



➤ Quick Guide

UC Trade Finance Gate

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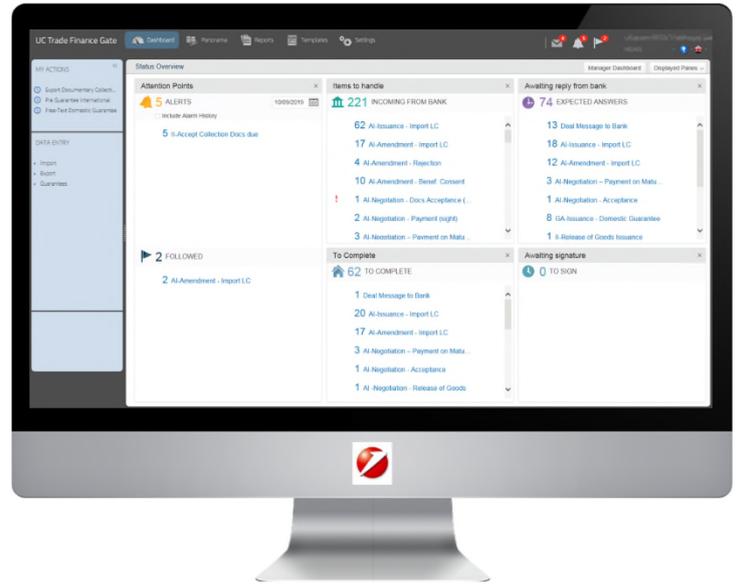
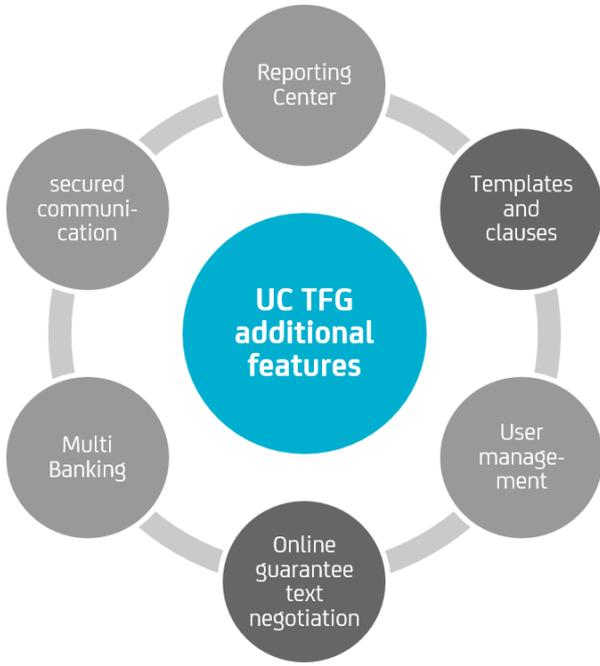
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1. INTRODUCTION

UC Trade Finance Gate is your new electronic channel for your Trade Finance business.

With UC Trade Finance Gate the entire processing of your Trade Finance business is put on an electronic basis, from the issuance over an amendment to the payment of a transaction you are in a secure electronic exchange with us. The signing of your transactions is also executed in an electronic way.

All Trade Finance products, like import/export Letter of Credits, import/export Documentary Collections, incoming/outgoing international and domestic guarantees can be found in one system. A transfer of all open HVB transactions into UC Trade Finance Gate is done. Therefore you can already access all open Trade Finance deals right from the beginning.



The Multi Banking functionality is included in the Corporate Edition and supports the data exchange with other banks via EBICS-Standard (please see details in the service spectrum per edition on the next page).

The Log-In is done via the “UniCredit Corporate Portal” as per Point 2 Sign In.

The advise of export Letter of Credits or also incoming guarantees is always executed as a PDF from our side, so you can copy all of your necessary information, e.g. for the issuance of documents.

Additionally, we will also provide you our correspondence via mail as before.

Service spectrum per edition of your UC Trade Finance Gate

Functions	Basic Edition	Business Edition	Corporate Edition
Products			
Import Letter of Credit			
Issuance	✓	✓	✓
Amendment	✓	✓	✓
Release of Goods	-	✓	✓
Document handling	-	✓	✓
Payment	-	✓	✓
Export Letter of Credit			
Advise	✓	✓	✓
Document handling	-	✓	✓
Payment	-	✓	✓
Import Documentary Collection			
Advise	-	✓	✓
Document presentation	-	✓	✓
Release of Goods	-	✓	✓
Payment	-	✓	✓
Export Documentary Collection			
Issuance request	-	✓	✓
Payment	-	✓	✓
Outgoing Guarantee/ Stand By			
Issuance request	✓	✓	✓
Amendment	✓	✓	✓
Pre-text negotiation	-	-	✓
Incoming Guarantee			
Advise	-	✓	✓
Signature			
Electronic signature	✓	✓	✓

Functions	Basic Edition	Business Edition	Corporate Edition
Administration	✓	✓	✓
Independent user administration	✓	✓	✓
Alert management	✓	✓	✓
Administration of templates	✓	✓	✓
Administration of text clauses	✓	✓	✓
Customer- and bank-address book	✓	✓	✓
Sending of attachments	✓	✓	✓
Standard reportings	✓	✓	✓
Additional functions	-	-	✓
Multi Banking function	-	-	✓
Report Center	-	-	✓

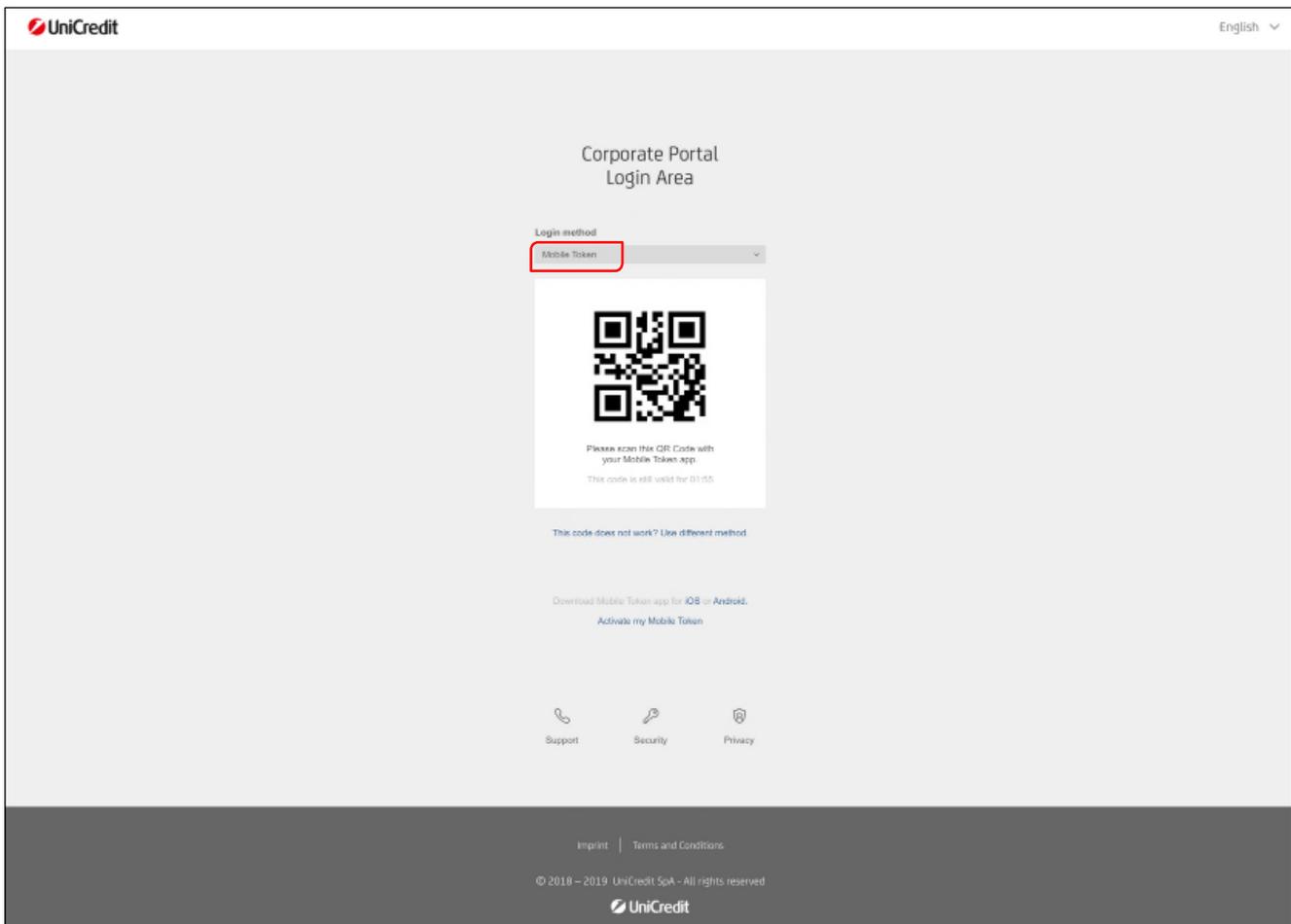
2. SIGN-UP AND LOG-IN

The access to UC TFG is done via the UniCredit Corporate Portal and is therefore OSD2 conform as it is designed as a Single-Sign-On for all UniCredit Portal applications (e.g. UC eBanking global, UC Trader, GPI Monitor).

Enter the following internet address in your browser <https://corporateportal.unicreditgroup.eu/portal/germany/login>.

First you have to initialise yourself with an authentication method (Mobile Token or photoTAN) and log into the Corporate Portal.

Please choose your authentication method (Mobile Token or photoTAN) for this, which you would like to use for logging in (Example here with Mobile Token).

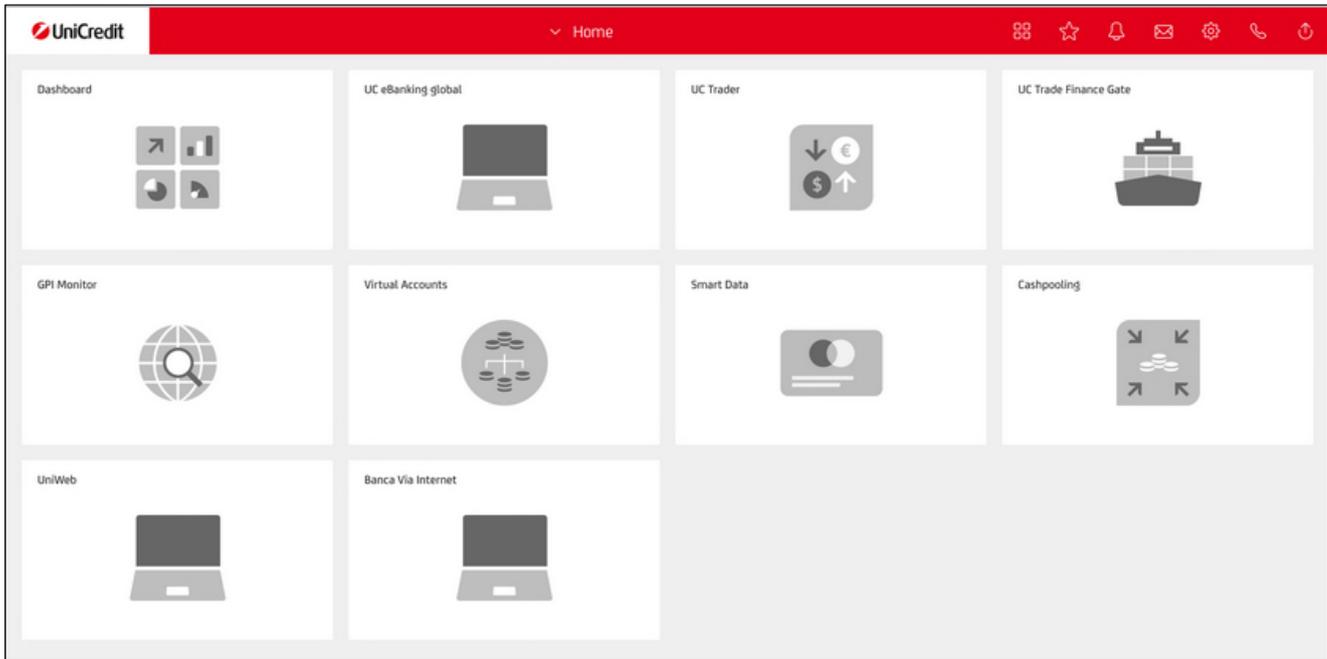


After the implementation of your initialisation you can directly log into the Corporate Portal with your authentication method. After the successful log-in you reach the homepage of the portal.

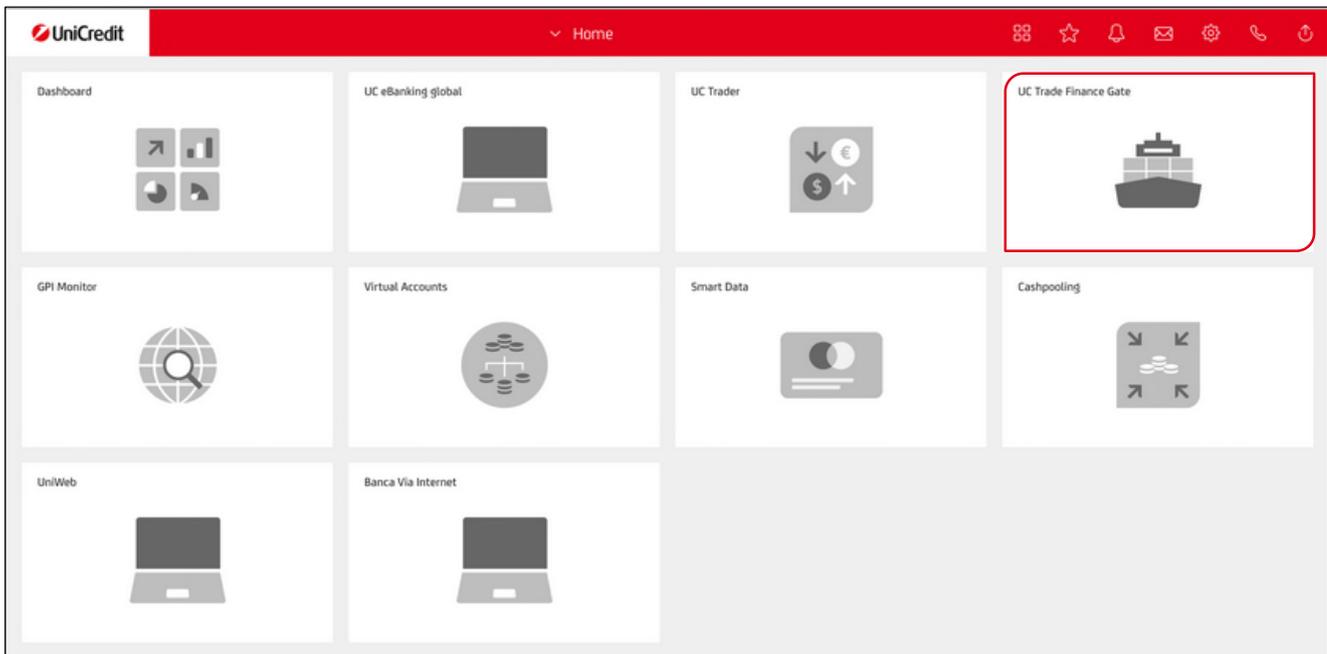
Here the products used by you are displayed.

In the Corporate Portal you have the possibility to change the language between “German” and “English”.

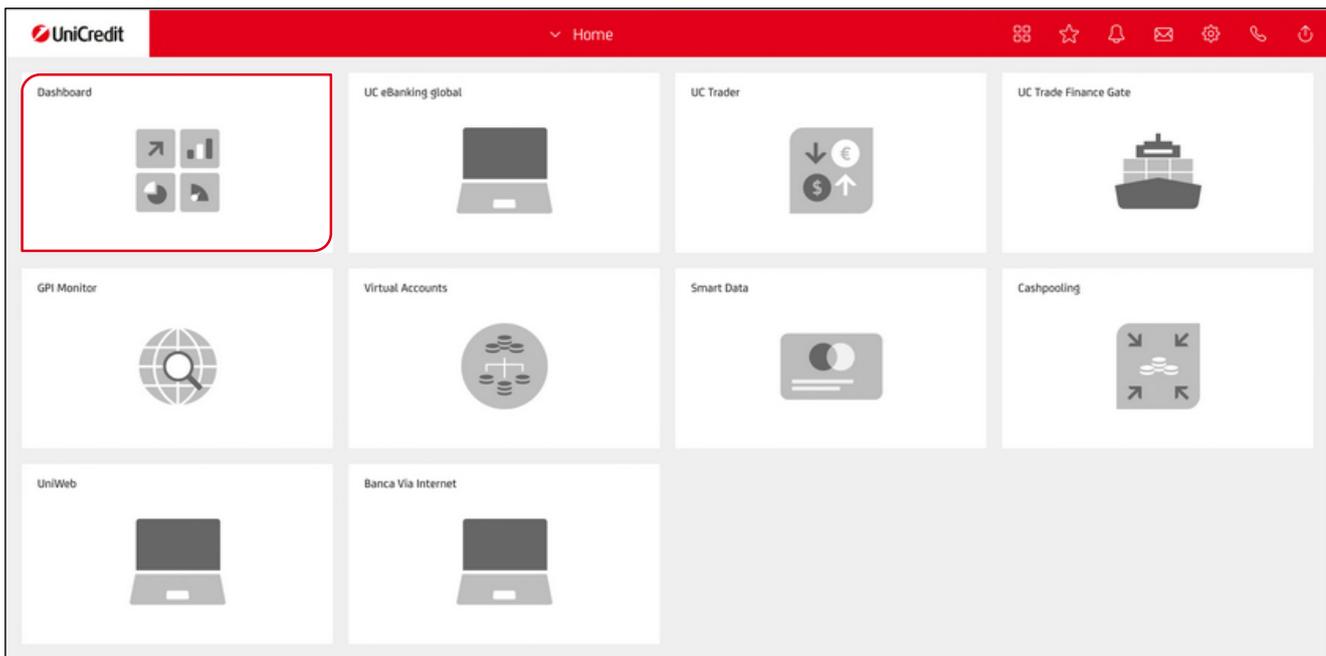
Via Settings  (see symbol in the red header) you can set the language.



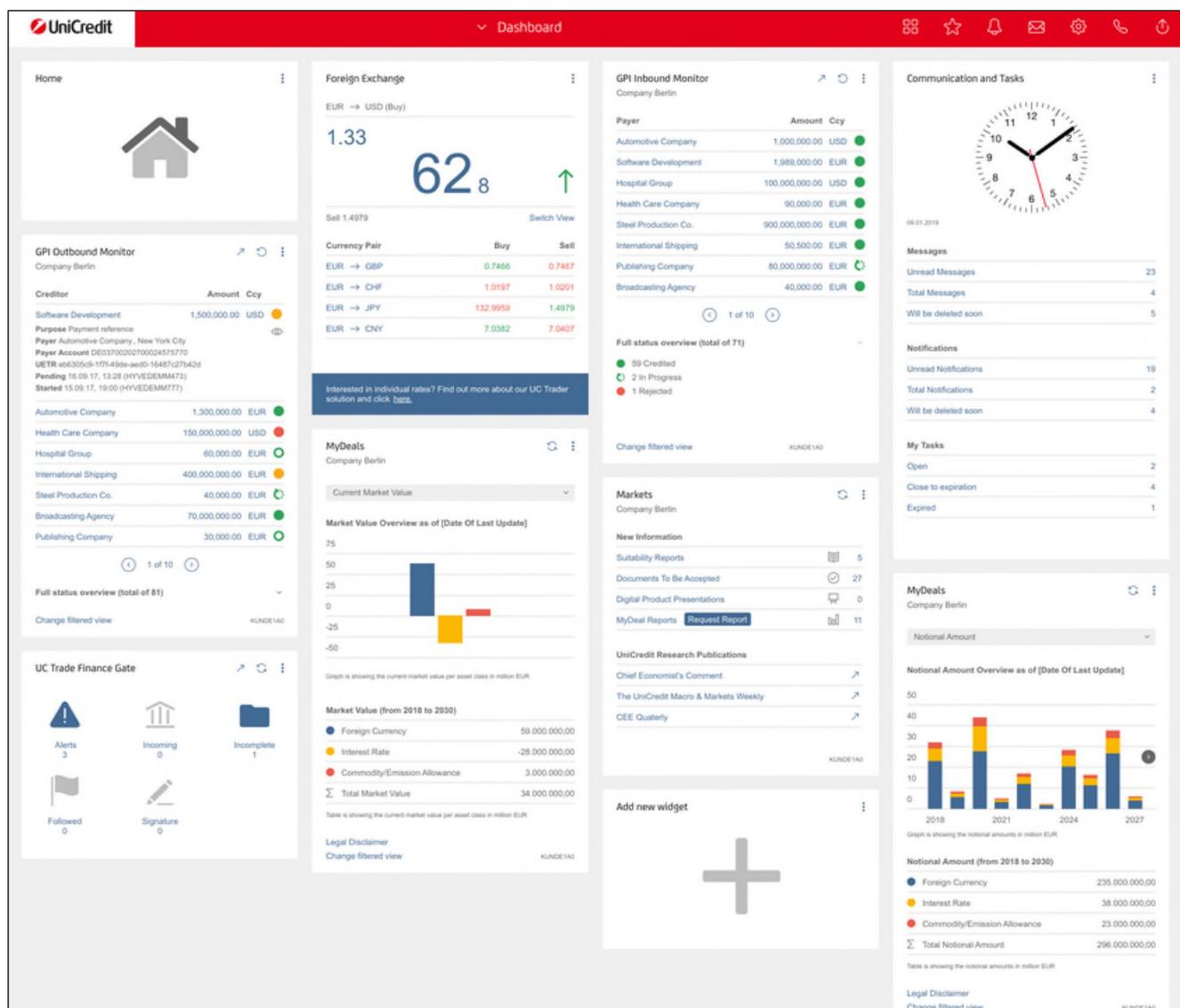
The access of UC Trade Finance Gate is done via the button of the vessel.



By accessing the dashboard you can do further settings concerning the personalisation of the Corporate Portal.



In the dashboard you can choose, add and arrange freely the Widgets of your used products and services. Choose the following symbol  in the red header for this. With “drag and drop” you can arrange freely the Widgets of your dashboard.

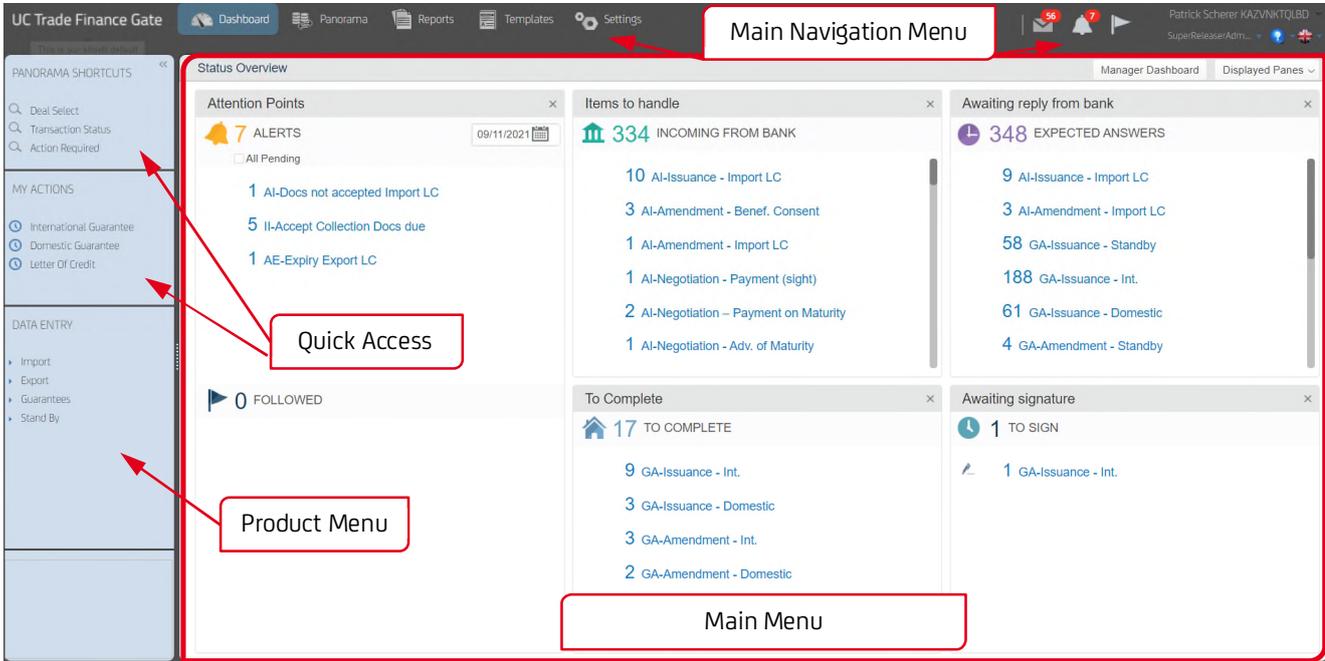


3. STRUCTURE OF THE PLATFORM

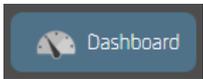
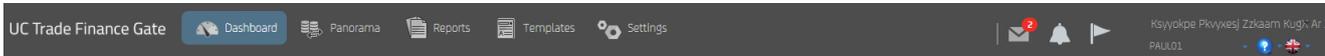
3.1 NAVIGATION ON THE PAGE

The UC TFG platform consists of the following main components:

- Main navigation menu (Dashboard, Panorama, Reports, Templates, Settings)
- Product menu (my actions and data entry)
- Main screen (alerts, incoming from bank, expected answers, followed, to complete, awaiting signature)



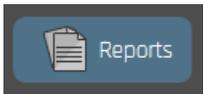
In the horizontal main navigation menu you can choose between the following buttons:



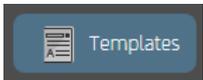
The Dashboard is the default view after the successful login and offers an overview of the current processing status of your transactions.



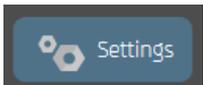
The Panorama view serves for the detailed tabular overview of all steps and transactions.



Under Reports you can create standard reports and inquiries for your transactions.

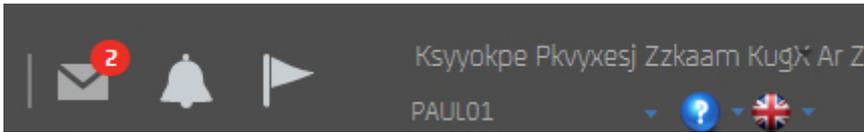


Under Templates you can create and call templates for recurring transactions.



Under Settings you can change general settings, govern users and administer your customer and bank address books.

In the right part of the main navigation menu you can see the following icons:



Alert for newly received messages



Reminders, automatically set by the system

There is an automatic set of reminders for the following processing steps:

Steps on bank side	Number of days
Import L/C acceptance of due date	3
Import L/C expiry date	5
Import L/C latest date of shipment	5
Export L/C acceptance of due date	3
Export L/C expiry date	7
Export L/C latest date of shipment	7
Expiry of outgoing/ incoming guarantee	14/30
Import documentary collection acceptance of documents	1
Import documentary collection payment of documents	1
Export documentary collection acceptance of due date	3

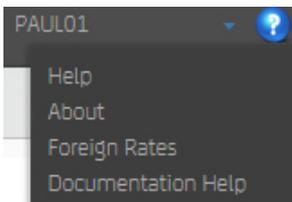


With the „Flags” you initiate the tracking for a transaction, which sends you an alert for every processing step.



1. Company of the user (here the company can be changed)
2. User name

You can reach our help service by clicking on the following button.

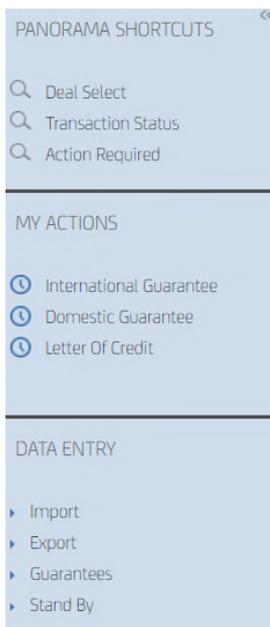


- By clicking on the “?” the following menu opens:
- Contact details of our hotline for problems
 - Information concerning the system version
 - Conversion rates of the currencies used by you
 - Userguide TFG



Selection of language (German or English)

In the vertical menu you can make your choice:



In the upper part you can find the “Panorama-Shortcuts” with quick access to Deal Select, Transaction Status and Action required.

In the middle you can find the view of the recently used products

In the lower part you can find the menu for entering new issuance applications of the following products:

Import Letter of Credit, Import Documentary Collection, Export Documentary Collection, domestic and international Guarantees, Stand By.

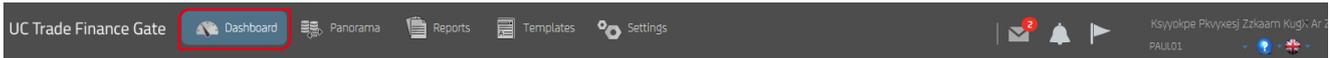
3.2 ICONS

The following symbols are used in the UC Trade Finance Gate:

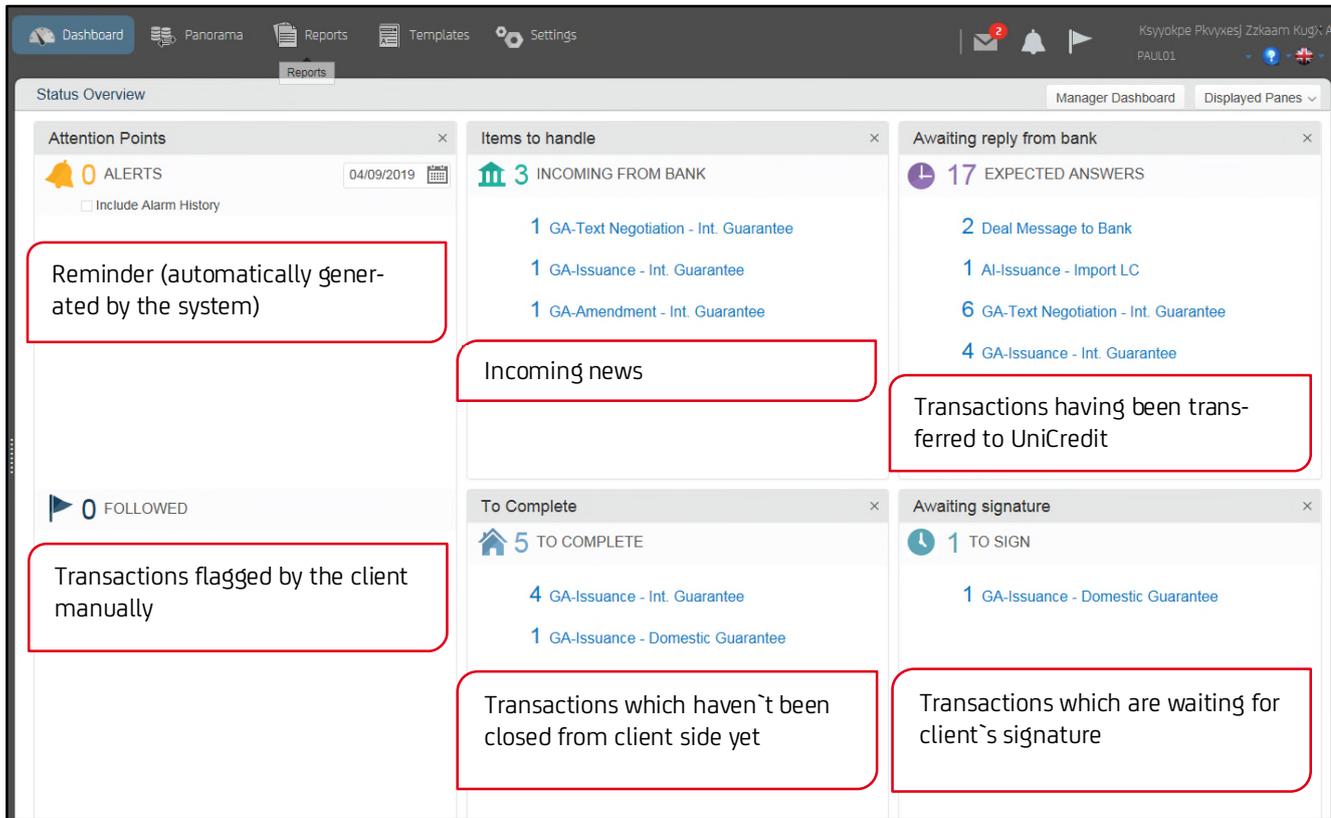
	Move a page backward/forward		Jump to first/last page
	Further options		Delete
	Copy from		Export to Excel
	Print		Followed
	Select query		Clear search filters
	Save the filters		Save columns preferences
	Calendar		Show full report
	Favorites		Dropdownbox
	New Incoming Items		Reminders
	Followed Items		Bank communication existing
	Deal Note		Attachment
	My sign		Expand
	Action required		Save data to address book

3.3 DASHBOARD & NEED FOR ACTION

The Dashboard (Start view after Log In via UC Corporate Portal) therefore equals the main menu under 3.1.



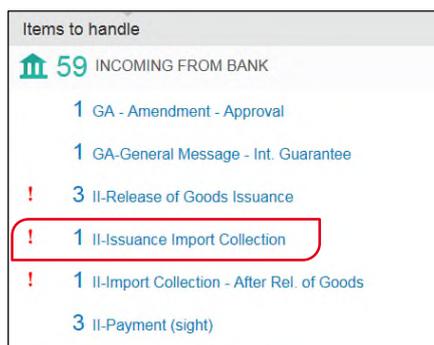
In the following a content overview of the main menu:



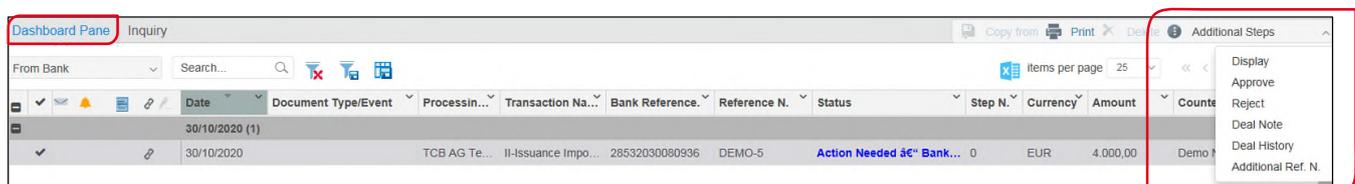
When you position your mouse on the transaction available in your Dashboard, the symbol will be displayed.

Click on “Show full report” to receive a preview with details of all transaction, which are available for the respective product and same step.

In each panel, transactions are grouped not only according to product types, but also to transactions steps. **When a transaction is marked with a ! , further steps are necessary from your side, e.g. the acceptance of import documentary collection documents. Please be aware you can execute the whole process paperless.**



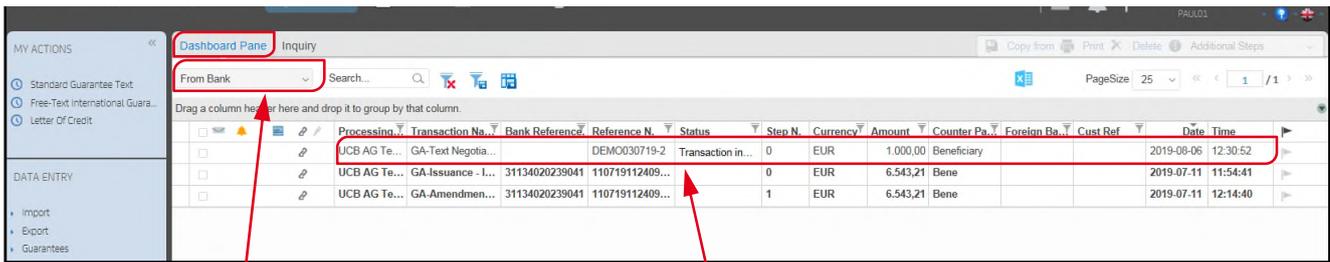
By selecting a specific transaction as “II-Issuance Import Collection” for example you will be forwarded to the Panorama section. There you can trigger the further processing of the chosen transaction via “Additional Steps”:



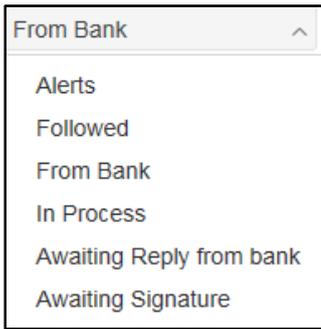
3.4 PANORAMA

In the Panorama view all transactions of the system can be found and selected.

By clicking on “Incoming Transactions” for example, you will be automatically forwarded from the Dashboard to the Panorama view. By using the drop down field in Panorama a switch between the different categories of the Dashboard view can be done.

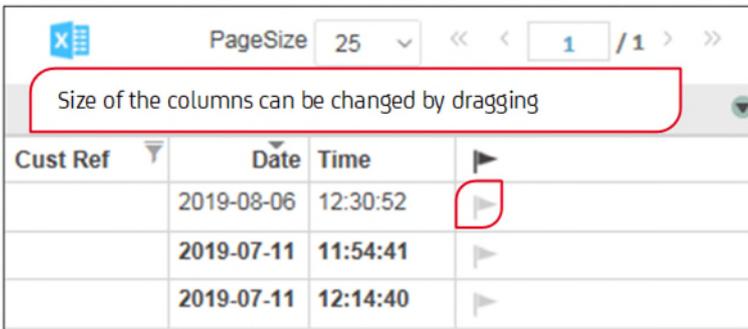


Selection according to the dashboard categories:



By clicking on a transaction the following selection is possible (variations for each product and transaction step possible)

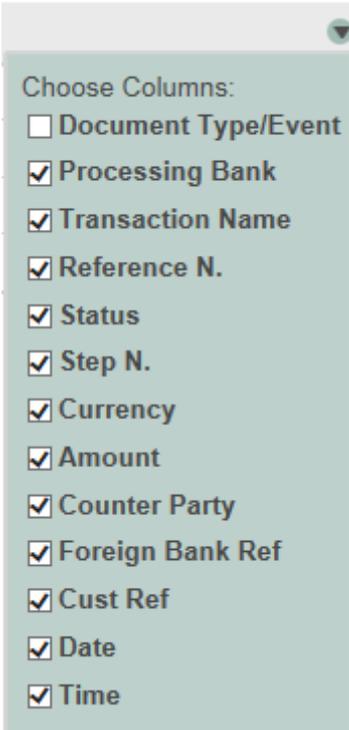
To track a transaction, scroll to the last column and set the flag ► for this transaction.



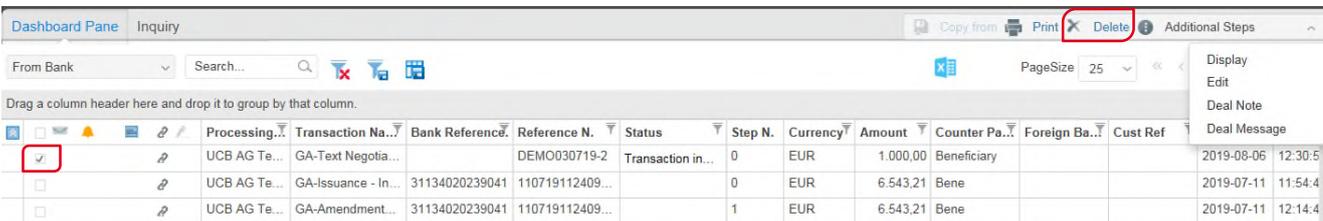
By setting the tracking, this specific transaction step is displayed in the Dashboard under “Followed”. This logic corresponds the flagging logic in Outlook.

For the personalisation of your view, various columns can be shown or hidden by clicking on .

A selection of the columns is possible according to these categories:

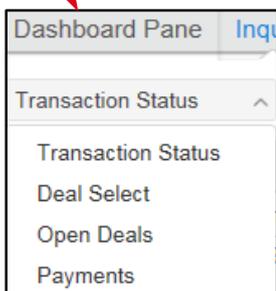
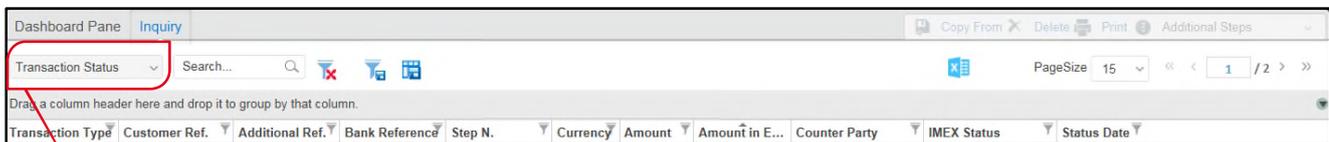


To delete a transaction from the Dashboard, set the check mark at the beginning of a row and choose the X for Delete:



The transaction will therefore be deleted for all users on the Dashboard, but is still available in the transaction history of the Panorama. This procedure can be useful for an increase of the clearness.

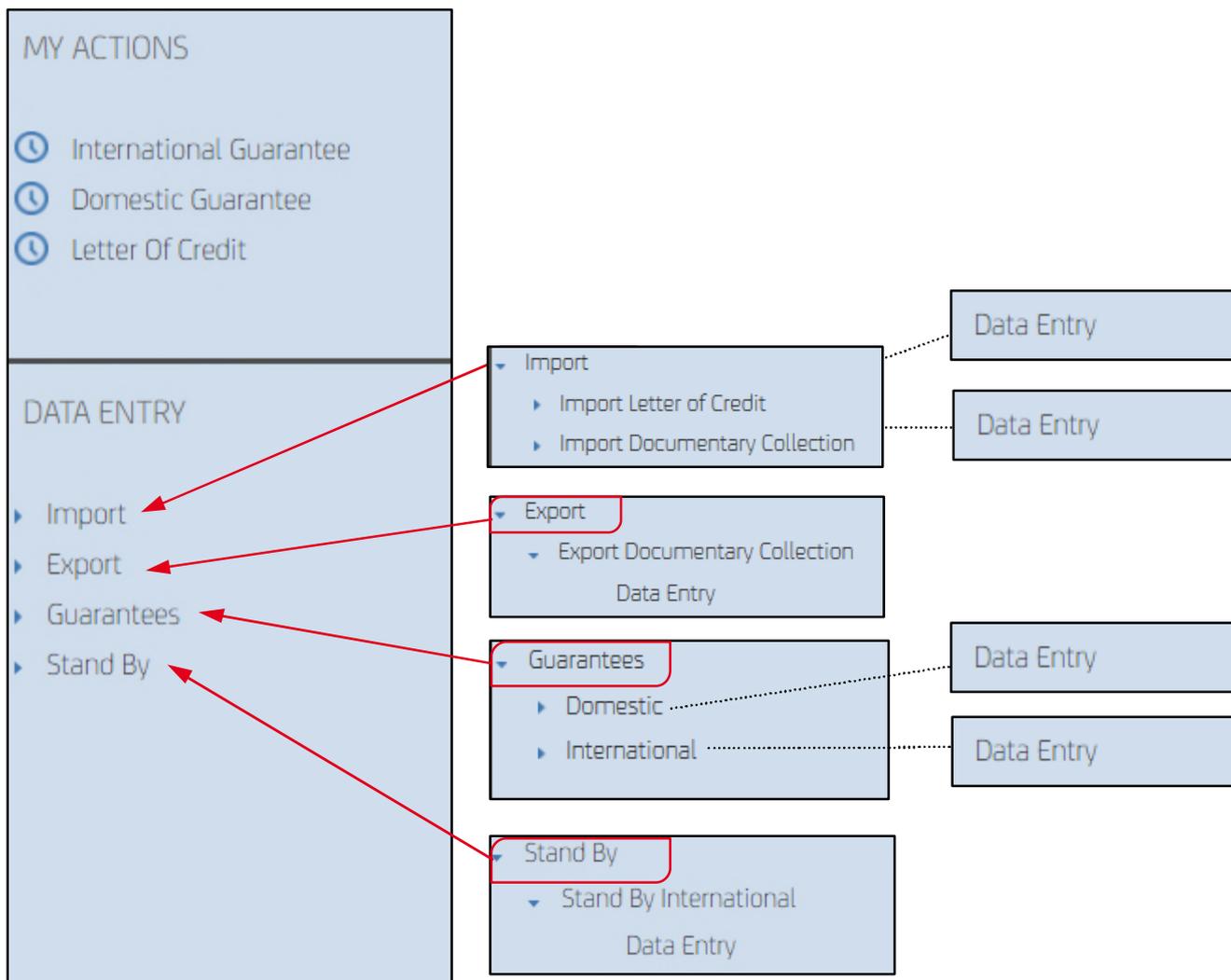
Display of all transactions



4. FUNCTIONS OF UC TRADE FINANCE GATE

4.1 DATA ENTRY OF TRANSACTIONS

By selecting the requested category and following the displayed path you can trigger the data entry of a new transaction.



5. PRODUCTS

5.1 GUARANTEE

5.1.1 OUTGOING GUARANTEE (INTERNATIONAL)

By selecting “Guarantees > International” you can start a new transaction with “Data Entry” (see scheme before).

With the Corporate Edition you have additionally the possibility for “Pre-Text Negotiations”. This means you can harmonise online the guarantee text with the bank.

For the issuance request of a new guarantee with a standard or free format text you start on the following site.

Note: Please be aware once you have chosen a specific transaction you can't change the selected features afterwards within the transaction (e. g. Request Form or Form of Guarantee). You would need to cancel it and to start from the beginning. In case you choose “Free Format” it is important having harmonised the used guarantee text with the bank in **advance**.

Tip: For a better overview and to reduce the results use the filter options.

Type of Guarantee	Template ID	Kind of Guarantee	Request Form	Form of Guarantee
Advance Payment Guarantee (Int.) (5)				
<input checked="" type="checkbox"/>	Advance Payment Guarantee (Int.)	Advance Payment Guarantee FF	Int.Guarantee/Demand Guarantee	Free Format
<input checked="" type="checkbox"/>	Advance Payment Guarantee (Int.)	Advance Payment Guarantee FF	Int.Guarantee/Demand Guarantee	Free Format
<input checked="" type="checkbox"/>	Advance Payment Guarantee (Int.)	Advance Payment Guarantee STD	Int.Guarantee/Demand Guarantee	Standard
<input checked="" type="checkbox"/>	Advance Payment Guarantee (Int.)	Advance Payment Guarantee STD	Int.Guarantee/Demand Guarantee	Standard
<input checked="" type="checkbox"/>	Advance Payment Guarantee (Int.)	Adv. Paym. Guarantee (Algeria)	Int.Guarantee/Demand Guarantee	Standard
Customs Guarantee (1)				
<input checked="" type="checkbox"/>	Customs Guarantee	Customs Bond (Algerien)	Int.Guarantee/Demand Guarantee	Standard
Delivery and Performance Bond (Int.) (4)				
<input checked="" type="checkbox"/>	Delivery and Performance Bond (Int.)	Delivery and Performance Bond FF	Int.Guarantee/Demand Guarantee	Free Format
<input checked="" type="checkbox"/>	Delivery and Performance Bond (Int.)	Delivery and Performance Bond FF	Int.Guarantee/Demand Guarantee	Free Format
<input checked="" type="checkbox"/>	Delivery and Performance Bond (Int.)	Delivery and Performance Bond STD	Int.Guarantee/Demand Guarantee	Standard
<input checked="" type="checkbox"/>	Delivery and Performance Bond (Int.)	Delivery and Performance Bond STD	Int.Guarantee/Demand Guarantee	Standard

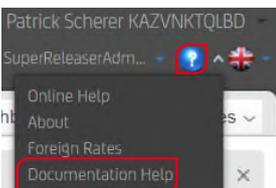
At the bottom of the results, you have the option for a preview of the selected template (Preview Details) but only for standard texts and in German language. English and French versions you'll find in the main navigation menu at /“Documentation Help”. In case you need the template in another language, please contact your Trade Finance Specialist.



Expand (see bottom right)



Print function (see bottom right)



Documentation Help

After having clicked on “Issuance from Template” you can work on the details of each tab of the guarantee.

Mandatory fields are marked with an asterisk. When you move your mouse to a field description a tool tip will be shown with an explanation of the field.

International Guarantee

Create / International Guarantee / GA-Issuance - Int. Contact Details

General Details | Instructions | Parties | Attachments | Text/Additions

* Responsible Bank for Deal: UCB AG Testbank 001 UAT

* Client Reference:

Generate Client Reference

Bank Reference:

Type of Guarantee: Advance Payment Guarantee (Int.)

Individual Naming for Guarantee Type:

Proposed Delivery/Handing over Date: DD MM YYYY

* Applicable Rules:

Specify Applicable Rules if "Other":

* Currency:

* Amount:

* Specification of Guarantee Amount:

Additional Amount covered (interests/ costs):

Governing Law:

Place of Jurisdiction:

* Demand Indicator:

* Validity Type:

Form of Guarantee: Direct

Kind of Guarantee: Int.Guarantee/Demand Guarantee

Request Form: Free Format

Requested language:

* Client Name / Applicant: Patrick Scherer KAZVNTQLBD

* Client Address: Alsterkrugchaussee 11
87493 Soest

* Liability Details / Underlying Transaction Details:

Reference Type:

* Contract reference:

Contract Date: DD MM YYYY

Second Reference Date: DD MM YYYY

Contract Value:

Liability in % of contract value:

* Delivery To / Collected By:

Delivery of existing Guarantees:

Max Line 12

Max Line 50

Quick Save | Save | Sign | Template | Update Template | Deal Note | Cancel

In the bottom menu panel your processing options are displayed:

- Quick Save** Buffer – save and keep processing
- Save** Save– including check of mandatory fields and exiting of transaction
- Sign** When all mandatory fields are filled in, the completely signed order can be transmitted electronically to UniCredit
- Template** Creation and saving of a template (additional information see below)
When creating a template you can name it as you like.
- Update Template** Updates a saved template
- Deal Note** Adds an individual deal note to this processing step

For creating a new template, please choose “Template” in the bottom menu panel. A new window will open where you can assign a name for the specific template and where you can finally save it:

The screenshot shows the 'International Guarantee' form with various fields for bank details, client information, and guarantee specifications. A 'Save Template As' dialog box is open, allowing the user to name the template. The bottom menu includes buttons for 'Quick Save', 'Save', 'Sign', 'Template', 'Update Template', 'Deal Note', and 'Cancel'.

The template can be found in the main navigation menu in category “Templates” under the given name.

Type	Template Name	Counter Party
Guarantee International (3)		
Guarantee International	060519145007WATH	
Guarantee International	1234EXAMPLE ENGL	
Guarantee International	ABC	

You can create templates for each product via the product menu according to this example.

Is an order not completely processed or signed yet, it is shown in category **To Complete**. The section is grouped by products and within a product grouped by transaction step.

The 'Status Overview' dashboard provides a comprehensive view of the system's status. It includes panels for 'Attention Points' (7 alerts), 'Items to handle' (336 incoming from bank), and 'Awaiting reply from bank' (349 expected answers). A 'To Complete' panel is highlighted, showing 18 items to complete, grouped by product and transaction step.

Date & Time	Counter Pa...	Client Refe...	Amount	Issuance D...	Status
10/11/2021 08:3...		1234EXAM...			Transaction in
29/10/2021 12:1...	a	Te612	10,101,00 E...		Transaction in ...
29/10/2021 08:4...	a	T612New	10,101,00 E...		Transaction in ...
28/10/2021 08:1...		060519145...	1,000,000,0...		Transaction in ...

In processing tab **Attachments**, you can add the following document types by clicking *Add*: PDF, Excel, Word, txt, JPG, tiff, msg, XML maximum size 10 MB.

General Details | Instructions | Parties | **Attachments** | Text/Additions

Document Type:

Documents

- Contract
- Copy Documents
- Documents Pre-Checking
- Individual Guarantee Wording
- Order
- Other Documents
- Proforma Invoice

File Name:

You choose the requested document type for the attachment. Click “Add” and another window will open => click “Upload File” and “Add File to Attachments” then. **Please take care** that the field below “Transmit” is marked. **Only then the attachment will be transferred to the bank.**

Edit / International Guarantee / GA-Issuance - Int. / 1234EXAMPLE ENGL

General Details | Instructions | Parties | **Attachments** | Text/Additions

Document Type:

Documents

- Contract

File Name:

The transaction tab “Attachments” follows tab “Text/ Additions”. In case you choose a free format text, it is important that it has been negotiated with the bank in advance.

After having filled the mandatory fields and having provided the account details you can sign the transaction and send it to the bank.

Dashboard Pane Inquiry

Edit / International Guarantee / GA-Issuance - Int. / 1234EXAMPLE ENGL

General Details Instructions Parties Attachments **Text/Additions**

Guarantee Text

* Undertaking Terms and Conditions (guarantee wording)

Max Line 900

Documents and Presentation Instructions

Max Line 100

Instructions For The Bank

* Customer Contact Detail

Max Line 4

Customer to Bank Information

Max Line 6

* Copy to Agent NO

* Copy to Third Party NO

Account Details

Account Type

Avale

* Currency and Account Number

Quick Save Save **Sign** Template Update Template Deal Note Cancel

5.1.2 INCOMING GUARANTEE

For every new incoming guarantee you receive an information on the Dashboard under category „Items to handle – Incoming from Bank“. By selection the transaction and display of attachments you can open a copy of the guarantee certificate. You will receive the original guarantee certificate by mail as usual.

With UC TFG you receive information on every processing step of the incoming guarantee and can also send deal messages to the bank.

5.2 DOMESTIC GUARANTEE

For the issuance of a domestic guarantee choose “Domestic” and “Date Entry” in the product menu left.



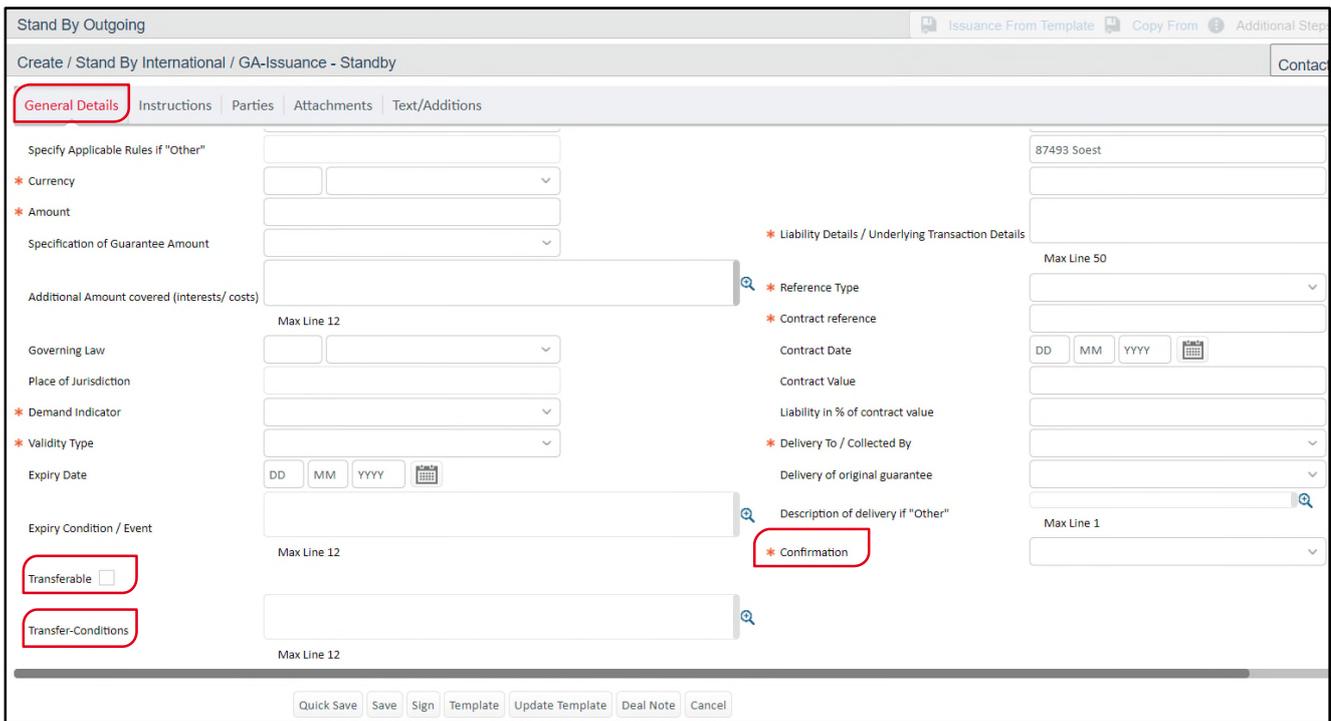
The process equals the description for outgoing guarantees (international) in chapter 5.1.1.

Note also here: Please be aware once you have chosen a specific transaction you can't change the selected features afterwards within the transaction (e. g. Request Form or Form of Guarantee). You would need to cancel it and to start from the beginning. In case you choose “Free Format” it is important having harmonised the used guarantee text with the bank in advance.

5.3 STAND BY

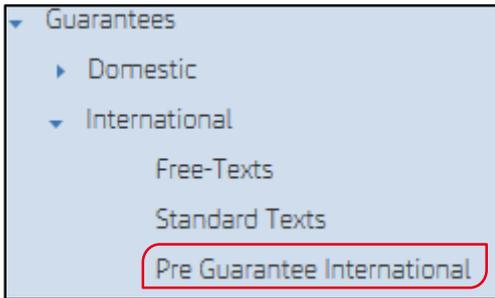
The input screens are almost the same as for guarantees described above. But an important difference in tab “General Details” are the highlighted fields below which can/ must be selected in addition:

- Transferable
- Transfer-Conditions
- Confirmation (mandatory field)

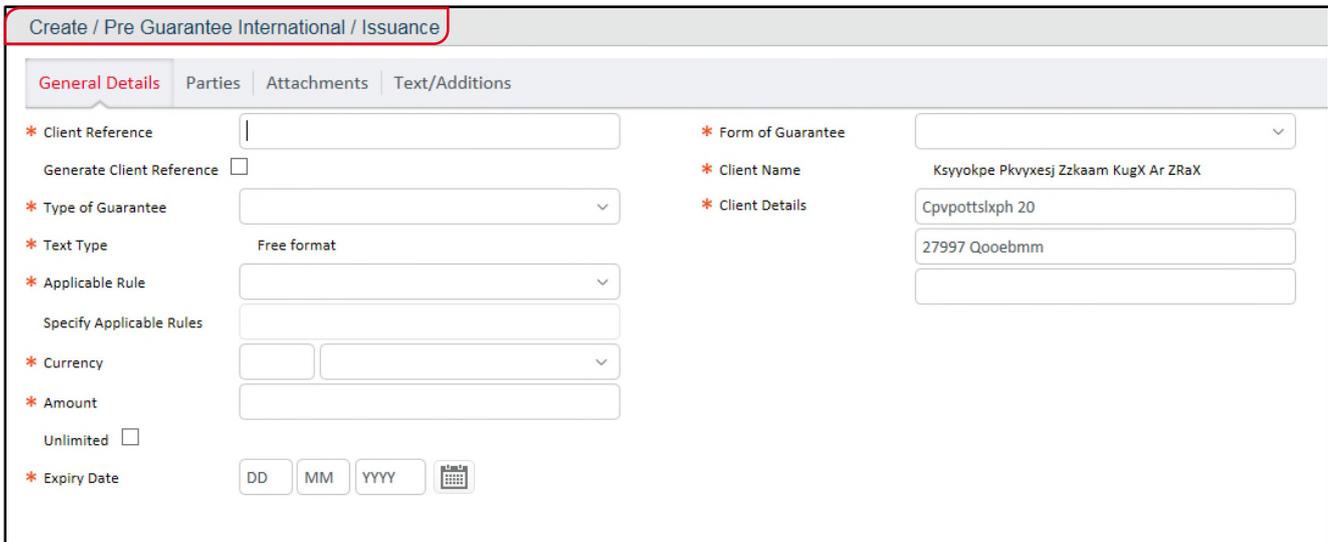
A screenshot of a software interface for creating a 'Stand By International / GA-Issuance - Standby' guarantee. The 'General Details' tab is active. The form contains various input fields and sections. Key fields are highlighted with red boxes: 'Transferable' (checkbox), 'Transfer-Conditions' (text field), and 'Confirmation' (checkbox). Other fields include 'Currency', 'Amount', 'Specification of Guarantee Amount', 'Additional Amount covered (interests/ costs)', 'Governing Law', 'Place of Jurisdiction', 'Demand Indicator', 'Validity Type', 'Expiry Date', 'Expiry Condition / Event', 'Liability Details / Underlying Transaction Details', 'Reference Type', 'Contract reference', 'Contract Date', 'Contract Value', 'Liability in % of contract value', 'Delivery To / Collected By', 'Delivery of original guarantee', and 'Description of delivery if "Other"'. The form also includes a 'Quick Save' button and a 'Cancel' button.

Explanations for “Pre-Text Negotiations” of domestic, international guarantees and Stand By:

When you chose the Corporate Edition, the option of “Pre-Text Negotiations” is available for the products domestic and international guarantees. This will be further explained with the following guarantee example.



You can negotiate the requested guarantee text with the bank individually by using the UC Trade Finance Gate. When clicking on “Pre Guarantee International” the view opens as you already know it from the upper descriptions (under 5.1 and 5.2).



A screenshot of a web form titled 'Create / Pre Guarantee International / Issuance'. The form has four tabs: 'General Details', 'Parties', 'Attachments', and 'Text/Additions'. The 'General Details' tab is active. The form contains several fields and sections:

- Client Reference:** A text input field with a 'Generate Client Reference' checkbox.
- Type of Guarantee:** A dropdown menu.
- Text Type:** A dropdown menu with 'Free format' selected.
- Applicable Rule:** A dropdown menu with 'Specify Applicable Rules' below it.
- Currency:** Two input fields for currency selection.
- Amount:** A text input field.
- Unlimited:** A checkbox.
- Expiry Date:** A section with 'DD', 'MM', and 'YYYY' input fields, and a calendar icon.
- Form of Guarantee:** A dropdown menu.
- Client Name:** A text input field with the value 'Ksyyokpe Pkvyxesj Zzkaam KugX Ar ZRaX'.
- Client Details:** Two text input fields with the values 'Cpvpottslxph 20' and '27997 Qooebmm'.

On tab "Text/Additions" the exchange with the bank is initiated. Once you sign the order, it is transmitted to the bank.

Create / Pre Guarantee International / Issuance

General Details | Parties | Attachments | **Text/Additions**

* Guarantee Wording

Max Line 150

Customer to Bank Information

Max Line 99

Track Changes

Quick Save | Save | **Sign** | Template | Update Template | Export | Deal Note | Cancel

With "track changes" you can display the negotiation flow (see next page):

* Guarantee Wording

Jubiläums-Ausstellung im HVB-Tower ab 01. Juli

Die UniCredit Bank AG blickt auf 150 Jahre bewegter Geschichte zurück. Corporate History hat zum Jubiläum das Historische Archiv geöffnet und zeigt in einer Ausstellung im HVB-Tower in München historische Schätze.

Wir haben noch diese Passage hinzugefügt und ergänzt.

Dieser Text wurde von der Bank erstellt.

Customer to Bank Information

Track Changes

Dashboard Pane **Inquiry**

Display / Free-Text International Guarantee / PRE / Beneficiary / DEMO030719-2

Last Version Before Update

Jubiläums-Ausstellung im HVB-Tower ab 01. Juli
 Die UniCredit Bank AG blickt auf 150 Jahre bewegter Geschichte zurück. Corporate History hat zum Jubiläum das Historische Archiv geöffnet und zeigt in einer Ausstellung im HVB-Tower in München historische Schätze.
 Wir haben noch diese Passage hinzugefügt und ergänzt.

Updated Version With Track Changes

Jubiläums-Ausstellung im HVB-Tower ab 01. Juli
 Die UniCredit Bank AG blickt auf 150 Jahre bewegter Geschichte zurück. Corporate History hat zum Jubiläum das Historische Archiv geöffnet und zeigt in einer Ausstellung im HVB-Tower in München historische Schätze.
 Wir haben noch diese Passage hinzugefügt und ergänzt.
 Dieser Text wurde von der Bank erstellt.

Updated Version Without Track Changes

Jubiläums-Ausstellung im HVB-Tower ab 01. Juli
 Die UniCredit Bank AG blickt auf 150 Jahre bewegter Geschichte zurück. Corporate History hat zum Jubiläum das Historische Archiv geöffnet und zeigt in einer Ausstellung im HVB-Tower in München historische Schätze.
 Wir haben noch diese Passage hinzugefügt und ergänzt.
 Dieser Text wurde von der Bank erstellt.

When you are in the negotiation process with the bank, the open transactions are displayed on the dashboard.

When you transmit orders for text negotiation to the bank, you will find the transaction on the dashboard under “Awaiting reply from bank → Expected Answers → GA-Text Negotiation – Int. Guarantee”:

Awaiting reply from bank

17 EXPECTED ANSWERS

- 2 Deal Message to Bank
- 1 AI-Issuance - Import LC
- 6 GA-Text Negotiation - Int. Guarantee

When you receive a transaction from the bank, you will find all guarantee requests open for negotiation under “Items to handle → Incoming from Bank → GA- Text Negotiation – Int. Guarantee”:

Items to handle

3 INCOMING FROM BANK

- 1 GA-Text Negotiation - Int. Guarantee

Processing...	Transaction Na...	Bank Reference	Reference N.	Status	Step N.	Currency	Amount	Counter Pa...	Foreign Ba...	2019-0
<input checked="" type="checkbox"/>	UCB AG Te...	GA-Text Negotia...	DEMO030719-2	Transaction in...	0	EUR	1.000,00	Beneficiary		

After selecting the requested category, in this case the “GA- Text Negotiation – Int. Guarantee”, mark the transaction with the check box and afterwards click under “Additional Step” on “Edit”. If you just want the transaction to be shown, click on “Display”. With the following buttons you can trigger the respective action on the respective tabs:



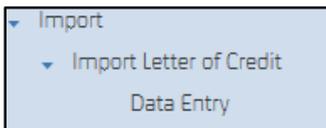
Generate = Guarantee issuance request is initiated (Guarantee text from the negotiation can no longer be amended).

Re-Negotiate = A further negotiation of the guarantee text.

5.4 LETTER OF CREDIT

5.4.1 IMPORT LETTER OF CREDIT

For the data entry of an Import Letter of Credit go to Import → Import Letter of Credit → Data Entry in the left menu.



An entry screen consisting of several tabs opens, just like for the domestic/International guarantee issuance request.

On each tab the mandatory and additional fields needed by you are to be filled in.

In the below shown screen view the known processing options are available on each tab.

Create / Letter Of Credit / AI-Issuance - Import LC	
General Details	Settlement Data Shipment Parties Attachments Goods/Documents/Add.Conditions Additional
* Destination Bank	UCB AG Testbank 001 UAT
* Client Reference	<input type="text"/>
Generate Client Reference	<input type="checkbox"/>
Additional Client Reference	<input type="text"/>
* Currency	<input type="text"/> <input type="text"/>
* Amount	<input type="text"/>
* Amount Terms	Not Applicable
Amount Tolerance in %	+ <input type="text"/> - <input type="text"/>
Additional Amounts	<input type="text"/>
* Place of Expiry	<input type="text"/>
Country of Expiry	<input type="text"/>
* Date of Expiry	DD MM YYYY <input type="text"/>
Bank Reference	
Client Name / Applicant	Patrick Scherer KAZVNTQLBD
* Client Details	Alsterkrugchaussee 11
	87493 Soest
* Advising Form	via an Advising Bank
* Confirmation Instructions	Without Confirmation
* Transferable	NO
* Irrevocable Letter of Credit	YES
* Charges Instructions	
* Applicable Rules	UCP LATEST VERSION
Applicable Rule Details	
Account No. of Beneficiary	

Create / Letter Of Credit / Issuance

General Details **Settlement Data** Shipment Parties Attachments Additional Goods/Documents/Add.Conditions

Payment Document Presentation

* Available With Issuing Bank/Unicredit

* Available By Payment (Sight)

* Payment Method
 Sight Deferred Mixed

Deferred Payment Details
 Max Line 4

Mixed Payment Details
 Max Line 4

Fixed Due Date DD MM YYYY

Tenor Days

Due Date Event

Draft due on
 Max Line 3

* Draft Drawn On No Draft

Details for Draft drawn on if OTHER
 Max Line 1

Presentation Period for documents in days

After the Date of Shipment

Details for presentation period if not linked to the transportation date

Quick Save Save Sign Template Update Template Export Deal Note Cancel

Create / Letter Of Credit / Issuance Contact D

General Details Settlement Data **Shipment** Parties Attachments Additional Goods/Documents/Add.Conditions

* Partial shipment Not Allowed

* Transshipment Not Allowed

Place of Taking in Charge / Dispatch from / Place of Receipt

Port of Loading / Airport of Departure

Port of Discharge / Airport of Destination

Place of Final Destination / For Transportation to / Place of Delivery

Latest Date of Shipment DD MM YYYY

Details for Shipment Period
 Max Line 6

Quick Save Save Sign Template Update Template Export Deal Note Cancel

Create / Letter Of Credit / Issuance

General Details | Settlement Data | Shipment | **Parties** | Attachments | Additional | Goods/Documents/Add.Conditions

<p>Beneficiary </p> <p>Search by name <input type="text"/></p> <p>* Name <input type="text"/></p> <p>* Street <input type="text"/></p> <p>* City and Postal Code <input type="text"/></p> <p>* Country <input type="text"/></p> <p>Reference of Beneficiary <input type="text"/></p>	<p>Advising Bank or local Issuing Bank</p> <p>Search by name <input type="text"/></p> <p>Name <input type="text"/></p> <p>Street <input type="text"/></p> <p>City and Postal Code <input type="text"/></p> <p>Country <input type="text"/></p> <p>Swift Address <input type="text"/></p>
<p>Additional parties </p> <p>Party type <input type="text"/></p> <p>Search by name <input type="text"/></p> <p>Name <input type="text"/></p> <p>Street <input type="text"/></p> <p>City and Postal Code <input type="text"/></p> <p>Country <input type="text"/></p>	<p>Additional parties </p> <p>Party type <input type="text"/></p> <p>Search by name <input type="text"/></p> <p>Name <input type="text"/></p> <p>Street <input type="text"/></p> <p>City and Postal Code <input type="text"/></p> <p>Country <input type="text"/></p>
<p>Additional parties </p> <p>Party type <input type="text"/></p> <p>Search by name <input type="text"/></p> <p>Name <input type="text"/></p> <p>Street <input type="text"/></p> <p>City and Postal Code <input type="text"/></p>	<p>Additional parties </p> <p>Party type <input type="text"/></p> <p>Search by name <input type="text"/></p> <p>Name <input type="text"/></p> <p>Street <input type="text"/></p> <p>City and Postal Code <input type="text"/></p>

Quick Save Save Sign Template Update Template Export Deal Note Cancel

Create / Letter Of Credit / Issuance

General Details | Settlement Data | Shipment | Parties | **Attachments** | Additional | Goods/Documents/Add.Conditions

Document Type:

Documents Transmit

File Name:

Please note the explanations regarding “Attachments” in topic 5.1.1 OUTGOING GUARANTEE.

Create / Letter Of Credit / Issuance

General Details | Settlement Data | Shipment | Parties | Attachments | **Additional** | Goods/Documents/Add.Conditions

Customer to Bank Information

Max Line 6

Charges Instruction (Freetext)

Max Line 6

Customer Contact Details

Max Line 4

Special Payment Condition for Beneficiary

Max Line 800

Account Details

Create / Letter Of Credit / Issuance

General Details | Settlement Data | Shipment | Parties | Attachments | Additional | **Goods/Documents/Add.Conditions**

Details

Note: Maximum Lines allowed for all the Narrative fields is 1,050 lines.

* Description of Goods

Max Line 800 | Total line: 0

* Documents

Max Line 800 | Total line: 0

Additional Conditions

Max Line 800 | Total line: 0

5.4.2 EXPORT LETTER OF CREDIT

For every new incoming Export Letter of Credit for your benefit, you receive an information on the Dashboard under category “Items to handle – Incoming from Bank”. By selecting the transaction and displaying the attachment you can open the letter of advice as well as a copy of the SWIFT message. You receive the original by mail as usual.

Items to handle

 **115** INCOMING FROM BANK

- 4 GA-General Message - Int. Guar...
- 10 GA - Other Payments
- 2 AE-Advice Export LC
- 3 AE-Amendment - Export LC
- 1 AE-Adjustment - Other Amendm...

Dashboard Pane Inquiry

From Bank Search...

Transaction Name Bank Reference Reference N. Status Step N. Currency Amount Counter Pa. Foreign Ba. Cust Ref Date Time

<input type="checkbox"/>		AE-Adjustment - Silent Confirmation	28064110060712	28064010035896		1	EUR	30.000,00	Pboxyka S...			2019-01-09	10:21:05
<input checked="" type="checkbox"/>		AE-Advice Export LC	31134110000154	DC CBH800253		0	EUR	28.482,70				2018-09-25	15:57:42
<input type="checkbox"/>								10.000,00	Pboxyka S...			2018-12-12	15:40:32
<input type="checkbox"/>		Advice of Letter of Credit	DC CBH800253	31134110000154				25.000,00	APP in IT			2018-12-13	10:28:29
<input type="checkbox"/>								33.000,00	APP in HK			2018-12-13	10:00:29

You receive information on every processing step of your Export Letter of Credit and can send the bank deal messages by using UC TFG.

Additionally, you can generate a cover letter for your documents, which you can use for sending the documents to us, by clicking on “Send Documents”.

Dashboard Pane Inquiry

Deal Select Search... Free text

Deal Type Bank Reference Foreign Bank Amount Currency Exchange... Amount in E... Customer Ref. Deal Status Additional Ref. Original Amo... Original Amount in... Bale Deal Message

AE-Export LC	28064110060856	22329010000...	50.000,00	USD	0,91	45.289,86				50.000,00	45.289,86	52.500,00	47.554,35
AE-Export LC	28064110060847	transfertest111	98.765,43	USD	0,91	89.461,44				98.765,43	89.461,44	98.765,43	89.461,44
AE-Export LC	28064110060829	558 retest	12.345,67	USD	0,91	11.182,67				12.345,67	11.182,67	12.345,67	11.182,67
AE-Export LC	28064110060703	22329010000...	30.000,00	USD	0,91	27.173,91			Issued	30.000,00	27.173,91	30.000,00	27.173,91

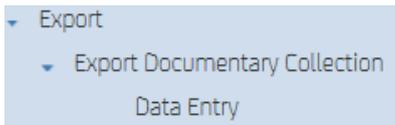
Send Documents

- DIC Negotiation
- Deal History

5.5 DOCUMENTARY COLLECTION

5.5.1 EXPORT DOCUMENTARY COLLECTION

For the data entry of an Export Documentary Collection go to Export → Export Documentary Collection → Data entry in the left menu.



Afterwards you receive the data entry screen for an Export Documentary Collection:

Create / Export Documentary Collection / Issuance

General Details | Collection Details | Parties | Additional Information | Attachments

* Client Reference Bank Reference

Generate Client Reference

* Client Details * Direct Collection

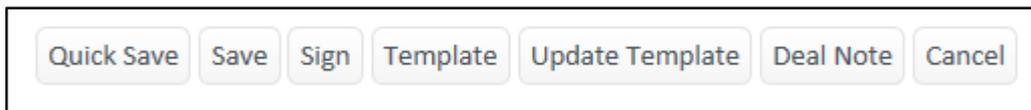
* Type of Collection

* Collection Currency * Send Document Via

* Collection Amount * 2nd Mail required

Fields marked with an asterisk are, analogue to other data entries, mandatory fields. All displayed tabs are to be filled in.

As processing options the known menu is available:



Tab of Collection Details

Create / Export Documentary Collection / Issuance

General Details | Collection Details | Parties | Additional Information | Attachments

Payment

*** Payment Type**

Sight
 Deferred
 Mixed

Tenor (days)

Start Date DD MM YYYY

Due Date DD MM YYYY

Details of deferred payment

Deferred Payment Details (freetext)

Max Line 4

Request to Return Accepted Draft/Undertaking/Guarantee

*** Charges Instruction**

Charges must not be waived

Taking up of documents deferred upon arrival

Advice of non Acceptance/Payment

Protest Instruction

Inform about Acceptance

Tab of involved parties

Create / Export Documentary Collection / Issuance

General Details | Collection Details | Parties | Additional Information | Attachments

<p>Drawee / Importer </p> <p>Search by name <input style="width: 100%; height: 20px;" type="text"/></p> <p>* Name <input style="width: 100%; height: 20px;" type="text"/></p> <p>* Street <input style="width: 100%; height: 20px;" type="text"/></p> <p>* City and Postal Code <input style="width: 100%; height: 20px;" type="text"/></p> <p>* Country <input style="width: 100%; height: 20px;" type="text"/></p> <p>Additional parties </p> <p>Party type <input style="width: 100%; height: 20px;" type="text"/></p> <p>Search by name <input style="width: 100%; height: 20px;" type="text"/></p> <p>Name <input style="width: 100%; height: 20px;" type="text"/></p> <p>Street <input style="width: 100%; height: 20px;" type="text"/></p> <p>City and Postal Code <input style="width: 100%; height: 20px;" type="text"/></p> <p>Country <input style="width: 100%; height: 20px;" type="text"/></p>	<p>Issuing Bank</p> <p>Search by name <input style="width: 100%; height: 20px;" type="text"/></p> <p>Name <input style="width: 100%; height: 20px;" type="text"/></p> <p>Street <input style="width: 100%; height: 20px;" type="text"/></p> <p>City and Postal Code <input style="width: 100%; height: 20px;" type="text"/></p> <p>Country <input style="width: 100%; height: 20px;" type="text"/></p> <p>Swift Address <input style="width: 100%; height: 20px;" type="text"/></p> <p>Additional parties </p> <p>Party type <input style="width: 100%; height: 20px;" type="text"/></p> <p>Search by name <input style="width: 100%; height: 20px;" type="text"/></p> <p>Name <input style="width: 100%; height: 20px;" type="text"/></p> <p>Street <input style="width: 100%; height: 20px;" type="text"/></p> <p>City and Postal Code <input style="width: 100%; height: 20px;" type="text"/></p> <p>Country <input style="width: 100%; height: 20px;" type="text"/></p>
--	---

Tab of Additional Information

Create / Export Documentary Collection / Issuance

General Details | Collection Details | Parties | **Additional Information** | Attachments

Documents

Max Line 30

Customer Contact Details

Max Line 4

* Goods description

Max Line 99

Customer to Bank Information

Max Line 99

Goods consigned to the name of the collecting bank

Account Details

Account Type Currency and Account Number

Quick Save Save Sign Template Update Template Deal Note Cancel

Tab of Attachments

Create / Export Documentary Collection / Issuance

General Details | Collection Details | Parties | Additional Information | **Attachments**

Document Type:

Documents Transmit

Please note the explanations regarding "Attachments" in topic 5.1.1 OUTGOING GUARANTEE.

Add Update Delete Preview

File Name:

5.5.2 IMPORT DOCUMENTARY COLLECTION

New Import Documentary Collections are displayed on the Dashboard under „Items to handle – Incoming from Bank“. By selecting the transaction and its attachments you can display the details of the transaction: the notification of a documentary collection and the acceptance order.

Items to handle

221 INCOMING FROM BANK

- 5 GA-Issuance - Int. Guarantee
- 1 GA-Amendment - Benef. Cons...
- ! 1 II-Issuance Import Collection**
- 1 II-Release of Goods Issuance
- 3 II-Pre-Deal Correspondence

Dashboard Pane Inquiry

From Bank Search... PageSize 25 << < 1 / 1 >

Drag a column header here and drop it to group by that column.

Transaction Name	Bank Reference	Reference N.	Status	Step N.	Currency	Amount	Counter Pa...	Foreign Ba...
II-Issuance Import Collection	31134030000617	Retest 761	Action Neede...	0	EUR	5.000,00	STANDAR...	

Name	Reference N.	Bank Reference	Date & Time
Collection Acceptance...	Retest 761	31134030000617	2019-03-15
Collection Details	Retest 761	31134030000617	2019-03-15

You can further process the Import Documentary Collection with the menu on the right:

Dashboard Pane Inquiry

From Bank Search... PageSize 25 << < 1 / 1 >

Drag a column header here and drop it to group by that column.

Transaction Name	Bank Reference	Reference N.	Status	Step N.	Currency	Amount	Counter Pa...	Foreign Ba...
II-Issuance Import Collection	31134030000617	Retest 761	Action Neede...	0	EUR	5.000,00	STANDAR...	

Name	Reference N.	Bank Reference	Date & Time
Collection Acceptance...	Retest 761	31134030000617	2019-03-15
Collection Details	Retest 761	31134030000617	2019-03-15

- Display
- Approve
- Reject
- Deal Note
- Deal History
- Deal Message
- Additional Ref. N.

Additionally, you can enter a new release of goods by selecting “Data Entry” in the menu on the left.

- Import
 - Import Letter of Credit
 - Import Documentary Collection
 - Data Entry**

Analogue the entry of a new transaction, you will be lead through the data entry screens.

Create / Export Documentary Collection / Issuance

General Details | Parties | Instructions | Attachments

* Client Reference Bank Reference

Generate Client Reference Client Name Uflupuom RRTZVT Foikfhwyzq QesM & Iq. NA

* Currency of Goods Value * Client Details

* Amount of Goods Value

Description of Goods

Max Line 5

Reference Number of Additional Party

Reference of Shipping Company

You can find information to any processing step on bank side listed in the Dashboard:

Items to handle

 **221** INCOMING FROM BANK

- 62 AI-Issuance - Import LC
- 17 AI-Amendment - Import LC
- 4 AI-Amendment - Rejection
- 10 AI-Amendment - Benef. Con...
- ! 1 AI-Negotiation - Docs Accept...
- 2 AI-Negotiation - Payment (si...

6. REPORTS

In the main menu you can enter the standard reporting tool by clicking on the button "Reports". It gives you the possibility to perform reports for the main parameters of transactions.

The screenshot shows the 'Deal Report Summarize' interface. The top navigation bar includes 'Dashboard', 'Panorama', 'Reports' (highlighted), 'Templates', and 'Settings'. The right side of the navigation bar shows notification icons for 4, 5, and 2 items. The main form has the following fields and options:

- Report Name:** All Deals (dropdown)
- Product:** AE-Export LC (dropdown)
- Currency:** EURO (dropdown)
- Participant:** (empty dropdown)
- Date Range:** Issued From (MM, YYYY, calendar icon) and To (DD, MM, YYYY, calendar icon)
- Local Currency:** (empty dropdown)
- Data Item:** (empty dropdown)
- Report Format:** HTML EXCEL PDF
- Order by:** A-Z Z-A
- Do Sub Totals:**

Buttons for 'Preview' and 'Cancel' are located at the bottom of the form.

The transactions can be exported as HTML, Excel File or PDF. Possible inquiry settings are the following:

- By transaction status: Outstanding/Closed

This screenshot shows the 'Deal Report Summarize' interface with the 'Report Name' dropdown menu open. The options are:

- All Deals
- Closed Deals
- Outstanding Deals

- By products

This screenshot shows the 'Deal Report Summarize' interface with the 'Product' dropdown menu open. The options are:

- AE-Export LC
- AI-Import LC
- GA-Dom. Guarantee
- GA-Int. Guarantee
- GE-Incom. Guarantee
- IE-Export Collection
- II-Import Collection

- By currencies
- By your clients/participants
- Over a specific period of time

In general, there is a differentiation between deal reports on single and summarised levels.

* Report Name	<input type="text"/>	Data Item	<input type="text"/>
Product	<input type="text"/>	Report Format	<input checked="" type="radio"/> HTML <input type="radio"/> EXCEL <input type="radio"/> PDF
Currency	<input type="text"/>	Order by	<input checked="" type="radio"/> A-Z <input type="radio"/> Z-A
Participant	<input type="text"/>		
Date Range			
Issued From	<input type="text"/> MM <input type="text"/> YYYY <input type="button" value="Calendar"/>	To	<input type="text"/> DD <input type="text"/> MM <input type="text"/> YYYY <input type="button" value="Calendar"/>
Local Currency	<input type="text"/>		

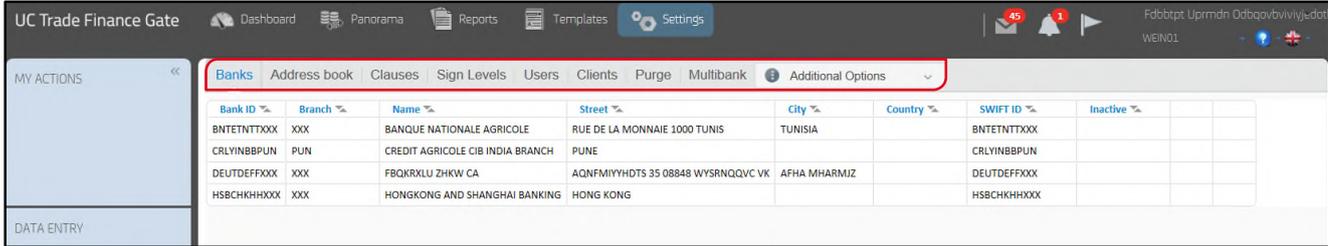
Preview Cancel

7. SETTINGS

Via “Settings” individual settings for the above mentioned components can be done as well as set parameters inquired. However, the components shown per user depend on

- User profile and
- The customer profile and respectively the agreed package (= Basic Edition, Business Edition, Corporate Edition).

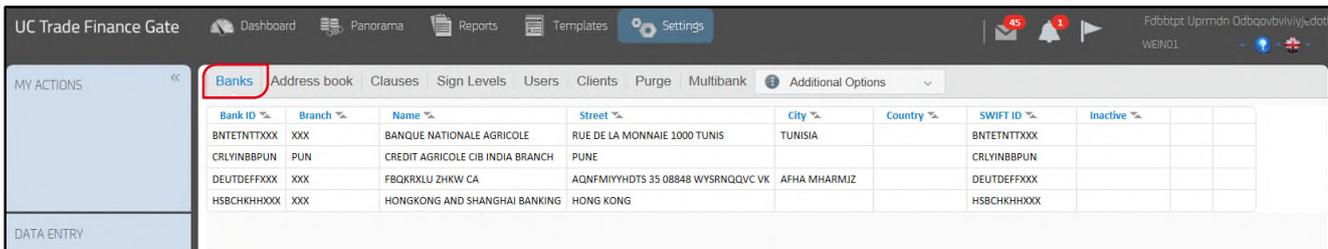
Below shown example shows you in which tab/component you are and, linked to this, which administration right a user can be shown in maximum (analogue the Corporate Edition). If some of these functions are not available for a user, he/she was not authorised for them.



Bank ID	Branch	Name	Street	City	Country	SWIFT ID	Inactive
BNTETNTXXX	XXX	BANQUE NATIONALE AGRICOLE	RUE DE LA MONNAIE 1000 TUNIS	TUNISIA		BNTETNTXXX	
CRLYINBBPUN	PUN	CREDIT AGRICOLE CIB INDIA BRANCH	PUNE			CRLYINBBPUN	
DEUTDEFFXXX	XXX	FBQKRLU ZHKW CA	AQNFMIYHDT5 35 08848 WYSRNQVC VK	AFHA MHARMIZ		DEUTDEFFXXX	
HSBCHKHXXX	XXX	HONGKONG AND SHANGHAI BANKING	HONG KONG			HSBCHKHXXX	

7.1 BANKS

On this tab the bank contacts are automatically saved and listed, which have been used in the transactions. These entries cannot be modified by you. When a bank is chosen with old data, the bank system will update the entry, once the feedback for the issuance is sent back from the bank.



Bank ID	Branch	Name	Street	City	Country	SWIFT ID	Inactive
BNTETNTXXX	XXX	BANQUE NATIONALE AGRICOLE	RUE DE LA MONNAIE 1000 TUNIS	TUNISIA		BNTETNTXXX	
CRLYINBBPUN	PUN	CREDIT AGRICOLE CIB INDIA BRANCH	PUNE			CRLYINBBPUN	
DEUTDEFFXXX	XXX	FBQKRLU ZHKW CA	AQNFMIYHDT5 35 08848 WYSRNQVC VK	AFHA MHARMIZ		DEUTDEFFXXX	
HSBCHKHXXX	XXX	HONGKONG AND SHANGHAI BANKING	HONG KONG			HSBCHKHXXX	

In detail the following is displayed:

- Party ID = The X bank SWIFT Code
- Branch = The bank branch
- Name = The name of the branch

Different branches of a bank can be displayed here. To add the bank details of a bank for a new L/C, you can insert the name of the bank under “Participants” when entering a transaction, which you are looking for (see following screenshot). A drop down list with suggestions automatically opens, which uses the data of above shown window. When the bank is not yet listed, it has to be newly selected in the transaction. The system will then, as mentioned above, save the data automatically. In general, the following data is required:

- Street = Street name of the branch
- City = Name of the city
- Country = Country, in which the branch is located
- Inactive = Shows, that merged banks are inactive. Inactive banks cannot be searched, they do not appear and can therefore not be selected.

UC Trade Finance Gate | Dashboard | Panorama | Reports | Templates | Settings | Uflupuor MOLK01

MY ACTIONS: Letter Of Credit, Release of Goods, Export Documentary Collecti...

DATA ENTRY: Import, Import Letter of Credit, **Data Entry**, Import Documentary Colle..., Export, Guarantees

Create / Release of Goods / Issuance

General Details | Settlement Data | Shipment | **Parties** | Attachments | Additional | Goods/Documents/Add.Conditions

Beneficiary

Search by name: [dropdown]

* Name: [input]
 * Street: [input]
 * City and Postal Code: [input]
 * Country: [input]
 Reference of Beneficiary: [input]

Additional parties

Party type: [dropdown]
 Search by name: [dropdown]
 Name: [input]
 Street: [input]
 City and Postal Code: [input]
 Country: [input]

Advising Bank or local Issuing Bank

Search by name: **HANG SENG BANK LIMITED, HASEHKHXXX** [dropdown]

Name: HANG SENG BANK LIMITED
 Street: 83 DES VOEUX ROAD CENTRAL HONG KONG
 City and Postal Code: HONG KONG
 Country: [input]
 Swift Address: HASEHKHXXX

Additional parties

Party type: [dropdown]
 Search by name: [dropdown]
 Name: [input]
 Street: [input]
 City and Postal Code: [input]
 Country: [input]

7.2 ADDRESS BOOK

The address book shows the following information:

Party ID = Party Code (is/was assigned by you)
 Branch = Branch (is/was assigned by you)
 Name, Street, City, Country

In the address book all further participants (excluding banks → see 7.1) can be administered accordingly:

- Either manually added (“Add”) or
- Imported to the address book out of an already used transaction (“Import from Deal”) or
- Via the Button by directly adding data to the address book from transaction data entries (see screenshot on next page)

UC Trade Finance Gate | Dashboard | Panorama | Reports | Templates | Settings | Uflupuor RRTZ MOLK01

MY ACTIONS: Letter Of Credit, Release of Goods, Export Documentary Collecti...

DATA ENTRY: Import, Export, Guarantees

Banks | **Address book** | Clauses | Sign Levels | Users | Clients | Purge | Additional Options

Party ID	Branch	Name	Street	City	Country		
BENE1		Beneficiary Name	Beneficiary Street 1	12345 Beneficiary City	HK		
Emergen		EMERGEN LIFE SCIENCES (PRIVATE)LTD	NO.60, MALIGAWATTE ROAD,	COLOMBO 10	SRI LANKA		
MBLTD		Mumbai Ltd.	avbsobnbnm 7	8546477 Mumbai	India		
MOLK		Molkerei München	München	Deutschland	DE		
MUSTERLTD		Muster Ltd.	Shook Ave. 1	New York	United States of America		
Muster		Muster Ltd.	KYC Ave.	Shaoxing	China		
RTLTD		Retest Ltd.	Mumbai, India	Mumbai	IN		

Add **Import from Deal**

To a.: Choose “Add” according to above screenshot, afterwards click on “Save” to add the party or on “Cancel” to go back to the previous page. When the participant was successfully added, it will be displayed in the list.

Choose to edit the data of a participant or to delete it.

To b.:

If you want to add Parties, which might have already been used in previous transactions, choose “Import Party Detail From Deal”. It opens:

Name	Street	City	Country	
BNE in Italy	Street	2000 Milan	Italy	
Beneficiary Name	Beneficiary Street 1	12345 Beneficiary City	Hong Kong	
Beneficiary	Beneficiary Street	Beneficiary City	Hong Kong	

Click on to amend the data of the respective party:

Party Detail

* Party ID:

Branch:

* Name:

* Street:

* City:

* Country:

Rid:

Extension:

Save Cancel

After a Party ID and possibly a branch was assigned by you, please click on “Save”. The party will be added to the address book and will only then appear in the Drop Down Menu for future transactions (→ search by name).

To c.:

Beneficiary

Search by name

* Name:

* Street:

* City and Postal Code:

* Country:

Reference of Beneficiary:

Additional parties

Party type:

Search by name

Name:

Street:

City and Postal Code:

Country:

Advising Bank or local Issuing Bank

Search by name

Name:

Street:

City and Postal Code:

Country:

Swift Address:

Additional parties

Party type:

Search by name

Name:

Street:

City and Postal Code:

Country:

Additional parties

Party type:

Search by name

Name:

Street:

City and Postal Code:

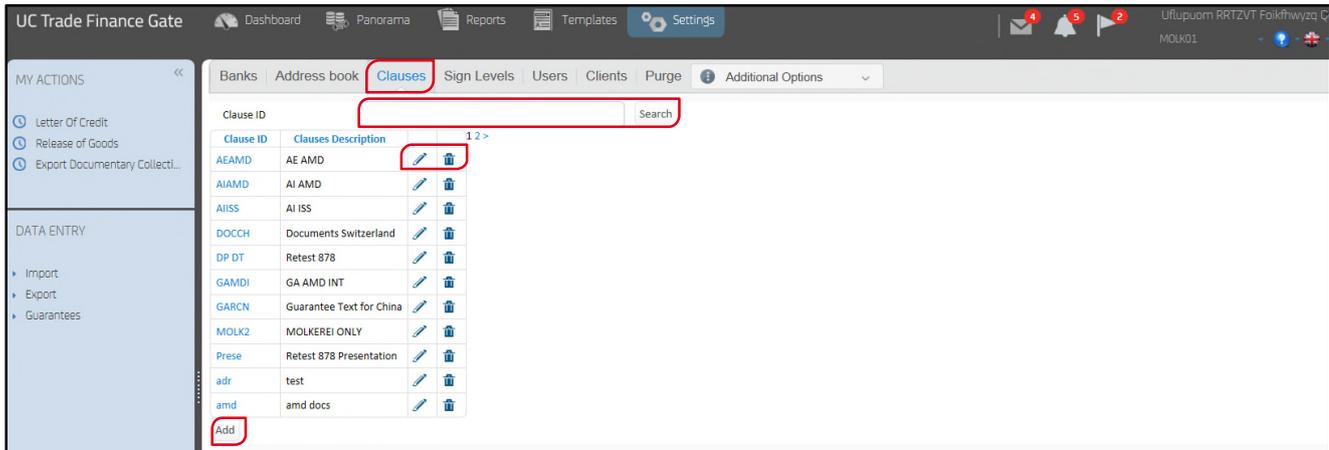
Country:

Quick Save Save Sign Template Update Template Export Deal Note Cancel

A search can be done via the field “Search by name” and the respective party can be chose by using the opened Drop Down Menu.

7.3 CLAUSES

On this tab all currently available Clause IDs are shown. Individual Clauses can be saved, edited and deleted by using “Add” or the icons  ,  . The purpose is to facilitate the data entry of a transaction. Also, it is possible to search for a specific clause by entering the “Clause ID”.



In general the user can create a clause and decide, for which text field and for which transaction a clause is valid (→ see the following description under “Add”).

The clauses can be linked to respective text fields via check boxes, which the user can choose (→ click on “Add”).

When the user chooses “Add” the window on the next page opens.

The following mandatory fields are to be filled:

- Clause ID
- Clause Description
- Clause Text
- When the text is longer than four lines, please click on the “Zoom”-Icon to display everything entered.
- Choose the requested check boxes. This shows and determines, in which window and in which transaction the clause will be available.
- Additionally, the user needs to choose, for which entry field in which product the clause is applicable.

→ “Save”

The Icon “Clauses”  at various parts of a transaction shows that possibly relevant clauses are available for that field. Once the field is clicked, a list with defined clauses opens, from which you can make your selection.

Window "Add Clause"

The screenshot shows the 'Add Clause' window in the UC Trade Finance Gate application. The interface includes a top navigation bar with 'Settings' and a left sidebar with 'MY ACTIONS' and 'DATA ENTRY'. The main content area is titled 'Clauses' and contains the following sections:

- Clause Details:** Fields for 'Clause Id' and 'Clause Description'.
- Clause Text:** A large text area for entering the clause text.
- Clause Availability:** A grid of checkboxes for various clause types, including:
 - AI-Amendment - Import LC (with sub-options: Details for Shipment Period, Period for Presentation, Goods description, Party Amendment Charges Payable Party if 'Other Party')
 - AI-General Message (with sub-options: Comments)
 - AI-Issuance - Import LC (with sub-options: Mixed Payment Details, Deferred Payment Details)
 - AI-Negotiation - Payment (sight) (with sub-option: Bank Comments)
 - AI-Negotiation - Payment on Maturity
 - Domestic Guarantee Pre Guarantee (with sub-option: Customer to Bank Information)
 - GA-Amendment - Int. Guarant (with sub-options: Customer to Bank Information, Guarantee Text Part 1, Guarantee Text Part 2, Customer Contact Detail)

7.4 SIGN LEVELS

By default the bank requires two signatures of Group B for every transaction, which are assigned to the so called "Releaser"-Role. User IDs with so called "Super"-rights (see 7.5 User) are entitled to single-release and overrule the signature matrix which means the matrix is ignored.

The screenshot shows the 'Sign Levels' tab in the UC Trade Finance Gate application. The table below represents the data shown in the screenshot:

Transaction name	Up to amount	Group A	Group B	Group C
AE-Amendment - Export LC	999.999.999,00	1	0	0
AE-Amendment - Export LC	9.999.999.999,00	1	0	0
AE-General Message	999.999.999,00	1	0	0

In general this tab shows how many signatures of a group are necessary for the respective transaction type (→ see "Group") to authorise an order depending on the chosen "volume limit". Only up to the stated amount the respective user can authorise a transaction. "Group A/Group B/Group C" state the different authorisation-levels. The sequence, in which it is signed, is irrelevant (e.g. A does not have to sign before B).

Example: An Import L/C of USD 150.000,00 requires the following signatures:

- Group A: 2 signatures
- Group B: 1 signature
- Group C: 1 signature

→ The transaction can be released in different combinations, however these 4 signatures have to be delivered:

A – A – B – C
 A – C – B – A
 C – A – A – B, etc.

On tab "Sign Levels" you would find the following rule for the issuance of an Import LC as in the example given:

The screenshot shows the 'Sign Levels' table with a red box highlighting the row for 'AI-Issuance - Import LC'. Red arrows point to the signature counts for Group A (2), Group B (1), and Group C (1). A red box above the table says "According to example above".

Transaction name	Up to amount	Group A	Group B	Group C
AI-Issuance - Import LC	999.999.999,00	1	2	0
			1	0
				1

For a user to make amendments, they need so called modification rights, which are only available in the "Corporate"-Edition ("Manage Signature Levels").

7.5 USER

The start window under “Settings → User” shows the signed-in user all authorised users of a so called “Customer Group”:

User ID	User Name	Default Customer	Language	Supervisor	Create Users	Customer Per User	Delete	Edit
		kpe Pkvyvesj Zkaam KugX Ar ZRaX	EN	Yes	Yes	Customers Per User		
		kpe Pkvyvesj Zkaam KugX Ar ZRaX	DE	Yes	Yes	Customers Per User		
PAUL03	PAUL03	Ksyyokpe Pkvyvesj Zkaam KugX Ar ZRaX	DE	Yes	No	Customers Per User		
PAUL04	PAUL04	Ksyyokpe Pkvyvesj Zkaam KugX Ar ZRaX	DE	No	No	Customers Per User		
PAUL05	PAUL88	Ksyyokpe Pkvyvesj Zkaam KugX Ar ZRaX	EN	No	No	Customers Per User		
PAUL07	PAUL		EN	Yes	No	Customers Per User		

The headers of the individual columns are called:

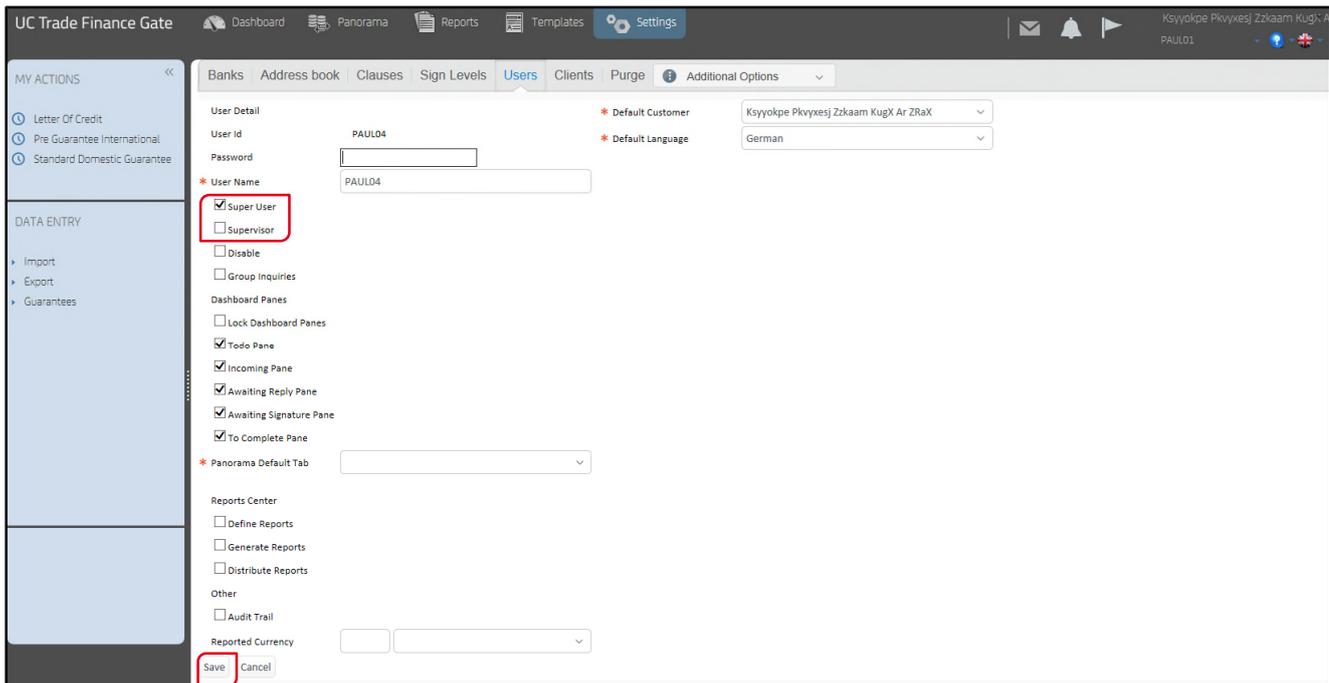
User ID	<p>Unique trait assigned to each user. When you click on the link the assigned rights/user details are shown (see next screenshot). This is only a “View mode”, no changes can be done at this point.</p> <p>Changes have to be done under “Edit” via .</p>
User Name	The complete user name
Default Customer	Here the company is shown, whose transaction are opened, once the user signs in. To edit the “default customer”, click on and choose another company.
Language	Default language, in which the system is displayed for the user.
Supervisor	Shows whether the user is a Supervisor or not. In combination with the column it can be recognised, if the user is a supervisor/main user.
Create Users	<p>Both the column “Supervisor” and “Create user” show “Yes”. This “rights-combination” can only be created by the bank. The Supervisor can eventually create additional Authorised Users (b), as well as assign respective administration rights.</p> <p>An Authorised User WITH administration-rights is: combination “Yes” (Supervisor)/”No” (Create user). This rights-combination can be assigned on local scale by the respective Supervisor/Main User (a). This user (b) also has administration rights, however no right to create additional users.</p> <p>An Authorised User WITHOUT local administration rights is: combination No/No.</p>
Customers Per User	Shows, which companies are assigned to the user and for whom they can sign transactions. The user can be additionally assigned to further companies.

To sum up, the following actions can be done in this window:

- **Display of the User-Details via the User ID**
- **Editing of user details** → only who has admin-rights (= combination Supervisor “Yes”/Create users “No”).
At this point the below mentions user functions “Super User” and “Supervisor” are assigned.
See also the next screenshot for this.
- **Administration of the assignment of a user to a company.**
- A **Supervisor-User** with create user-rights (combination Supervisor/Create users = Yes/Yes) can additionally create further users on their own.

Note: when a user only as a Supervisor-right, but no right to create users, they are only shown the column “Supervisor”. The column “Create User” is missing.

Window “Display of User-Details” (corresponds to editing screen)



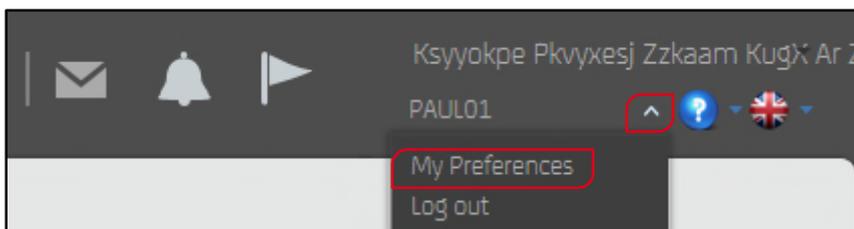
Explanations:

- **Super User:** when this field is activated, the Super User has a single-sign-right for transactions, independently from the assigned signature level.

Note: The right “Super User” only applies for user roles “Releaser”, “Input” or “Manual”, not for “Viewer” (→ see separate instruction “Trade Finance Gate/User-Administration”).

- **Supervisor:** when this field is activated, “Admin-rights” can be assigned to a user, as initially described in point “7. Settings” (without the right, to create further user (without “Create-right” → rights-combination: YES/No (see above/Details for “Create User”).

Note: This windows is also to be found under “My Preferences”, in which individual user settings can be done, that only apply for this user.



In this window “User-Details” click on “Cancel”, to go back to the start window.

7.6 CLIENTS

Under “Clients” it is displayed, which companies are assigned to a client group (in this case just one):

In the above window is shown:

Customer ID	A unique 13-digit Identifier, which every company has.
Customer Name	The complete company-(customer)-name.
Remind Period Prior to Pay	Defined number of days before maturity of a payment transaction, when the bank will send a reminder to the customers concerning the due date.
Customer Local Currency	The default currency of a customer, which is the basis for the signature levels and authorisations. In a customer group there can be different currency requirements due to different locations of the individual companies or economic dependencies. The “Customer Local Currency” is required for the signature levels as well as the different research possibilities.
Four-Eye-Control	The four-eye-control is deactivated by default. With the four-eye-control being active, all changes done by a supervisor require the confirmation of another supervisor (→ for further explanations see next page).

Via “Edit”  the “Remind Period Prior to Pay” can be determined as well as the “Customer Local Currency”. The following window opens:

Click “Save” to enter a transaction or “Cancel” to go back to the previous screen.

Explanations for the Four-Eye-Control:

The Admin-User (combination "Supervisor/Create user" = Yes/Yes or Yes/No → see 7.5. User) can determine, if the "Four-Eye"-Control is activated for specific functions (→ respective check boxes are to be chosen):

Four-Eye Control

Enable Four-Eye Control

All/None

Templates

Signature Level

Parties

Clients/Four-Eye Control Setup

Internal Departments

Clauses

Banks

Purge

Users

Guarantee Text Templates

Save

When a Supervisor create e.g. a new user, a second confirmation would be necessary, if the check box "User" was activated. As long as the confirmation is not done by the second person, the user cannot be created in the system.

The field "Four-Eye-Control" including as following fields are only shown to the Superuser. They are not shown to other users.

Releases that result out of a 4-Eye-Control are shown to the user under Settings → Additional Options → Foureye Control:

The screenshot shows the UC Trade Finance Gate interface. The top navigation bar includes Dashboard, Panorama, Reports, Templates, and Settings. The main content area is divided into sections: MY ACTIONS (Letter Of Credit, Pre Guarantee International, Standard Domestic Guarantee), DATA ENTRY (Import, Export, Guarantees), and a table of clients. The 'Clients' tab is active, showing a table with columns for Customer ID, Customer Name, and Remind Period Prior to Pay. A dropdown menu is open over the 'Additional Options' column, with 'Foureye Control' highlighted. The 'Four-Eye Control' section is also visible, with 'Enable Four-Eye Control' checked and other options like 'All/None', 'Templates', 'Signature Level', 'Parties', 'Clients/Four-Eye Control Setup', 'Internal Departments', 'Clauses', 'Banks', 'Purge', 'Users', and 'Guarantee Text Templates' listed.

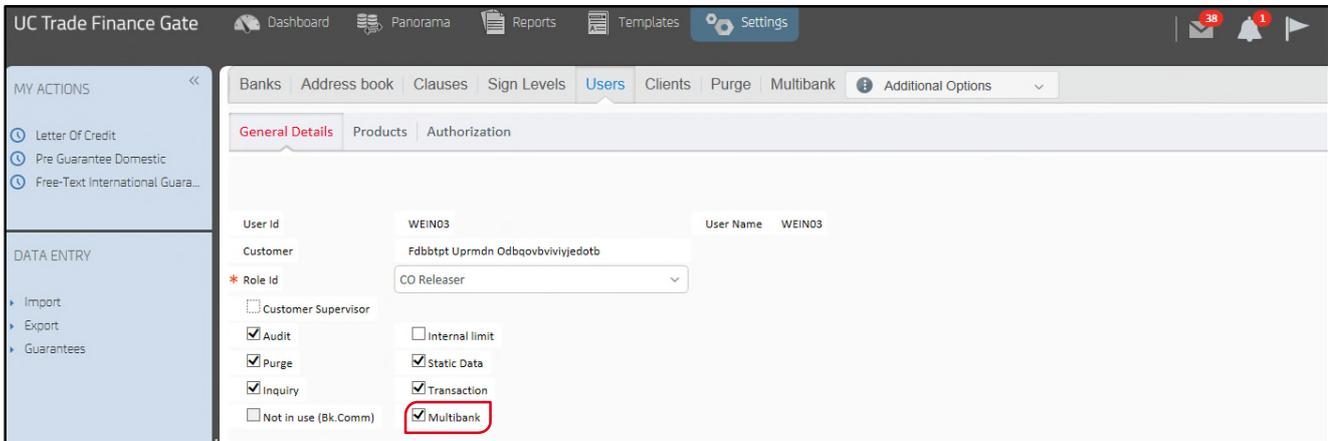
Note: the system does not offer an alert-function for confirmations (to the second Supervisor), which are necessary for a Four-Eye-Approach. A respective communication has to be executed between the administrators.

7.7 MULTIBANK

We provide the data entry and administration functions, when the communication with other banks is done according to the EBICS-Standard.

Depending on the booked edition (only for “Corporate”) the tab “Multibank” is shown.

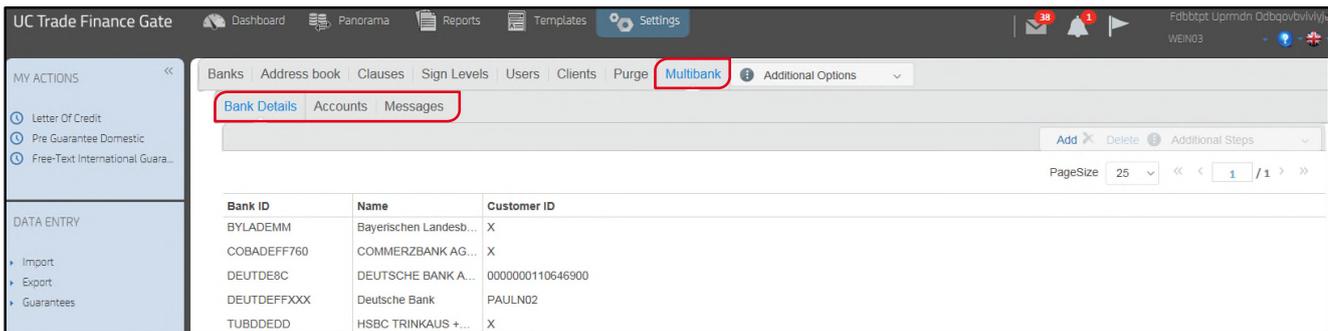
The respective authorisation is given to a user via User → Customers per User →  :



The screenshot shows the 'Users' configuration page in UC Trade Finance Gate. The 'Multibank' checkbox is checked and highlighted with a red box. Other visible options include Audit, Purge, Inquiry, Not in use (Bk.Comm), Internal limit, and Static Data.

When the “Multibank-Flag” was set under “Users”, the user is provided with the tab “Multibank”:

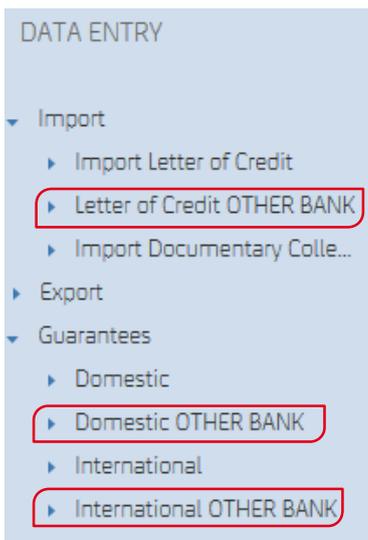
Multibank-window (serves for the administration of other Customer IDs, accounts as well as the up- and download of the EBICS-messages):



The screenshot shows the 'Multibank' window in UC Trade Finance Gate. The 'Multibank' tab is selected and highlighted with a red box. Below the navigation tabs, there is a table of bank details.

Bank ID	Name	Customer ID
BYLADEMM	Bayerischen Landesb...	X
COBADEFF760	COMMERZBANK AG...	X
DEUTDE8C	DEUTSCHE BANK A...	0000000110646900
DEUTDEFFXXX	Deutsche Bank	PAULN02
TUBDDEDD	HSBC TRINKAUS +...	X

On the left side of the Trade Finance Gates “OTHER BANK” is shown under “DATA ENTRY” with this right:



The screenshot shows the 'DATA ENTRY' menu in UC Trade Finance Gate. The 'OTHER BANK' options are highlighted with red boxes:

- Letter of Credit OTHER BANK
- Domestic OTHER BANK
- International OTHER BANK

7.8 PURGE

On this tab, a purge of the data basis can be executed by the entitled user. Here a distinction is made “Closed Deals”, “Rejected Deals” and “Unsent Transactions”.

The data is no longer available online after the purge.

Deleted “Closed Deals”, for which an interaction with the bank took place, can be recreated by the bank to a certain degree. Deleted “Rejected Deals” and “Unsent” transaction cannot be recreated, as no data was generated in the processing system of the bank for these transaction types.

If you don't choose any option you will see all closed transactions of all products.

Note: Data administration (→ Purge) can also be done directly in the individual transaction on the different panels (To Complete, Awaiting Reply from Bank, etc.) of the Dashboard.

7.9 ADDITIONAL OPTIONS

Four-Eye-Control for administration, Audit Trail, Customer Limit.

Foureye Control
Audit Trail
Customer Limit

A. Four-eye control for administration

Signature function field, when a signature is necessary as a second Supervisor (→ see also point 7.6. Clients).

B. Audit Trail

It is to be carefully chosen, which user is entitled for this feature, as very sensitive parameters can be searched for concerning the individual users. As for example who signed in for what transaction → an audit trail is created for the activities of a user.

The screenshot shows the 'Audit Trail' configuration window. The navigation bar includes 'Banks', 'Address book', 'Clauses', 'Sign Levels', 'Users', 'Clients', 'Purge', and 'Audit Trail'. The main area contains several input fields: 'Activity' (dropdown), 'Customer' (dropdown), 'User' (dropdown), and 'Bank Reference' (text input). On the right side, there are date pickers for 'Date From' and 'To', each with 'DD', 'MM', and 'YYYY' components and a calendar icon. Below these is a 'Client Reference' text input field. At the bottom left, there are three buttons: 'Search', 'Excel', and 'Cancel'.

Via the above mention window the requested settings can be edited:

1. Choose the requested **Activity** in the Drop Down Menu (empty=everything).
2. Select the requested **Customer** (= Company).
3. Select the requested **User**.
4. Type in a specific bank reference, choose a time period and add a client reference, if relevant.

→ Via the button “Excel” the results are exported to MS Excel.

C. Internal Customer Limits

A Supervisor can set so called “Internal Customer Limits”. The limits are set in the following screen:

The screenshot shows the 'Customize: Internal Limits' screen. The navigation bar includes 'Banks', 'Address book', 'Clauses', 'Sign Levels', 'Users', 'Clients', 'Purge', and 'Customer Limit'. The main area is titled 'Customize: Internal Limits' and 'Local Currency EURO'. It contains a table with two columns: 'Transaction Name' and 'Up To Amount'. The table lists the following transactions and their limits: 'IE-Export Collection' (empty), 'GA-Dom. Guarantee' (empty), 'AI-Import LC' (empty), 'GA-Int. Guarantee' (empty), and 'II-Import Collection' (5000). At the bottom left, there are 'Save' and 'Clear' buttons.

These limits apply to every user of a customer, for whom the Superuser activated the following with User → Customers per User →  :

The screenshot shows the 'Additional Options' screen for user 'MOLK01'. The navigation bar includes 'Banks', 'Address book', 'Clauses', 'Sign Levels', 'Users', 'Clients', 'Purge', and 'Additional Options'. The main area is titled 'General Details' and shows user information: 'User Id: MOLK01', 'User Name: MOLK01', 'Customer: Uflupuom RRTZVT Folkthwyzq QesM & Iq. NA', and '* Role Id: Role MANUAL'. Below this is a list of permissions with checkboxes: 'Customer Supervisor', 'Audit', 'Purge', 'Inquiry', 'Not in use (Bk.Comm)', 'Internal limit', 'Static Data', 'Transaction', and 'Multibank'. The 'Internal limit' checkbox is checked and highlighted with a red box.

Note: When the user exceeds the assigned volume limits, the entered transaction is not lost but appears on the Dashboard on customer level under “To Sign”. There it can be released by anybody who has the respective rights:



What a user can do or not always depends on the assigned rights.