

## User Guide

# Trade Finance Global

**How to customise Trade Finance Global  
(supervisors only)**

October 2015



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## 1 Trade Finance Global (TFG) - Customize

This topic covers the way in which to modify or customize TFG according to specified categories.

Additional for Supervisors only:

- Signature Levels/Requirements
- Users
- Customer Profile
- Purge
- Four-Eye Control
- Audit Trail

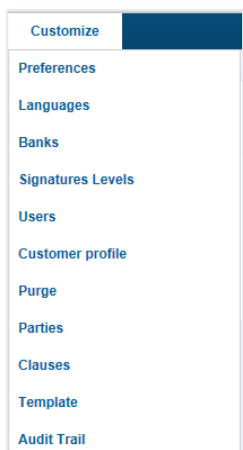


Figure 1 – Customize List: User, Super User and Supervisor view

**Note:** The availability of options to a specific user is dependent on the user authorization level. The following categories are managed by the Supervisor user: Signature Levels, Users, Customer Profile and Purge.

## 2 Supervisor Additional Options

The supervisor is allowed to set the following additional options:

- Signature Levels/Requirements
- Users
- Customer Profile
- Purge
- Four-Eye Control
- Audit Trail

### 2.1 Signature Levels/Requirements

From the Customize menu, click Signature Levels.

The Signature Levels List is displayed.

Customize: Signature levels						
Local Currency Euro						
Transaction name	Up to amount	Group A	Group B	Group C		
Change Our Ref Exp. Coll	100.000,00	1	0	0		
Change Our Ref Exp. D/C	100.000,00	1	0	0		
Change Our Ref Guarantee	100.000,00	1	0	0		

Figure 2 – Customize: Signature Levels

This table indicates how many signatures from each group are required to authorize any transaction. The Up To Amount level further confines the signature requirements to transactions with values below a certain level. Above this amount, additional signatures may be required.

The following are the column headers:

Transaction Name	Transaction types
Up to Amount	<p>The amount up to which the number of signatures per Group are required in order to release a transaction.</p> <p><b>Note:</b> A signature level must be defined for each possible amount. Example: Two levels that have been designed for an Import D/C have been defined as follows:</p> <p>Up to 100,000: 1 A and 1 B.</p> <p>Up to 200,000 1 A and 2 B.</p> <p>An application for an amount higher than 200,000 cannot be released.</p>
Group A/Group B/ Group C	<p>These Groups Represent Different Authorization Levels. This list states how many signatures must be obtained from each group at specific amounts in order to authorize the transaction.</p> <p><b>Note:</b> The sequence by which the users of the different groups sign is irrelevant; 'A' must not sign before 'B' and 'B' must not sign before 'C'. Example: an Import D/C for USD 150,000 requires the following signatures:</p> <p>Group A: 2 signatures Group B: 1 signature Group C: 1 signature.</p>

	<p>The transaction can be released in various combinations, for example:</p> <p>A – A – B – C  A – C – B – A  C – A – A – B, etc.</p>
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2. Click Add to add a new signature requirement.  
Or  
Click Cancel to return to the previous screen.

**Note:** If a transaction is in progress, the supervisor cannot make any changes to the Signature Levels. At the conclusion of all transactions of that type, the Signature levels can be changed for future transactions.

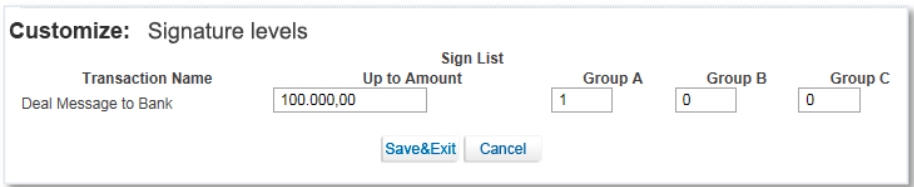
For each customer a different local currency can be defined as base for the amounts defined in the Signature levels. The existing local currency is displayed at the top of the Signature Level screen, see Figure 2.

**Note:** When changing the customer local currency, TFG does not recalculate the signature level matrix.

The change of the customer local currency is not possible if there are transactions waiting for a customer’s signature.

3. Click Edit  to change the Signature level requirements.

The Signature levels window is displayed.



Transaction Name	Up to Amount	Sign List		
		Group A	Group B	Group C
Deal Message to Bank	100.000,00	1	0	0


Buttons: Save&Exit, Cancel

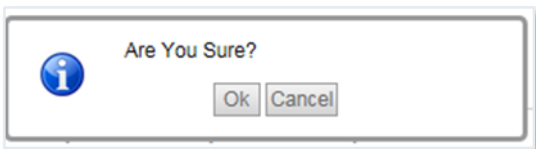
Figure 3 – Add or Modify Signature Level

The field options are the same as described in Figure 2.

4. Click Save to approve the changes.  
Or  
Click Cancel to return to the previous screen without approving of the changes.

After saving the entry, it is displayed in the Transactions in Process section of the Inbox.

5. In case the user needs to click Delete  to remove the signature level requirement, TFG prompts for a confirmation.



Are You Sure?

Buttons: Ok, Cancel

Figure 4 – Delete Confirmation Window

- Click OK to remove the signature level requirement.

Or

- Click Cancel to return to stop the removal process.

## 2.2 Users

This option is used to define the users' authorization.

**Note:** New users must first be defined by Nordea before the Supervisor can assign the relevant authorization.

### 2.2.1 Group Users

A group consists of a super organization that can contain several subdivisions defined as customers. Users belong to groups and are authorized to enter transactions at Nordea on behalf of specific customers.

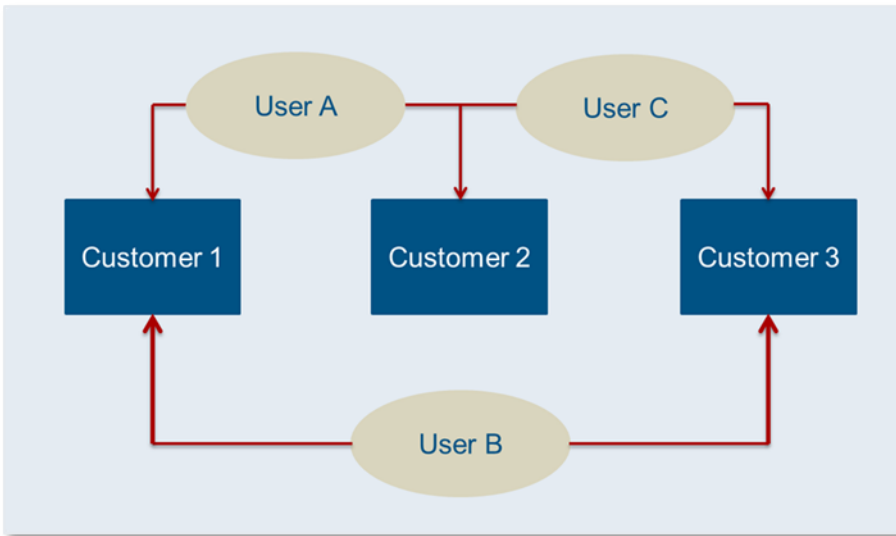


Figure 5 – The Relationship between Groups: Customers and Users

### 2.2.2 Users List


1. From the Customize menu, click Users.

The Users List window is displayed.

Customize: Users							
User Id	User Name	Default Customer	Language	Supervisor	Customer Per User	Edit	Admin. Users
403261	MATTI	TFG NEW COMPANY -CUF 21.10.15	EN	Yes	Customers Per User		No
403279	LIISA	TFG NEW COMPANY -CUF 21.10.15	EN	Yes	Customers Per User		Yes
403287	MAIJA	TFG NEW COMPANY -CUF 21.10.15	EN	No	Customers Per User		No

Figure 6 – Users List window

The following are the User column headers:

User ID	A unique description assigned to each user.  Clicking this link displays the User Preferences in view only form, allowing the viewer to examine one entry at a time.
User Name	The full user name.
Default Customer	The customer whose transactions open when the user logs on. To change the default customer, click the Edit icon and set another customer as the default.
Supervisor	This indicates whether or not the user is a supervisor.
Customers per User	The list of customers on behalf of who this user is authorized to enter transactions.  Click this link to access the list of Customers per User that is displayed in the lower part of the screen.
Edit	Click Edit  to display the User Preferences in update mode.

The following actions are available on this screen:

- Click User ID to View User Preferences
- Click Edit to Update User Preferences
- Click Customers per User to manage Customers per User

### 2.2.3 Viewing User Preferences

1. In the Users List window (Figure 6) click a link in the User ID column to display the User Preferences of the selected user and the Inbox Settings in view mode.



Figure 7 – User Preferences Window in view mode

**Note:** This is a view-only window and no details can be changed.

The fields' options in both sections User Details and Inbox Settings are the same as described in Preferences Figure 2.

2. Click Set-Notif to set the notification options for the user.

Or

Click Cancel to undo the previous step.

### 2.2.4 Updating User Preferences

1. In the Users List window (Figure 6) click Edit  to display the User Preferences in update mode.

**User Detail:**  
 User Id: 403261  
 User Name: MATTI  
 Super User:

**Default:**  
 Customer: TFG NEW COMPANY -CUF 21.10.15  
 Language: English  
 Supervisor:

**Inbox Settings:**  
 Inbox Layout:  Items  Tables  
 Inbox Default Tab: Incoming Correspondence  
 Reports Center:  
 Define Reports:   
 Generate Reports:   
 Distribute Reports:

Group Inquiries:  Disable:

Buttons: Save&Exit, Set-Notif, Cancel

Figure 8 – User Preferences window: Update mode

2. Click Save & Exit to enter the data to the database.
- Or
- Click Set-Notif to set the notification options for each user.
- Or
- Click Cancel to undo the previous step.

### 2.3 Customers per User

1. In the Users List window (Figure 6) click a Customers per User cell.

The Customers per User window is activated at the bottom of the existing page. It lists the customers for whom the user can perform transactions. See Figure 9.

Customize: Users							
User Id	User Name	Default Customer	Language	Supervisor	Customer Per User	Edit	Admin. Users
403261	MATTI	TFG NEW COMPANY -CUF 21.10.15	EN	Yes	Customers Per User		No

Customers per User User ID 403261 User Name MATTI

Customer	Inquiry	Transaction	Sign level	Delete	Edit
TFG ANIMAL COMPANY	Yes	Yes	GROUP A		
TFG NEW COMPANY -CUF 21.10.15	Yes	Yes	DATA ENTRY		

Add

Figure 9 – Customers per User window at the bottom of the page

The actions that are available on this page are:

- Click Edit to Edit the signature level authorization of the user with respect to the related customer
- Click a Sign level column to View the Signature level authorization
- Click Add to add a Customer to the User
- Delete Customer

### 2.4 Editing Signature Level Authorization

1. On the Customers per User window (Figure 9) click Edit

The Customize Users Signature Level window opens, enabling the user to assign which level of authorization a user must have in order to perform a transaction on behalf of the customer.



Signature Level  
Customer: TFG ANIMAL COMPANY      User Id: 403261      User Name: MATTI

Inquiry  Transaction  Signature Level

Transaction	Signature	Transaction	Signature
Change Our Ref Exp. Coll	<input type="text" value="GROUP A"/>	Guarantee Issuance	<input type="text" value="GROUP A"/>
Change Our Ref Exp. D/C	<input type="text" value="GROUP A"/>	Guarantee Payment	<input type="text" value="GROUP A"/>
Change Our Ref Guarantee	<input type="text" value="GROUP A"/>	Import Coll. Acceptance	<input type="text" value="GROUP A"/>
Change Our Ref Imp.D/C	<input type="text" value="GROUP A"/>	Import Coll. Pay Maturity	<input type="text" value="GROUP A"/>
Deal Message to Bank	<input type="text" value="GROUP A"/>	Import Coll. Pay Sight	<input type="text" value="GROUP A"/>
Export Coll. Amendment	<input type="text" value="GROUP A"/>	Import D/C Amendment	<input type="text" value="GROUP A"/>

Figure 10 – Customize Users Signature Level Window

The following fields are available:

Customer	The user may edit many customers' transactions. This field describes for which customer these signature requirements are being set.	
Signature Level	This row indicates which user's requirements for signature levels per transaction are being established.	
Inquiry	When this checkbox is checked, it indicates that the user is authorized to make inquiries about the customer's transactions.	
Transaction	When this checkbox is checked, it indicates that the user is authorized to enter transactions on behalf of the customer.	
Signature Level	This field indicates what are the required signature levels for all the customer's transactions:	
	Group A, B, C	A user of that level authorization is required to sign the transaction.
	Mixed Groups	Some transactions require a signature by one group level, while other transactions require a signature by another group level.
	Data Entry	The user can only enter data and not change any data
	Not Authorized	The user cannot access this customer's transactions
Transaction column	A list of the transactions requiring signatures.	
Signature Level column	A dropdown list setting the signature level requirement, as defined in the Signature Level above.	

2. Click Save & Exit to enter the data to the database.

Or

Click Cancel to undo the previous step.

#### 2.4.1 Viewing Signature Level Authorization

1. Click a Signature Level column link to view the Signature level required for each transaction for a particular customer. The Customers Per Users window is displayed.

Signature Level		User Id: 403261		User Name: MATTI	
Customer: TFG ANIMAL COMPANY					
Inquiry <input checked="" type="checkbox"/> Transaction <input checked="" type="checkbox"/> Signature Level GROUP A					
Transaction	Signature	Transaction	Signature	Transaction	Signature
Change Our Ref Exp. Coll	GROUP A	Guarantee Issuance	GROUP A		
Change Our Ref Exp. D/C	GROUP A	Guarantee Payment	GROUP A		
Change Our Ref Guarantee	GROUP A	Import Coll. Acceptance	GROUP A		
Change Our Ref Imp.D/C	GROUP A	Import Coll. Pay Maturity	GROUP A		

Figure 11 – Customers Per Users Signature Level Window

The fields options are the same as described in Figure 10.

2. Click Cancel to undo the previous step.

### 2.4.2 Adding/Deleting a new Customer to the User’s List

1. Click Add to add a new customer to this user’s list. The User’s window is displayed.

**Customize: Users**

Signature Level User Id: 403261    User Name: MATTI

Customer:

Inquiry  Transaction  Signature Level

[Save&Exit](#) [Cancel](#)

Figure 12 – User’s Window

The following fields are available:


Customer	The customer name of each of the user’s customers. The dropdown list includes all customers belonging to the same group as the user for which the authorization is created.
Inquiry	When checked, inquiries are available in the Inquiries and Reports sections of the TFG main product menu.
Transaction	When checked, all transactions are available in the TFG main product menu according to the customer authorization.
Signature Level	An authorization level indicating what sign level the user is permitted to perform.  Click this link to see which specific transactions the user can perform for the customer.

2. Click Save & Exit

Or

Click Cancel to return to the previous screen.

### 2.4.3 Deleting from the Customer per User List

To delete the customer from the Customers per User list, click Delete .

### 2.5 Purge

The Purge function in TFG allows customers to purge old data which is no longer required.

**Note:** Items are physically purged and cannot be restored via TFG.

A purge is permitted for the following objects:

- Closed Deals
- Rejected Deals
- Incoming Correspondence items
- Unsent Transactions

**Note:** The procedure for accessing the purge operation for all the above mentioned options is the same.

### 2.5.1 To Access the Purge Operation:

1. From the Customize menu, click Purge.

The Customize Purge window is displayed.

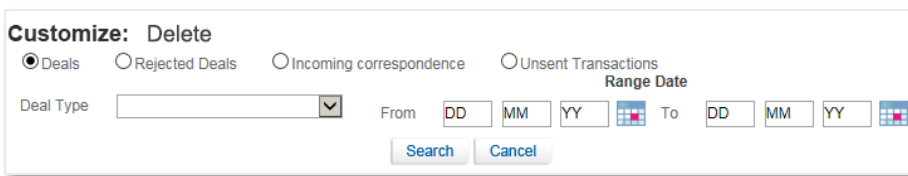


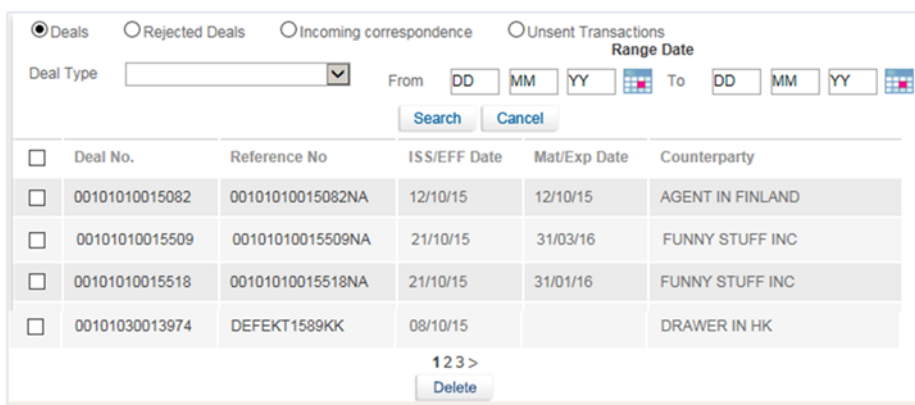
Figure 13 – Customize Purge: Closed Deals

The Purge criteria includes Deals according to combinations of:

Deal Type	The type of deal. Leave this field blank to select all the deal types.
Text Type	For Incoming Correspondence only, it is used instead of Deal Type. The type of text. Leave this field blank to select all the text types.
Range Dates	Range of expiry dates, for relevant deal types.

2. Select the relevant radio button and criteria from the dropdown list, and then click Search.

The list of items matching the criteria is displayed. The user can also specify to view the list within a specific date range.



<input type="checkbox"/>	Deal No.	Reference No	ISS/EFF Date	Mat/Exp Date	Counterparty
<input type="checkbox"/>	00101010015082	00101010015082NA	12/10/15	12/10/15	AGENT IN FINLAND
<input type="checkbox"/>	00101010015509	00101010015509NA	21/10/15	31/03/16	FUNNY STUFF INC
<input type="checkbox"/>	00101010015518	00101010015518NA	21/10/15	31/01/16	FUNNY STUFF INC
<input type="checkbox"/>	00101030013974	DEFEKT1589KK	08/10/15		DRAWER IN HK

Figure 14 – Purge List

**Note:** Select the checkbox at the top of the first column to select all the entries in the list.

The list contains the following columns:

Deal No.	The Deal number
Reference No	The customer's reference number.
ISS/EFF Date	The issuance or effective date of the Deal
Mat/Exp Date	The maturity or expiry date of the Deal
Counterparty	Identifies the counterparty

3. Select the items to purge by doing one of the following:

- Click the checkbox to the left of the entry.
- Or
- Select all the items.

4. Click Purge to purge the selected entries in the list.

Or

Click Cancel to return to the previous screen without making any changes.

## 2.6 Four-Eye Control

The Four-Eye Control functionality is intended to manage TFG configuration actions. All changes made by one supervisor, should be approved by another supervisor of the same authorization level. Use of this option requires that there are at least two Supervisors available.

Under the Customize menu, an option, called "Four-Eye Control" appears (only for Supervisors).

- The 1st supervisor has an option to update/delete item (user) details and re-submit for an approval only after the 2nd supervisor rejects the creation/change. No special update/delete option is available from the Four-Eye Control menu.
- The 2nd supervisor can only view and accept/reject, but cannot change any details.

The list displays all items that are pending approval. For the 2nd Supervisor only the Accept/Reject buttons are active. After the 2nd Supervisor approves the item, the item will be removed from the list. After the 1st Supervisor makes the change, both supervisors will see a new Item under the Approve/Reject list but the Supervisor that performed the change that is not permitted for approve/reject, might only view it. If the 2nd Supervisor rejects the item, it will be removed from the list. There is no update/delete option available from the Rejection/Approval list.

For the update of the customer user: if the 1st supervisor made a change to the user (e.g. the name) and it is in the 2nd supervisor's queue for approval, when the 1st supervisor goes to the customer/user maintenance and tries to update the user and clicks edit, an error message will be displayed: "Operation is not allowed. The record the user is trying to modify has already been changed and waiting for Supervisor approval."

All actions, Create/Update/Delete are subject to Four-Eye Control.

This function depends on existing at least two supervisors defined.

### 2.6.1 Enabling Four-Eye Control

The Four-Eye Control functionality is not displayed in the Customize dropdown menu till it is enabled in the Customize Customer Profile window.

1. On the Customize menu, click the Customer Profile option.

The Customize Customer Profile screen is displayed.



Figure 15 – Customize Customer Profile screen

2. Select the Enable Four-Eye Control checkbox.

3. Select the desired topics for control:

- All/None
- Templates
- Signature Level
- Parties
- Customer Profile/Four-Eye Control Setup
- Clauses
- Banks
- Purge
- Users
- Guarantee Text Templates

4. Click Save.

The Four-Eye Control option appears on the Customize menu in case any items exist which require approval.

### 2.6.2 Approving or Rejecting Four-Eye Control

TFG allows the first Supervisor to update/delete item (user) details. Any change should be approved by the second Supervisor of the same authorization level.

1. From the Customize menu, select Four-Eye Control.

The Four-Eye Control Approval/Reject page opens.

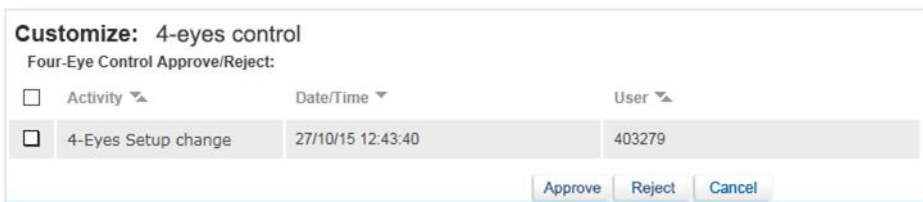


Figure 16 – Users Four-Eye Control Approval/Reject page

2. Select the Activity to approve or reject by ticking on the appropriate checkbox and clicking the Approve or Reject button.

## 2.7 Audit Trail

The Supervisor or any authorized user can make inquiries of audited information using a flexible search facility. The Audit Trail facility is available on the Deal level for any authorized user.

### 2.7.1 To Search for the Audited Information:

1. From the Customize menu, click Audit Trail.

The Audit Trail Criteria window is displayed.

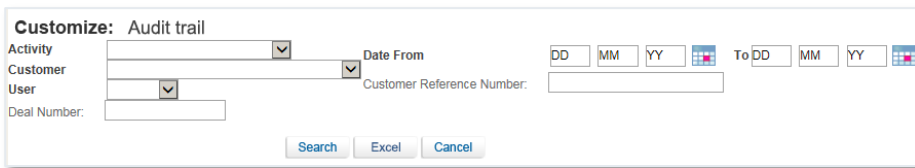


Figure 17 – Audit Trail Criteria

The following criteria are available for searching:

Activity	<p>Selection of activities included in Audit Trail log. The dropdown list includes the following options:</p> <ul style="list-style-type: none"> <li>• Transaction</li> </ul> <p>The "Activity" also includes the Customer Reference Number.</p> <ul style="list-style-type: none"> <li>• Deal Messages</li> <li>• Party</li> <li>• Signature Level</li> </ul> <p>The "Activity" also includes the Changed Amount.</p> <ul style="list-style-type: none"> <li>• Template</li> <li>• User Authorization</li> <li>• Four-Eye Control</li> </ul> <p>For activities from the "Four Eye" type, the "activities details" column provides a link to the detailed page of the old and new values.</p> <ul style="list-style-type: none"> <li>• Incoming Text – to view "printing of incoming correspondence".</li> </ul>
Customer	Selection of TFG customers. The dropdown list includes only customers who belong to the Supervisor's customer group.
User	Selection of TFG users. The dropdown list includes only users who belong to the Supervisor's customer group.
Deal Number	<p>If the user requires an Audit Trail based on the Deal Number, this field will be filled. A maximum of 14 characters may be entered.</p> <p><b>Note:</b> A wildcard search is available for this field.</p>
Date From – To	The required time period based on the activity time stamp.
Customer Reference Number	<p>If the user requires an Audit Trail based on the Customer Reference Number, this field will be filled. A maximum of 25 characters may be entered.</p> <p><b>Note:</b> A wildcard search is available for this field.</p>
Search	Click for a list of activities to be included in the Audit Trail list.
Excel	The Audit Trail List will be exported to an Excel sheet.
Cancel	Click Cancel to return to the previous screen.

To display a list of the audited information, leave all criteria fields empty and click Search.

2. Choose the appropriate criteria and click Search.

The audited information is presented in the Audit Trail List.

**Customize: Audit trail**

Activity: transaction  Date From: DD MM YY To D

Customer: TFG NEW COMPANY -CUF 21.10.15 Customer Reference Number:

User: LIISA  Deal Number:

Customer Name	User Name	Time Stamp	Activity Type	Activity Details	Deal No	Reference No
TFG NEW COMPANY -CUF 21.10.15	LIISA	13/10/15 15:19:44	Save and Sign of Transaction	Transaction Name: Export D/C Sight Negotiation; Transaction Number: 0; POA Number: 1	00101110018130	00101-01-0015055
TFG NEW COMPANY -CUF 21.10.15	LIISA	13/10/15 15:26:34	Sign of Transaction	Transaction Name: Export D/C Sight Negotiation; Transaction Number: 0; POA Number: 1; Amount: 6000 USD	00101110018130	00101-01-0015055
				Transaction		

Figure 18 – Audit Trail Result List

**Note:** To display a list of the audited information, leave all criteria fields empty and click Search.