency combination. The system checks whether the transaction exceeds the defined amount limit. If a transaction exceeds the amount limit, the system displays an override message while saving the transaction. Since overrides and transactions are authorized separately, authorization has to be handled by a user with dual authorization rights.
Customer Type	Select the customer type from the drop-down list. The available options are: • All • Corporate • Individual • Bank Customer
Customer Group	Select the customer group from the available list of values.

1.18 Treasury Product Restrictions

This topic describes the systematic instructions to maintain product restrictions.

1. On the Home page, specify **CSDTRPDR** in the text box, and click next arrow.
The **Treasury Product Restrictions** screen is displayed.

Figure 1-20 Treasury Product Restrictions

2. On the **Treasury Product Restriction** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-20 Treasury Product Restriction - Field Description

Field	Description
Product Code	Select the product code from the available list of values. The list displays all valid product codes maintained in the system.
Product Description	The system displays the product description based on the product code selected.
Branch Restriction List	The system displays the branch list as Allowed or Disallowed based on the maintenance in the corresponding Product definition screen.
Class Code	Select the class code from the available list of values. The list displays all valid options based on the restrictions maintained.
Description	The system displays the description.
Branch Code	Select the branch code from the option list. The list displays all valid branch codes maintained in the system.
Branch Name	The system displays the branch name based on the branch code selected.
Currency Restrictions List	The system displays the currency restrictions as Allowed or Disallowed based on the maintenance in the corresponding Product definition screen.
Currency Code	Select the currency code from the list of values. The list displays all valid codes maintained in the system.
Currency Name	The system displays the currency name based on the currency code selected.

- On the **Treasury Product Restriction** screen, click **Customer Restriction**.
The **Treasury Product Restriction** page is displayed.

Figure 1-21 Treasury Product Restriction

The screenshot shows the 'Treasury Product Restriction' application window. At the top, there are buttons for 'New' and 'Enter Query'. Below this, there are input fields for 'Product Code' (with a search icon) and 'Product Description'. A horizontal tab bar is visible with 'Branch Restriction' and 'Customer Restriction' tabs. Under 'Branch Restriction', there is a 'Category Restriction List' field. Under 'Customer Restriction', there are fields for 'Class Code' (with a search icon) and 'Description', along with a 'Default From Class' button. At the bottom, there are two expandable sections: 'Category' and 'Exempted Customers'. The 'Category' section shows a table with columns 'Code' and 'Description', and a message 'No data to display.' with pagination 'Page 1 (0 of 0 items)'. The 'Exempted Customers' section shows a table with columns 'Customer Id', 'Customer Name', and 'Restriction Type', and a message 'No data to display.' with pagination 'Page 1 (0 of 0 items)'. At the very bottom, there are buttons for 'Change Log', 'Audit', and 'Exit'.

- On **Treasury Product Restriction**, specify the fields.
For more information on fields, refer to the below table.

Table 1-21 Customer Restriction - Field Description

Field	Description
Categories Restriction List	The system displays the categories list based on the maintenance in the corresponding product screen.
Class Code	Select the class code from the list of values. The list displays all valid options based on the restrictions maintained.
Description	The system displays the description.
Customer Category Code	Select the code from the list of values. The list displays all valid options maintained in the system.
Description	The system displays the description based on the code selected.
Customer ID	Select the customer ID from the list of values. The list displays all valid customer IDs maintained in the system.
Customer Name	The system displays the customer name.
Restriction Type	Select the restriction type as Allowed or Disallowed . If a customer category restriction is maintained as Disallowed and if one of the customer in that disallowed customer category has restriction type maintained as Allowed, then the system considers individual customer's restriction type for further processing. This is applicable vice-versa also. Click Change Log to view the details of values that are modified.

1.19 Maintain FATCA Product

This topic describes the systematic instructions to maintain FATCA product.

FATCA is the acronym for Foreign Account Tax Compliance Act enacted by the US Government as part of the Hiring Incentives to Restore Employment (HIRE) Act, in 2010. This topic deals with Foreign Account Tax Compliance regulation. It includes the description about functions that would help Oracle Treasury to support FATCA.

1. On the Home page, specify **STDTRFPM** in the text box, and click next arrow.

The **Treasury FATCA-Products and Instruments** screen is displayed.

Figure 1-22 Treasury FATCA-Products and Instruments

2. On the **Treasury FATCA Products and Instruments** screen, specify the fields.

For more information on fields, refer the below table.

Table 1-22 Treasury FATCA-Products and Instruments

Field	Description
Module Code	Select the valid module code from the list of values.
Product Code	Select the valid product code from the available list of values.
Product Description	The system displays the description for the selected product code.
Type	Select the type of the product from the drop-down list. Following are the options available in the drop-down list: • Product • Account Class • Instrument
Balance Inclusion	Select the Balance Inclusion check box if the balance of the contract account should be included for FATCA.
Allow Grandfathering	Select the Allow Grandfathering check box if the grandfathering of contracts booked using the product/account class/instrument is allowed. Grandfathered obligations needs to be checked based on the Allow Grandfathering field. The obligation is grandfathered if Account Opening Date is less than Grandfathered cutoff date and there are no changes in tenor, amount or rate of interest after grandfathered cutoff date. While authorizing, if customer is a reportable FATCA status or is recalcitrant, the system identifies all accounts, contracts, and deals for the customer booked using products, account classes or instruments. For each of the customer the total FATCA balance should be updated in the threshold currency maintained for that type of customer. The FATCA balance of the customer will be the sum total of all balances of the customer obligations. If the maintenance is being modified, then at the time of authorization of the maintenance, the system will perform the following: If the maintenance is being modified, then at the time of authorization of the maintenance, the system will perform the following: • If a product, account class or instrument is being removed from the list then all accounts, contracts, or deals booked using the product, account class or instrument should be removed from the tracking table • The customer balance should be updated accordingly If a new product, account class or instrument is being added to the list at the time of authorization of the maintenance, the system should scan for all contracts, accounts, or deals booked using the newly added product, account class or instrument with Balance Inclusion field checked. If the counterparty of such a contract, account, or deal has a reportable FATCA status, a row should be inserted into the FATCA tracking table.

1.20 Treasury Status Code Maintenance

This topic describes the systematic instructions to maintain status code which indicates whether the status codes are maintained for an Account, Contract, or for both.

1. On the Home page, specify **STDTRSCD** in the text box, and click next arrow.

The **Treasury Status Code Maintenance** screen is displays.

Figure 1-23 Treasury Status Code Maintenance

Treasury Status Code Maintenance

New Enter Query

Status Code *

Description

Status Sequence *

Fields Audit Exit

2. On the **Treasury Status Code Maintenance** screen, specify the fields.

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

Table 1-23 Treasury FATCA-Products and Instruments

Field	Description
Status Code	Specify the unique code for the status.
Description	Specify the brief description for the status.
Status Sequence	Specify the sequence number for the status.

The type of status you choose depends on the status processing basis for your branch, which is defined in the Branch Parameters Preferences maintenance. If status processing basis is at individual account / contract level, you can choose the applicable status types as Account or Contract.

The status codes that have been maintained of type Account are available for association in the Account maintenance and those maintained with type Contract can be associated with contracts. If status processing basis is at Group / CIF level, you can only maintain status codes of type 'Both' (that is, applicable for both accounts and contracts). In such a case, you must associate the statuses at both the Account maintenance as well as for contracts.

 Note:

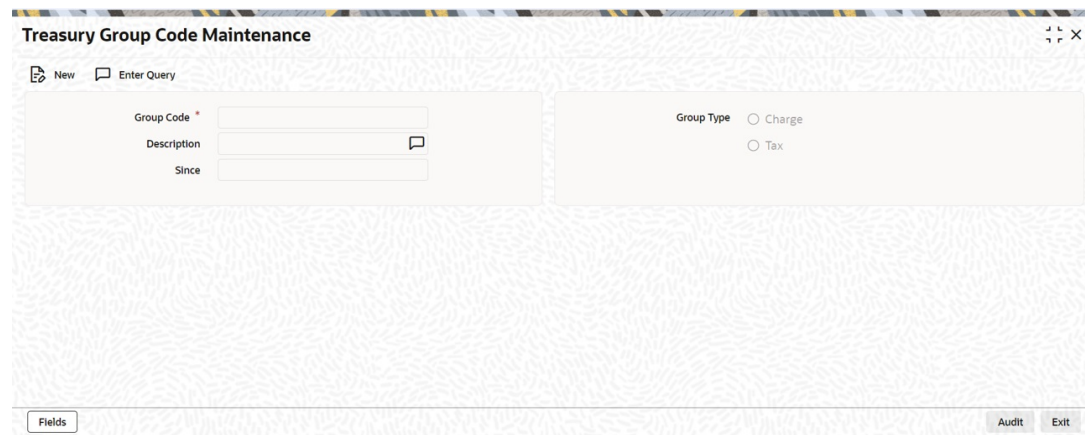
It is mandatory to maintain the status code NORM (Normal) with the sequence number as 0, for all the status types. The sequence number must not be repeated for a status type. The sequence number associated with the status will be used for determining the hierarchy of statuses, that is higher the number, worst the status and this is unique for the status codes.

1.21 Treasury Group Code Maintenance

This topic describes the systematic instructions to maintain Group Code which is used to track exposure due to loans issued to customers in the group, as well as customer accounts with outstanding overdrafts.

1. On the Home page, specify **STDTRGCM** in the text box, and click next arrow.
The **Treasury Group Code Maintenance** screen is displayed.

Figure 1-24 Treasury Group Code Maintenance



2. On the **Treasury Group Code Maintenance** screen, specify the fields.

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

Each group code that you define is associated with an appropriate exposure category that must be used to track exposure due to loans issued to customers in the group, as well as customer accounts with outstanding overdrafts.

The exposure category for a group is either derived from the logic maintained in the Exposure Type Category Linkage maintenance for the group type, or explicitly specified. If it is derived, it is displayed in this screen, by the End of Day batch program.

The type of the group indicates the type of customers that belong to the group – retail, corporate, Charge Clearing or Tax. If no logic has been maintained in the Exposure Type Category Linkage for the group type, you can indicate the applicable exposure category for the group.

Table 1-24 Treasury Group Code Maintenance - Field Description

Field	Description
Group Code	Specify a group code defined for a group type that is the same as the customer type, for instance, if the customer is a retail customer, you must specify a group defined for retail customers. When you maintain CIF details for customers, in the Customer Information Maintenance screen, you can specify the customer group to which the customer belongs, for provisioning and status processing.
Description	Specify the description.

Table 1-24 (Cont.) Treasury Group Code Maintenance - Field Description

Field	Description
Since	Specify the date since the group code is associated with an appropriate exposure category.
Group Type	Select the group type either as charge or tax.

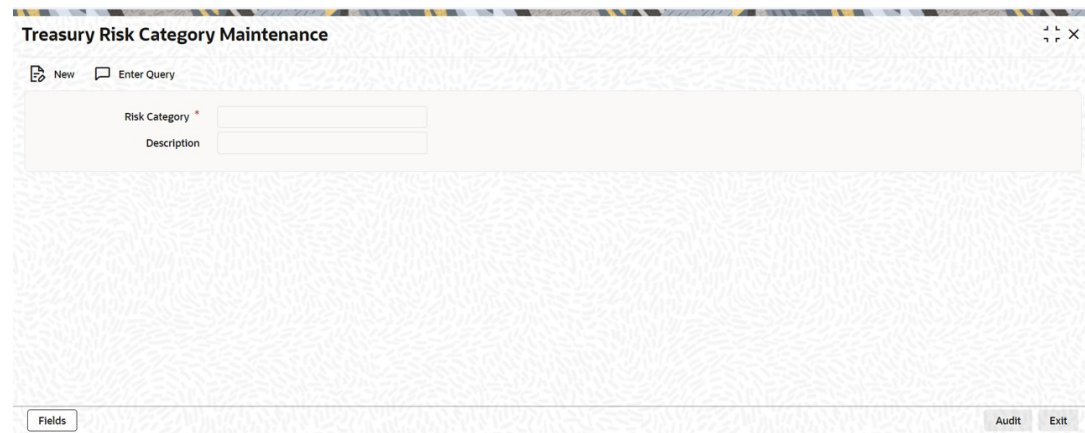
1.22 Maintain Treasury Risk Category

This topic describes the systematic instructions to maintain risk category for Customers.

1. On the Home page, specify **STDTRRKM** in the text box, and click next arrow.

The **Treasury Risk Category Maintenance** screen is displayed.

Figure 1-25 Treasury Risk Category Maintenance



2. On the **Treasury Risk Category Maintenance** screen, specify the fields.

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

Table 1-25 Treasury Risk Category Maintenance- Field Description

Field	Description
Risk Category	Specify the type of Risk Category in this field.
Description	Specify a brief description of the Risk Category being maintained.
Type of Risk Categories	The types of Risk Categories defined in this screen is available for liability maintenance of customers and risk percent maintenance, only upon authorization of the details maintained. Note: Risk Category is not a mandatory input during Customer Maintenance. Risk Category is applicable to the Customer and not to the Customer's Liability ID.

1.23 Process Risk Percentage Details

This topic describes the systematic instruction to process risk percent details to track the risk weighted amount for FX, Derivatives, and Options products by attaching a risk percent to it.

1. On Home page, specify **CSDTRRPM** in the text box, and click next arrow.
The **Treasury Limits Risk Percentage Maintenance** screen is displayed.

Figure 1-26 Treasury Limits Risk Percentage Maintenance

2. On the **Treasury Limits Risk Percentage Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-26 Treasury Limits Risk Percentage Maintenance- Field Description

Field	Description
Risk Category	Select the Risk Category for which you are defining the risk percent from the option list provided. The list displays all open and authorized Risk categories.
Module	Select the module for which you are defining the risk percent from the option list provided. The list displays only FX, DV, and OT modules.
Product	Select the product code for which you want to apply this Risk maintenance from the option list provided. The list displays only FX, DV, and OT products. Additionally there is a product code ALL which you can select if you want the risk maintenance to be applicable for all the products.
Tenor From	Specify the starting tenor or the minimum tenor for which the risk percent is applicable. By default the value of this field is 0 or the Tenor To of the previous record.
Tenor To	Specify the ending tenor or the maximum tenor for which the risk percent is applicable.
Risk Percent	Specify the Risk percent that is applicable to the Tenor defined. Oracle Treasury carries out the following validations on Risk Percent maintenance: • Checks that Tenor To field is not negative • Checks whether the Tenor To is earlier than Tenor From • Checks if the Risk percent is negative • Checks that Tenor To and Tenor From are not the same While inputting FX, Options or Derivatives contracts, the risk percent is derived from the risk category maintenance screen and the risk weighted amount is computed by the system.

1.24 Process Treasury Dealer Maintenance

This topic describes the systematic instructions to define dealer Identification.

At the time of entering the details of a foreign exchange, money market, or securities deal, you will be required to enter details of the dealer who has struck the deal. The dealers at your bank, who are associated with the buying and selling of foreign exchange, money or securities in the treasury, should each be assigned an identification number (ID number). The dealer list is maintained for the bank through the Dealer Maintenance screen.

1. On the Home page, specify **STDDL RMT** in the text box, and click next arrow.
The **Dealer Maintenance** screen is displayed.

Figure 1-27 Dealer Maintenance

2. On the **Dealer Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-27 Dealer Maintenance- Field Description

Field	Description
Dealer Id	Specify unique code to identify the dealer. The identification code can have a maximum of six alphanumeric characters. The dealer is identified by this code for all transactions entered in Oracle Treasury. You can also retrieve dealer-wise information on the treasury deals entered into by your bank.
Dealer Name	Specify the detailed name of the dealer. The name of the dealer is displayed whenever the dealer Id is used.

1.25 Treasury External Service Maintenance

This topic describes the systematic instruction to maintain external service.

1. On the Home page, specify **IFDTRXSE** in the text box, and click next arrow.
The **Treasury External Service Maintenance** screen is displayed.

Figure 1-28 Treasury External Service Maintenance

2. On the **Treasury External Service Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-28 Treasury External Service Maintenance- Field Description

Field	Description
External System	Specify the external system, Alternatively, you can select the external system from the option list. The list displays all valid values maintained in the system.
Description	The system displays the description based on the external system selected.
External User	Specify the external user.
Maximum Retry Count	Specify the field.
Type	Select the type from the drop-down list.
Service Name	Specify the service name. Alternatively, you can select the service name from the option list. The list displays all valid service name maintained in the system.
WS Endpoint URL	Specify the WS endpoint URL.
Rest Service Context	The system displays the rest service context.
Rest Service IP	The system displays the rest service IP.
Rest Service Pattern	The system displays the rest service pattern.

1.26 Treasury Core Entity Error Queue

This topic describes the systematic instructions to process core entity error queue.

1. On the Home page, specify **IFSTRERQ** in the text box, and click next arrow.
The **Treasury Core Entity Error Queue** screen is displayed.

Figure 1-29 Treasury Core Entity Error Queue

The screenshot shows the 'Treasury Core Entity Error Queue' search interface. At the top, there are buttons for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. Below these is a 'Search (Case Sensitive)' section with search criteria fields: 'Branch Code', 'Message Identification', 'Key ID', 'Process Sequence No', 'External Status', and 'Contract Reference'. Each field has a search icon. To the right of the search criteria is a 'Records per page' dropdown set to '15'. Below the search criteria is a 'Search Results' section with a table of results. The table has columns: 'Branch Code', 'Message Identification', 'Key ID', 'Process Sequence No', 'Service Code', 'External Status', and 'Function'. The table is currently empty, showing 'No data to display.' Below the table is a pagination bar showing 'Page 1 Of 1' and navigation icons. At the bottom of the interface are buttons for 'No-Submit', 'Reject', 'Error Messages', and 'Exit'.

2. On **Treasury Core Entity Error Queue**, specify the fields.

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

Core entity request is moved to Timed out status based on the time out parameter maintained. If no response is received from the external system within the given time, status is marked as timed out.

Table 1-29 Treasury Core Entity Error Queue - Field Description

Field	Description
Branch Code	Specify the branch Id.
Message Identification	Specify the message identification.
Key ID	Specify the key Id.
Process Sequence Number	Specify the process sequence number.
External Status	Specify the external status.
Contract Reference	Specify the contract reference number.

Select any or all of the above parameters for a query and click the **Search** button. The system displays the following records meeting the selected criteria:

- **Branch Code**
- **Message Identification**
- **Key Id**
- **Process Sequence Number**
- **Service Code**
- **External Status**
- **Function**
- **Customer No**
- **Destination Source**
- **Process**
- **Authorization Status**

- Request Type
- Reference Number
- Simulation
- Time
- Communication Mode
- Checker ID
- Checker Date Stamp
- Maker Id
- Release Time
- Source Sequence No

The **External status** field displays the type of error like Time out, Failed etc.

3. On the **Treasury Core Entity Error Queue**, click **Resubmit** or **Reject** available in the bottom of the screen to process the error records.
4. **Treasury Core Entity Error Queue**, click **Error Message** to view the error details when the record fails.

1.27 Start the Background Process

This topic describes the systematic instructions to start or stop the background process.

The balance statement can be facilitated to run as part of a scheduled job as part of the Oracle jobs initiated during processing. The Jobs Browser screen of the application provides you the facility to run the balance statement as a synchronized task, subject to specified time intervals in hours, run the background process to generate and print advices.

In addition to the generation of the advices, system also prints the advices that are scheduled to be generated during EOD processing. You can start or stop a process in the Treasury Jobs Browser screen.

1. On the Home page, specify **TRSJOBBER** in the text box, and click next arrow.
The **Treasury Jobs Browser** is displayed.

Figure 1-30 Treasury Jobs Browser

The screenshot shows the 'Treasury Jobs Browser' window. At the top, there are buttons for 'Search', 'Advanced Search', 'Reset', and 'Clear All'. A 'Records per page' dropdown is set to 15. Below this is a 'Search (Case Sensitive)' section with three input fields: 'Module', 'Process', and 'Status', each with a search icon. The 'Search Results' section shows a table with columns: 'Module', 'Process', 'Sequence', and 'Status'. The table is currently empty, displaying 'No data to display.' Below the table is a pagination bar showing 'Page 1 Of 1' and navigation arrows. At the bottom of the window, there are 'Start' and 'Stop' buttons on the left, and an 'Exit' button on the right.

 Note:

All fields with asterisk (*) symbol are mandatory.

2. On the **Treasury Jobs Browser** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-30 Treasury Jobs browser- Field Description

Field	Description
Module	Select the module code from the displayed list of values.
Status	Select the status from the displayed list of values.
Process	Select the process code from the displayed list of values.

All associated accounts of the particular branch that have been marked for generation of balance statements are procured by Oracle Banking Treasury Management. The debit and credit accounts considered since the previous issue of an MT941/MT942, are picked up for the current processing. The previous messages are based on the parameters maintained for each account. This processing produces details of the statement generation.

3. Click **Search** to select any or all of the above parameters for a query.
The System displays the following details pertaining to the fetched records:
 - Job Module
 - Process
 - Process Sequence Number
 - Status
4. Check the required process in the search results table.
5. Click **Start** available in the bottom of this screen to start the process.
6. Click **Stop** available in the bottom of this screen to stop the process, at any point.

1.28 Notification Process

This topic describes the notification process for processing the parameters.

The notification process is in two layers. In the first layer the notification process as part of jobs in FCJ scheduler sends minimal data required for notification to an internal JMS queue. In the second layer the notification process as part of an MDB that listens on internal JMS queue builds final notifications and sends them to their intended destinations. The Notification Process in Treasury using the jobs scheduler is as follows:

1. The trigger on the base table inserts key details into a static notification log table instead of Oracle AQ.
2. Once Job is triggered, a request is sent to EJB layer from job execution class and the notification log table is polled for unprocessed records.
3. Each unprocessed record is locked.
4. The record is verified against the notification maintenance and checked whether notification is to be sent or not.

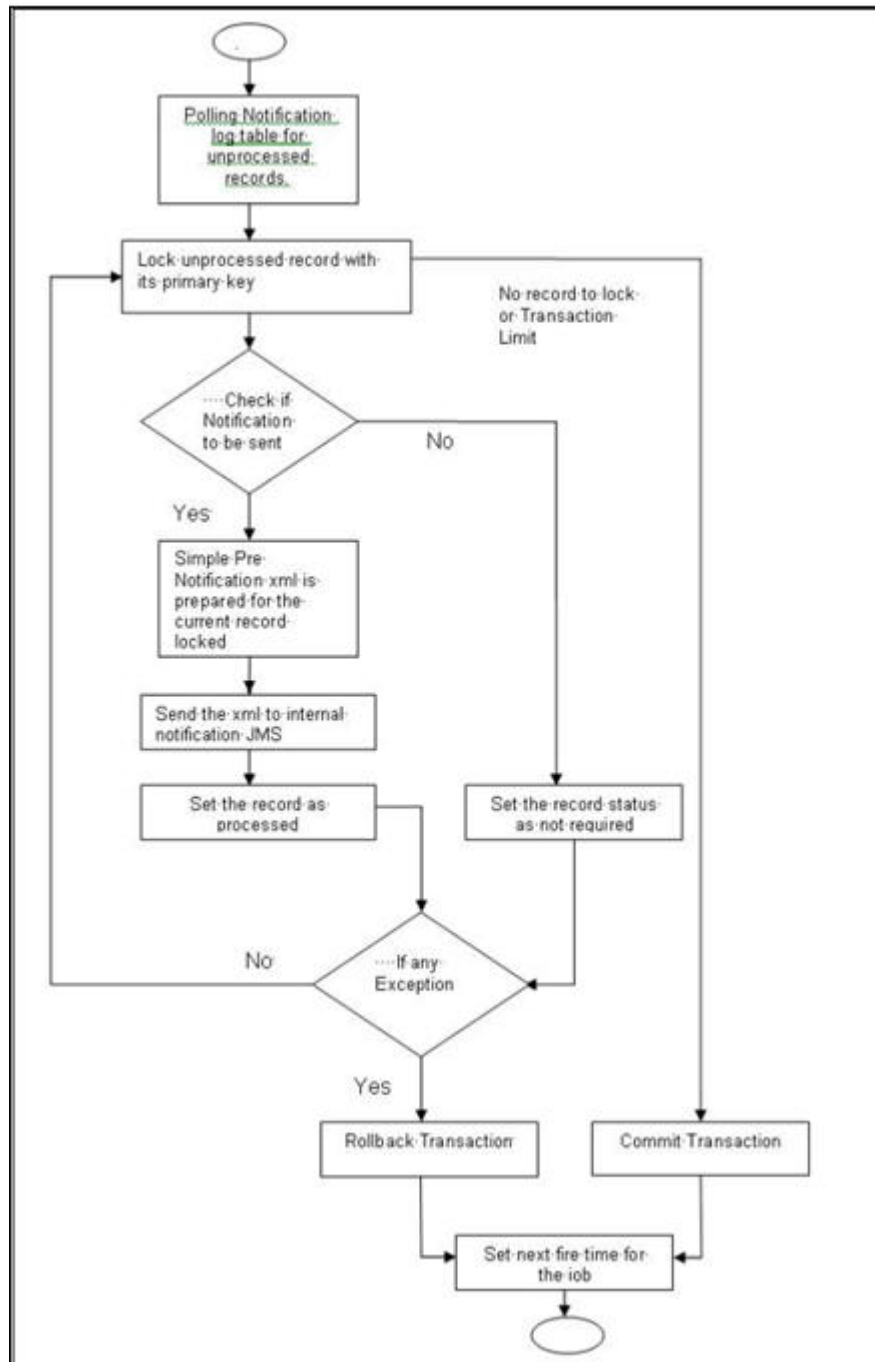
5. If notification is to be sent, pre notification message xml is built and it is sent to internal notify_queue (JMS queue).
6. The job is then rescheduled to fire next time based on the previous execution.

The notification process in MDB is as follows:

1. The Notification MDB listens on the internal notify JMS queue.
2. On any message received, the MDB identifies which schema to connect using the JNDI name being present as part of the message xml.
3. Gateway notification processing package is called from MDB in order to build the actual notifications.
4. In MDB the notifications built is processed and sent to the destination specified in corresponding notification.
5. In case of any exception the whole transaction is rolled back.
6. If all notifications are successfully processed then transaction is committed.

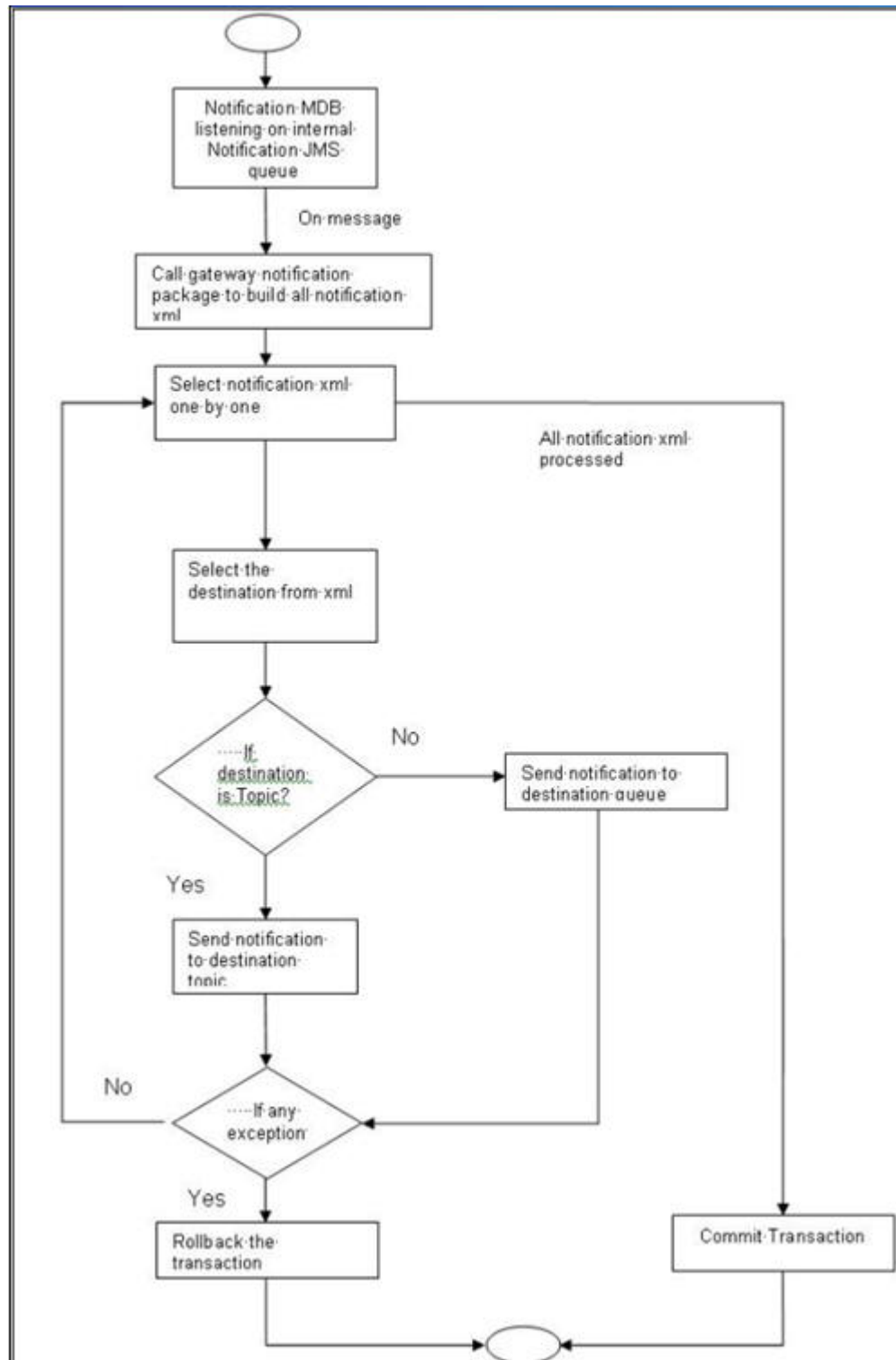
The flow chart of notification process in scheduler:

Figure 1-31 Notification Process in scheduler



The flow chart for notification process in MDB:

Figure 1-32 Notification Process in MDB



- [Process Notification Parameters](#)

1.28.1 Process Notification Parameters

1. On the Home page, specify **TRDNOTIF** in the text box, and click next arrow.
The **Treasury Gateway Notification Maintenance** screen is displayed.

Figure 1-33 Treasury Gateway Notification Maintenance

2. On the **Treasury Gateway Notification Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-31 Treasury Gateway Notification Maintenance- Field Description

Field	Description
Notification Code	The system displays a unique code to identify a notification.
Description	The system displays a brief description of the notification. However, you can modify the description in this screen.
Operation	Select the type of operation for the notification from the following. • Insert- Indicates a new operation of notification function • Update- Indicates a modification operation of notification
Gateway Operation	Specify the gateway operation name to execute query for the mentioned service.
Gateway Service	Specify the gateway service to be used to get the full screen response.
Request Node	Specify the gateway IO request node to be used in querying operation.
Specific Notification	Select the Specific Notification check box to indicate the system to send specific notification. The system handles any deviation from generic notification process by creating specific triggers once you check this field.
Full Screen Reply	Select the Full Screen Reply check box to indicate that the full screen notification response has to be sent. Otherwise, the primary key response notification is sent.
Head Office	Select the Head Office check box to send notification only from head office.

1.29 Process Notifications Enroute

This topic provides the systematic instructions to process Notifications Enroute.

Specify the **User ID** and **Password**, and login to Homepage.

1. On the Home page, specify **TRDNTFEN** in the text box, and click next arrow.
The **Treasury Notification Enroute Maintenance** is displayed.

Figure 1-34 Treasury Notification Enroute Maintenance

2. On the **Treasury Notification Enroute Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

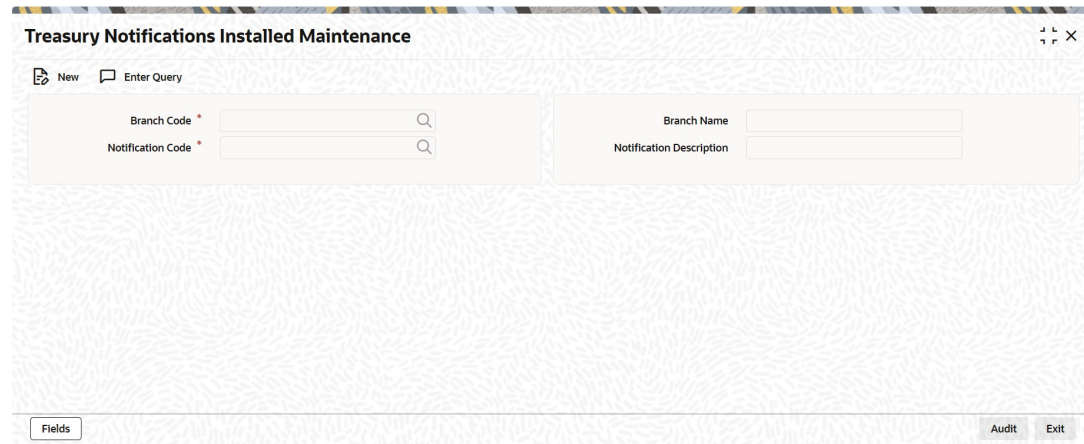
Table 1-32 Treasury Notification Enroute Maintenance- Field Description

Field	Description
Branch Code	Specify a branch for which you wish to define a topic. If you want to use a single topic for all branches and for a given notification code, you can use a wildcard '***'.
Description	The corresponding description is displayed for the selected branch code.
Notification Code	Select a notification code from the list of notification codes provided. You can indicate a wildcard '***' if a single topic needs to be used for all notifications in a branch.
Notification Description	The corresponding description is displayed for the selected notification code.
Destination Name	Specify the destination name. Once you have captured the details, save the maintenance.

1.30 Process Notification Messages

The topic provides the systematic instructions to process notification messages.

1. On the Home page, specify **TRDNTFIN** in the text box, and click next arrow.
The **Treasury Notifications Installed Maintenance** screen is displayed.

Figure 1-35 Treasury Notifications Installed Maintenance

2. On the **Treasury Notifications Installed Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-33 Treasury Notifications Installed Maintenance - Field Description

Field	Description
Branch Code	Select a branch code for which you wish to assign a notification code. Once you select the branch code, the corresponding description is displayed.
Branch Name	Specify the name of the Branch.
Notification Code	Select a notification code from the available list of values that you wish to link with the branch. This is used to generate notifications for the entire branch. Once you select the notification code, the corresponding description is displayed. In addition to maintaining a notification code for a given branch, you can also specify a topic or a queue to which the notification messages should be sent. You can define a topic/queue for a given branch and notification code in the Treasury Notifications Enroute Maintenance screen.
Notification Description	Specify the notification description.

1.31 Process ECA Block Details

This topic provides the systematic instructions to process ECA Block Details.

The system creates an ECA amount block on an account when an ECA request is approved. This blocked amount is used for ECA debit and will be active till the approved amount is debited or ECA request is canceled.

The CreateEcablk interface performs the ECA block request. You can view the ECA Block details in the **Treasury ECA block** screen. The system allows you to only query the details in this screen. Other operations are not allowed in this screen.

1. On the Home page, specify **TRDECABL** in the text box, and click next arrow.

The **Treasury ECA Block** screen is displayed.

Figure 1-36 Treasury ECA Block

- On the **Treasury ECA Block Details** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-34 Treasury ECA Block Details - Field Description

Field	Description
Branch	The system displays the current branch code.
Source Code	The system displays the source code passed in the request.
External Reference	Specify the external reference number.
External Credit Approval Reference	Specify the ECA reference number.
Effective Date	The system displays the effective date.
Referral Allowed	Select this option to specify Referral Allowed.
Mark as Error	If Mark as Error field is enabled then the complete ECA request can be rejected even if one account fails in the validation.
External Credit Approval Details	The following ECA details are displayed based on the query: • Account Branch • Account Number • Account Currency • Requested Amount • Approved Amount • Outstanding Amount • Status • Remarks • Partial Block Required • Instrument Code • Block type • Force Block

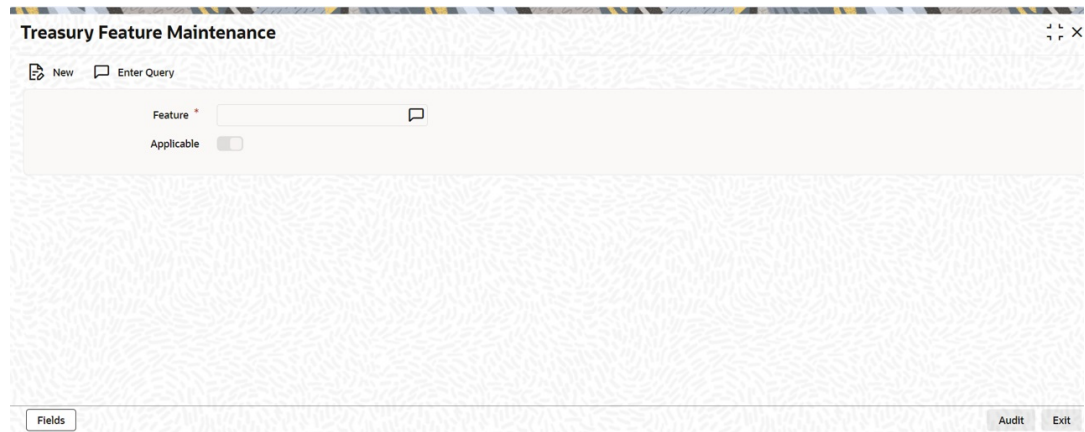
1.32 Process Feature

This topic describes the systematic instructions to process features.

- On the Home page, specify **CSDTRFTM** in the text box, and click next arrow.

The **Treasury Feature Maintenance** screen displays.

Figure 1-37 Treasury Feature Maintenance



2. On the **Treasury Feature Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-35 Treasury Feature Maintenance- Field Description

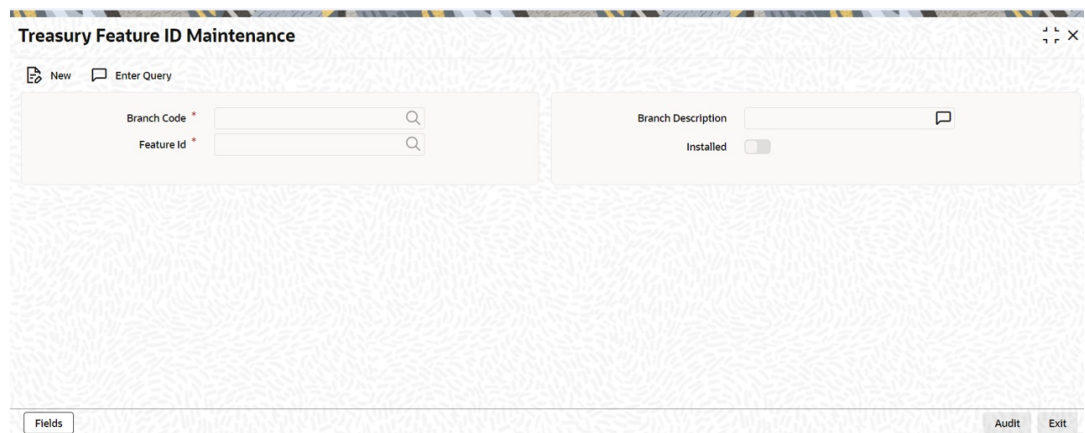
Field	Description
Feature	Specify the feature that you need to query.
Applicable	The system defaults this check box when you execute the query with the feature name.

1.33 Maintain Feature ID

This topic describes the systematic instructions to maintain Function ID that should be installed in the branch.

1. On the Home page, specify **CSDTRFEM** in the text box, and click next arrow.
The **Treasury Feature ID Maintenance** screen is displayed.

Figure 1-38 Treasury Feature ID Maintenance



- On the **Treasury Feature ID Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-36 Treasury Feature ID Maintenance - Field Description

Field	Description
Branch Code	Specify the branch where the feature needs to be installed. The adjoining option list displays all valid branch codes maintained in the system. You can select the appropriate one.
Branch Name	The branch name is displayed here based on the chosen branch code.
Feature Id	Specify the feature that should be installed in the branch.
Installed	Select this check box to enable the installed option in branch.

1.34 Process Confirmation/ Affirmation Type Maintenance

This topic describes the systematic instructions to process and maintain different confirmation and affirmation types.

Manual confirmations received by FAX/telephone/Hard-copy etc. (Affirmation) need to be registered for a deal.

- On the Home page, specify **STDCNTYP** in the text box, and click next arrow.
The **Confirmation/Affirmation Type Maintenance** screen is displayed.

Figure 1-39 Confirmation/Affirmation Type Maintenance

- On the **Confirmation/Affirmation Type Maintenance** screen, specify the fields.
For more information on fields, refer to the below table.

Table 1-37 Confirmation/Affirmation Type Maintenance

Field	Description
Type	Specify the confirmation or affirmation type.
Type Description	Specify the description for the selected type.

Table 1-37 (Cont.) Confirmation/Affirmation Type Maintenance

Field	Description
Confirmation/Affirmation	Select the type of contract. The options are as follows: • Confirmation • Affirmation
Consider for Contract Confirmation	Select the Consider for Contract Confirmation check box for affirmation type of contract. If this field is checked for an affirmation type and an affirmation is done for the contract with this affirmation type, then the contract is considered as 'Confirmed'.

1.35 Floating Rates Maintenance

This topic describes the systematic instructions to process floating rate maintenance.

1. On the Home page, specify **CFDFLRAE** in text box, and click next arrow.

The **Floating Rates Maintenance** screen is displayed.

Figure 1-40 Floating Rates Maintenance

2. On the **Floating Rates Maintenance** screen, specify the fields.

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

Table 1-38 Floating Rates Maintenance- Field Description

Field	Description
Rate Code	Specify a code to identify the Floating Rate you are defining. You can associate several currencies to the rate code and specify rates for each currency. While processing a contract, you need to indicate this code to make the rate applicable to the contract.
Rate Description	Specify the rate code description.
Rate Source and Description	Specify the rate source, and its description.
Effective Date	Specify the date.
Branch	Specify the name of the branch.

Table 1-38 (Cont.) Floating Rates Maintenance- Field Description

Field	Description
Tenor code and Description	Specify the starting tenor or the minimum tenor for which the risk percent is applicable. By default the value of this field will be 0 or the Tenor To of the previous record.
Currency Code and Description	Specify the currency code and its description.
Rate type and description	Specify the type of the rate, and its equivalent description.
Interest Rate	Specify the Interest Rate.

2

Dashboard Maintenance

A central dashboard is provided for non-STP operations in the Back office. This dashboard displays the count of unauthorized record per module based on events. Option is provided to view the record details and authorize by providing the module wise grids which helps to separate the pending actions on the basis of operational roles of the business users. The scope of the dashboard is to enable view of all non-authorized entries into Product processor layer of OBTR from external systems.

The scope of the dashboard is to enable view of all non-authorized entries into Product processor layer of OBTR from external systems

Based on the roles defined to the user the actions are provided to the user on login to the system. To View the pending transactions across departments the user should be a Super User.

Department mapping of a user is used to differentiate the trades and same is used as a column in dashboard with Own and Others differentiation. For normal user there are counts fetched under OWN department. In case of the user logged-in is a Super User, then OTHER department counts also is fetched based on availability of Un-Auth records

- The system uses the Marker ID of the unauthorized contract to check the department from the respective user definition mapping. Below are the conditions allowed:
- If the login user is from the same department as the maker then the count will add to Own department in dashboard.
- If the department is different and the user is not a super user then such unauthorized records/contracts will not add to the respective grid count in the authorization dashboard. (There is no Others row display for non-super user).
- If the department is different and the user is a super user that such unauthorized records/contracts will add to the Other row for respective grid count.

Count in respective grid and list of unauthorized deals for respective event is same in summary screen when invoked from dashboard.

After authorization, count in respective grid should decrease on refresh.

This topic contains the following sub-topics:

- [Dashboard Super User](#)
This topic provides the systematic instructions to capture the mapping details of the super user in the dashboard and provide information at-a-glance.
- [Treasury Authorization Dashboard](#)
This topic describes the systematic instructions to capture the dashboard details.

2.1 Dashboard Super User

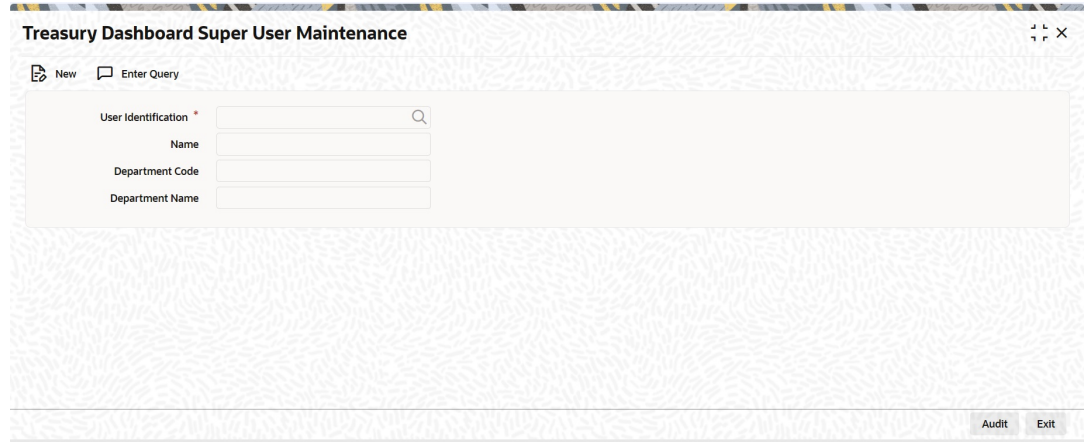
This topic provides the systematic instructions to capture the mapping details of the super user in the dashboard and provide information at-a-glance.

User department is maintained manually in **SMDUSRDF** for required view for user. The count in dashboard grid is as per department maintenance.

A super user has a privilege of all the inter departmental views in the dashboard.

1. On the Home page, type **TRDDBSUP** in the text box, and click the next arrow.
The **Treasury Dashboard Super User Maintenance** screen is displayed.

Figure 2-1 Treasury Dashboard Super User Maintenance



2. On the **Treasury Dashboard Super User Maintenance** screen, specify the details as required.

For field information, see the below table.

Table 2-1 Treasury Dashboard Super User Maintenance- Field Description

Field	Description
User Identification	The list of the values displays the list of user ids having department code maintained in the User Maintenance screen.
Name	The system defaults the name from the User Maintenance screen.
Department code	The system defaults the department code from User Maintenance is displayed.
Department Name	The system defaults the department name default as per the based on the displayed department.

2.2 Treasury Authorization Dashboard

This topic describes the systematic instructions to capture the dashboard details.

- On the Home page, type **TRDAUTDB** in the text box, and click the next arrow.
The **Treasury Authorization Dashboard** screen is displayed.

Figure 2-2 Treasury Authorization Dashboard

Treasury Authorization Dashboard

Refresh

Foreign Exchange

Department	Operations	Count
☒ ALL	New	6
☐ ALL	New Internal	9
☐ ALL	ISDA Confirm	2

Page 1 of 1

Money Market

Department	Operations	Count
☒ ALL	New	11
☐ ALL	Financial Arm	1
☐ ALL	Non-Financie	2
☐ ALL	Rate Fixing	1

Page 1 of 1

Derivatives

Department	Operations	Count
☒ ALL	New	1

Page 1 of 1 (1 of 1 items)

Options

Department	Operations	Count
☒ ALL	New	11
☐ ALL	Knock In/Out	1
☐ ALL	ISDA Confirmation	2

Page 1 of 1 (1-3 of 3 items)

Exchange Traded Derivatives

Department	Operations	Count
☒ ALL	New Instrument	15
☐ ALL	Instrument Amend	3
☐ ALL	Instrument Close	1

Page 1 of 1 (1-3 of 3 items)

Securities

Department	Operations	Count
☐ ALL	Block/Release Deal	7
☐ ALL	Custody Movement	1
☐ ALL	Rate Fixing	3
☐ ALL	Redemption	2

Page 1 of 1 (1-10 of 10 items)

Credit Derivatives

Department	Operations	Count
☐ ALL	Instrument Close	1
☐ ALL	Index Buy-Sell	26
☐ ALL	Index Trade Amend	4
☐ ALL	Index Trade Reverse	1

Page 1 of 1 (1-5 of 5 items)

Exit

Each section has three columns:

- **Department:** The department column is to capture the department of the user and will have three valid values for Own, Other and All
- **Operation:** This column displays the type of operation of the record
- **Count:** This column displays the number of records

The number of rows under each section varies as per the number of grids required for each module. The department column is to display the department of the user and has three valid values: Own, Other, and All (in case no department mapping for users in the **User Maintenance** screen).

Only a super user views the other departments whereas other users only view of their own department for each operation. In case of super users, each operation appears twice with separate counts differentiated by the Department value.

Drill - down from a particular dashboard grid takes you to a summary screen which has the actionable filter and rows to arrive at the authorization screen for the function.

The Dashboard displays only the current branch transactions even when the user has multi-branch access.

Bulk authorization from the summary screen is not supported.

To view the summaries/ doing actions from respective detail screens is based on the existing SMS functionality of User Roles Function rights mappings.

Ensure the incoming record, dashboard mapping makes use of the Maker ID, valid User ID in SMDUSRF with assigned roles/ functional rights/ department.

The dashboard is not to control the user action rights for any action in OBTR but is to offer a centralized view of pending authorization items with a possible segregation of departments.

User makes use of Refresh option in the respective summary screens from dashboard to move an authorized row out of the screen.

- [Grid Details](#)

2.2.1 Grid Details

This section provides the details of all the grids.

Foreign Exchange Grid Details

- New Grid: Unauthorized new FX deal is considered to display count under this grid
- Amend Grid: Unauthorized amended FX deals is considered to display count under this grid. NDF forward deal is not displayed in this grid during fixing process
- Reverse Grid: Unauthorized reversal FX deals is considered to display count under this grid
- Fixing Grid: Unauthorized new Fixing FX deal booked for NDF deal is considered to display count under this grid
- Payment Grid: Unauthorized partial FX payments is considered to display count under this grid
- Liquidation Grid: Unauthorized manual full liquidation FX deals is considered to display count under this grid
- Cancel/Payment Reverse grid: Unauthorized Cancellation or reversal of payments to appear under this grid
- New Internal Swaps Grid: Unauthorized new FX Internal swaps deal is considered to display count under this grid
- Close Internal Swaps Grid: Unauthorized closed FX Internal swaps deal is considered to display count under this grid

Money Market Grid Details

- New Grid: Unauthorized new MM deal is considered to display count under this grid. New deal which is auto created during rollover action is not considered in count
- Non-financial Amend Grid: Unauthorized amended MM deals is considered to display count under this grid. Unauthorized CAMD event is considered
- Financial amend: Unauthorized financial amendments for MM deals is considered to display under this grid
- Payment reverse: Unauthorized MM Payment reversals are considered for display under this grid
- Rate refix: Unauthorized rate refix records for MM are considered for display under this grid
- Reverse Grid: Unauthorized reversal MM deals is considered to display count under this grid
- Rollover Grid: Unauthorized MM rollover deals is considered to display count under this grid
- Liquidation Grid: Unauthorized Partial/full liquidated MM deals is considered to display count under this grid

Options Grid Details

- New Grid: Unauthorized new Option deal is considered to display count under this grid
- Amend Grid: Unauthorized amended Option deals is considered to display count under this grid
- Reverse Grid: Unauthorized reversal Option deals is considered to display count under this grid
- Exercise Grid: Unauthorized manual exercised deals is considered to display count under this grid
- Knock In/Out Grid: Unauthorized manual Knock In or Knock Out deals is considered to display count under this grid.
- Termination: Unauthorized terminated option deals is considered to display count under this grid

Over the counter Derivatives Grid Details

- New Grid: Unauthorized new Swap deal is considered to display count under this grid
- Amend Grid: Unauthorized amended Swap deals are considered to display count under this grid
- Reverse Grid: Unauthorized reversal Swap deals are considered to display count under this grid
- Termination: Unauthorized terminated Swap deals are considered to display count under this grid

Exchange Traded Derivatives Grid Details

- New Instrument Grid: Unauthorized new Instrument creation is considered to display count under this grid

- Instrument Amend Grid: Unauthorized Instrument amendments are considered to display count under this grid
- Instrument Close Grid: Unauthorized closed Instrument are considered to display count under this grid
- New Deal Grid: Unauthorized new deals are considered to display count under this grid
- Deal Amend Grid: Unauthorized amended deal is considered to display count under this grid
- Deal Reverse Grid: Unauthorized reversed deal are considered to display count under this grid
- Matching Grid: Unauthorized manually matched deal is considered to display count under this grid
- Exercise and Assign Grid: Unauthorized manual exercise and assigned deals are considered to display count under this grid
- Exercise and Assign Reverse Grid: Unauthorized reversed manual exercise and assigned deals are considered to display count under this grid
- Margin Settlement: Unauthorized margin settlement deals are considered to display count under this grid

Securities Grid Details

- New Instrument Grid: Unauthorized new Instrument creation is considered to display count under this grid
- Instrument Amend Grid: Unauthorized Instrument amendments is considered to display count under this grid
- Instrument Close Grid: Unauthorized closed Instrument is considered to display count under this grid
- New Deal Grid: Unauthorized new deals are considered to display count under this grid
- Deal Amend Grid: Unauthorized amended deal is considered to display count under this grid
- Deal Reverse Grid: Unauthorized reversed deal are considered to display count under this grid
- Coupon Settlement Grid: Unauthorized FI Corporate actions is considered to display count under this grid
- Block/Release deal Grid: Unauthorized manual block or release of existing securities are considered to display count under this grid
- EQ corporate action grid: Unauthorized EQ Corporate action is considered to display the count under this grid
- Rate refix grid: Unauthorized SE rate refix is considered to display count under this grid
- Custody Movement Grid: Unauthorized manual movement of securities between custodian accounts are considered to display count under this grid

Repo Grid Details

- Repo Deal Grid: Unauthorized new Repo or Reverse Repo deal is considered to display count under this grid
- Repo Amend Grid: Unauthorized Repo or Reverse Repo amended deals are considered to display count under this grid. Unauthorized CAMD event is considered

- Repo Reversal Grid: Unauthorized Repo or Reverse Repo reversal deals are considered to display count under this grid
- Repo Liquidation Grid: Unauthorized Repo or Reverse Repo liquidated deals are considered to display count under this grid
- Repo payment reversal grid: Unauthorized Repo payment reversals are considered to display count under this grid

A

Error Messages for Core Entities and Services

This topic contains the error codes and messages.

Table A-1 Error Codes and Messages

Function ID	Error Code	Message
STDTRCIF	TR-CIF002	CLS details cannot be entered when the customer is not a CLS participant.
STDTRCIF	ST-VALTR10	Multiple Swift Confirmation Parameters is applicable only when Fund Type Customer is selected.
STDTRCIF	ST-VALTR14	Settlement Member BIC Code is mandatory when Settlement Member Only option is selected.
STDTRCIF	ST-VALTR11	Generate Confirmation Message to should be given for the fund type customer.
STDTRCIF	ST-VALTR12	Custodian BIC Code and Settlement BIC Code is mandatory when Both option is selected.
STDTRCIF	ST-VALTR13	Custodian BIC Code is mandatory when Custodian Only option is selected
CSDTRPDR	CS-TR-018	Branch Restriction is not applicable for \$1 products
CSDTRPDR	CS-TR-017	Customer List and Category List are not applicable for Retail Teller/Fixed Assets/ Islamic Assets products
STDCNTYP	ST_FXMM-01	Consider for contract confirmation flag is applicable for only Affirmation type of maintenance
CFDFLRAE	CF-TR-021	Mandatory field Rate Source is blank

Glossary

Beginning of Day

This is the automatic processes initiated in the system at the beginning of each business day, as part of the AEOD. The system date change is executed and the change authorized, and the system is in readiness to accept transaction input for the day.

End of Day

This is the last stage of AEOD processing in the system at the end of each business day, which indicates that all activities are complete for the business day. Any further activities in the system can only begin after the Beginning of Day stage, when the system date is changed to the next working day.

Event

This represents each of the different stages in the processing life-cycle of a contract.

FATCA

FATCA is the acronym for Foreign Account Tax Compliance Act enacted by the US Government as part of the Hiring Incentives to Restore Employment (HIRE) Act, in 2010. The purpose of FATCA is to help Internal Revenue Service (IRS) to identify and collect tax from US Persons (USP) holding financial assets outside US.

FCY

This is a foreign currency in which record of the profit and loss entries posted to a GL can be maintained.

MIS Head

An MIS Head indicates the manner in which the type of entry should be considered for profitability reporting purposes.

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