

Quick Guide

# Trade Finance Global

For customers using Guarantees

October 2015



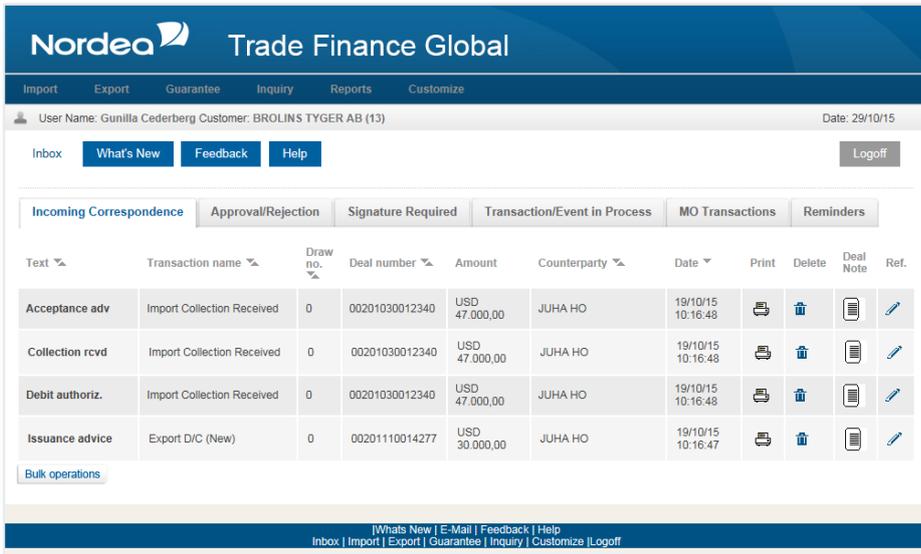
## Table of Contents

<b>1</b>	<b>TFG Page Structure</b>	<b>3</b>
<b>2</b>	<b>Navigation Menu</b>	<b>3</b>
<b>3</b>	<b>Inbox</b>	<b>3</b>
3.1	Incoming Correspondence	3
3.1.1	Registration of Additional Reference	4
3.2	Approval/Rejection	5
3.2.1	Payment Instructions for Outgoing Guarantee	6
3.2.2	Extending an Outgoing Guarantee	7
3.2.3	Approval/Rejecting Amendment	8
3.3	Reminders	10
<b>4</b>	<b>Action buttons – Action buttons are located at the bottom of a transaction page.</b>	<b>11</b>
<b>5</b>	<b>Deal Note</b>	<b>11</b>
<b>6</b>	<b>Icons</b>	<b>11</b>
<b>7</b>	<b>Main TFG Features</b>	<b>13</b>
7.1	Launching Transactions	13
7.2	Participants	13
7.3	Attachments	13
7.4	Incoming Correspondence in Amendments	15
7.5	Wild card Search	16
7.6	Bulk Operations	16
7.6.1	Signature Required Bulk Operations	16
7.7	Deal History	17
7.7.1	Viewing a Deal History	17
7.7.2	Deal History Search Results	19
7.7.2.1	Deal Note	19
7.7.2.2	Adding or Changing Reference Number	20
7.7.2.3	Launching Transactions from the Deal History Page	21
<b>8</b>	<b>Guarantees Menu</b>	<b>22</b>
8.1	Application for a Guarantee	22
8.1.1	Initiating a New Guarantee Application	22
8.1.1.1	Guarantee Tabs	22
8.2	Guarantee from Nordea Standard Guarantees	24
8.3	Guarantee Amendment	26
8.3.1	Guarantee Amendment Tabs	26
8.3.2	Amending a Guarantee	26
8.4	Guarantee Claim	27
8.4.1	Guarantee Claim Tabs	27
8.4.2	Claiming a Guarantee	28
8.5	Extend or Pay	31
8.5.1	Extend or Pay Guarantee Tabs	31
8.5.2	Launching an Extend or Pay Demand	31
8.5.3	Extend or Pay for Outgoing Guarantee	33

## 1 TFG Page Structure

The TFG page has the following main components:

- Header
- Navigation Menu
- Header Lower Line
- Inbox
- Footer



Page Structure

## 2 Navigation Menu

The TFG Horizontal Navigation menu displays TFG functions across the top of the TFG window. Only those functions authorized for the user are displayed.

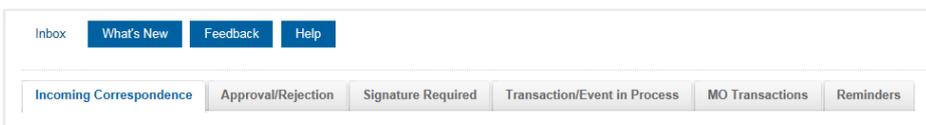


TFG Horizontal Navigation Menu

## 3 Inbox

The Inbox is the root screen of TFG. All current transactions can be updated or viewed from this screen under the various folders.

- Incoming Correspondence
- Payment/Acceptance
- Signature Required
- Transactions in Process
- Reminders
- MO (Middle Office) Transactions.



TFG Inbox

### 3.1 Incoming Correspondence

The Incoming Correspondence section contains all the documents and attachments sent from Nordea to the user.

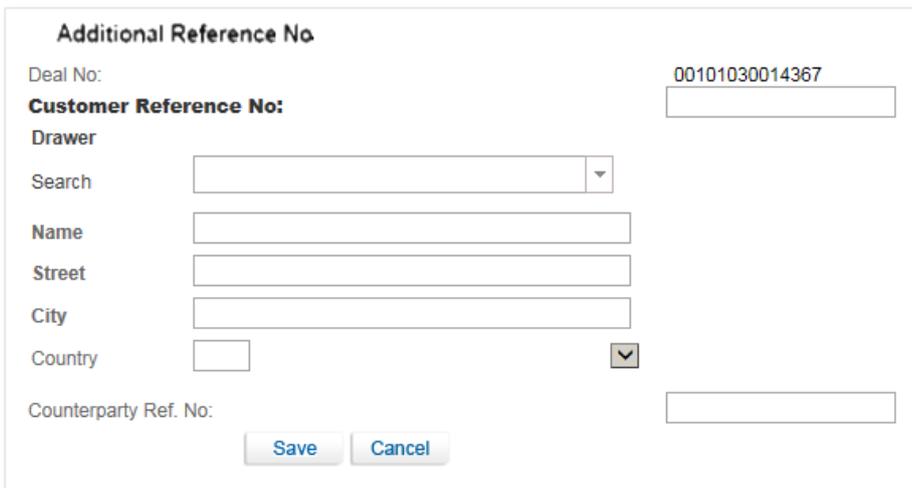
Next to each document, there are four icons that enable printing, deleting the document from the arrival list, adding/modifying deal note and adding additional reference. This typically happens when the documents are no longer required in the Incoming Correspondence section.

**Note:** Even though an incoming document has been removed from the Incoming Correspondence section, it will still be available under the Deal History of the respective Deal.

### 3.1.1 Registration of Additional Reference

The location/timing on which a customer user enters the additional reference is upon the receipt of information regarding new deals from Nordea. In TFG, this is upon the arrival of any incoming correspondence from Nordea, which is available in the Inbox instantly. The Incoming Correspondence screen contains a column, called “Ref”.

Upon clicking any Ref icon, the following screen is displayed:



**Additional Reference No**

Deal No: 00101030014367

**Customer Reference No:**

Drawer

Search

Name

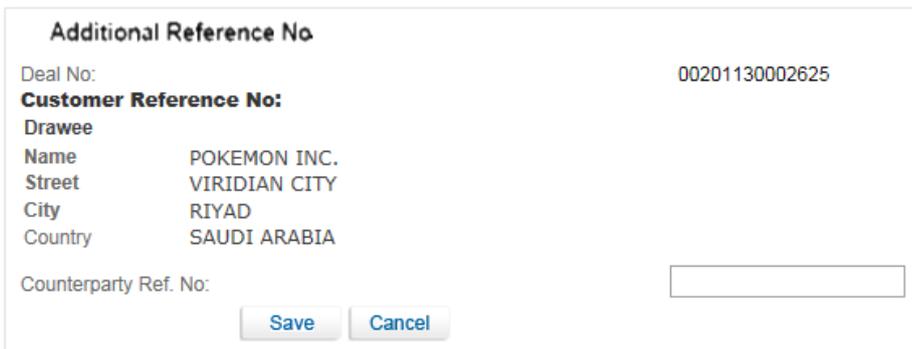
Street

City

Country

Counterparty Ref. No:

Additional Reference Number for deal coming from Nordea



**Additional Reference No**

Deal No: 00201130002625

**Customer Reference No:** POKEMON INC.

Drawee

Name POKEMON INC.

Street VIRIDIAN CITY

City RIYAD

Country SAUDI ARABIA

Counterparty Ref. No:

Additional Reference Number for deal generated by Customer

Deal No.	This is the Deal No. assigned by Nordea.
Counterparty	This is the name of the counterparty as downloaded from Nordea.
Customer Reference No.	<ul style="list-style-type: none"> <li>For transactions which are received from Nordea (e.g. Incoming Guarantees), this field is available for input.</li> <li>For transactions originated by the customer (e.g. Guarantees), the field is protected with the data entered by the user in the transaction creation. In order to update that reference number, use the “Change Reference Number” option which can be launched from the foot of</li> </ul>

	the Deal History screen. In both cases, the new or amended reference number is automatically uploaded to Nordea and will be quoted on future correspondence.
Counterparty Name and Address	For transactions received from Nordea (e.g. Incoming Guarantees), the user can enter the counterparty's name and address. For transactions initiated by the customer (e.g. Guarantees), the name and address fields are protected with the data from the transaction creation
Counterparty Reference No.	In this field, the user can assign the counterparty's Reference No. It has the same size and attributes as the customer Reference No. field in the new Issuance transactions and can subsequently be used in various inquiry searches.  A value entered in the respective field in the Deal History screen is defaulted.
Save	When clicking the Save button, the entered data is saved and the window is closed.
Cancel	When clicking the Cancel button, the entered data is not saved and the window is closed.

The option to register the additional reference data is on an incoming correspondence level; however, as multiple correspondences may be received from Nordea for the same or different steps of the same deal, the registered additional reference data is stored at the deal level. As a result, when clicking the Reference icon, the screen is displayed allowing to change the previously registered information.

TFG will not allow the same customer Reference No. for more than one deal of the same type.

TFG allows the same counterparty Reference No. for different deal type; however, in case of duplication TFG prompts a warning message to the user.

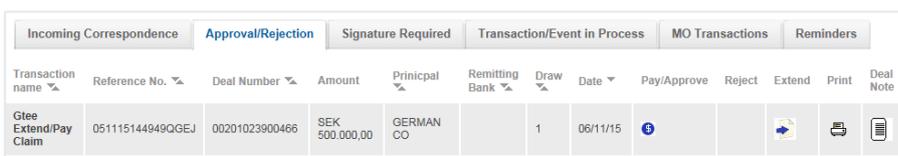
### 3.2 Approval/Rejection

For guarantees this tab is used for the following purposes:

- To approve or reject amendments received under an Incoming Guarantee which require your approval
- To respond to "Extend or Pay" requests which are received under guarantees issued on your behalf. You may choose to either Pay or to Extend the guarantee. Non-extension will be considered as a claim.

For each item, there are icons used for the following purposes:

- Pay/Approve
- Reject
- Extend
- Print



Approval/Rejection tab

Transaction Name	The nature of the transaction (i.e. Guarantee or Incoming Guarantee)
Invoice No.	Customer Reference Number if provided by the customer

Deal Number	Nordea's Deal Number
Amount	The amount of the transaction
Principal	Applicant or Beneficiary depending on the transaction type
Remitting Bank	The Bank sending the transaction
Draw	The Number of the claim/payments
Date	Date of receipt
Pay/Approve	Approve an Amendment under an Incoming Guarantee which has been downloaded by Nordea and requires your approval or select to pay a guarantee for which an "Extend or Pay" request was received by Nordea.
Extend	Select to extend a guarantee for which an "Extend or Pay" request was received by Nordea.
Reject	Reject an Amendment under an Incoming Guarantee which has been downloaded by Nordea and requires your approval

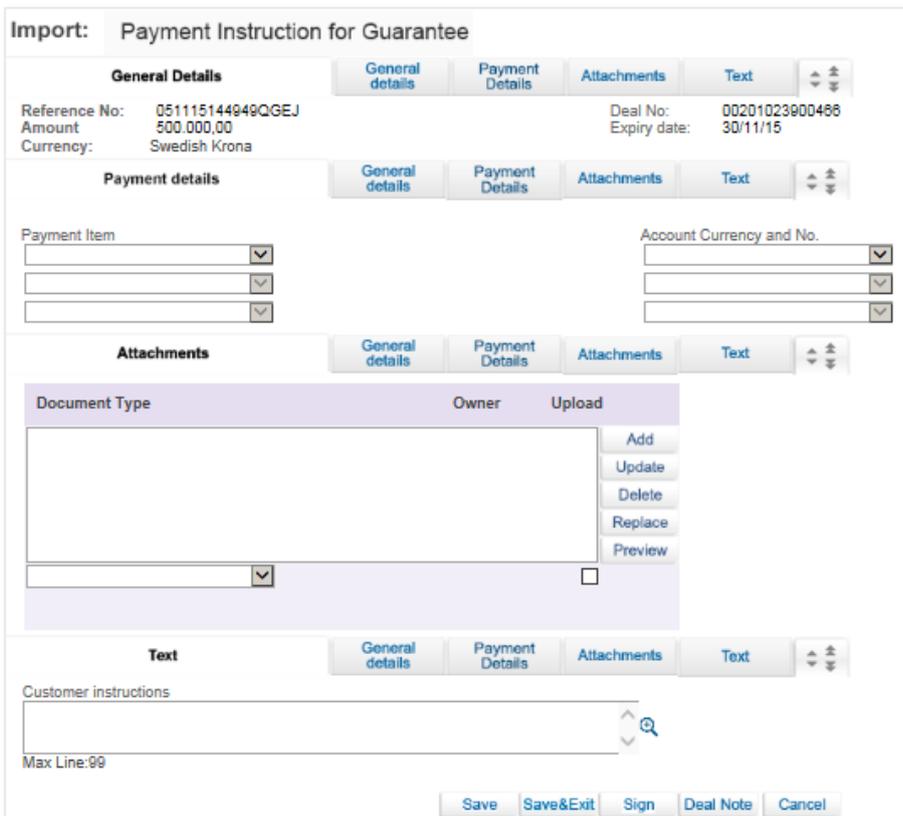
### 3.2.1 Payment Instructions for Outgoing Guarantee

As explained above, in case a message is received from the Advising Bank requesting to extend a guarantee and if not extended consider it as a claim, the customer should extend or pay the outgoing guarantee transaction (electronic acceptance from the customer).

To Pay an Outgoing Guarantee:

1. Click the Approval/Rejection tab heading.
2. Select the required outgoing guarantee transaction and click Pay .

The Payment Instruction for Guarantee window is displayed.



Payment Instruction for Guarantee

General Details	
Amount	The guarantee balance
Currency	The guarantee currency
Payment Amount/Currency	The guarantee balance/currency
Payment Items	
The user can select various accounts and currencies	

On signing a PAY transaction, the item is removed from the TFG Approval/Rejection tab when the user processes the item. In case the item is cancelled before a release, it will be returned to the Approval/Rejection tab.

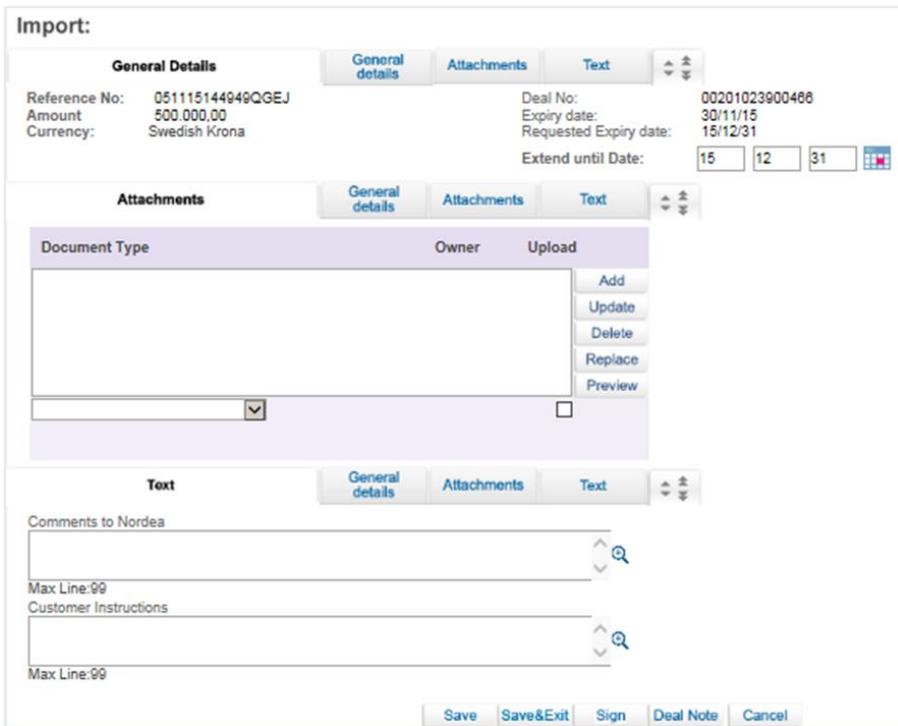
### 3.2.2 Extending an Outgoing Guarantee

In case a message is received from the Advising Bank requesting to extend the guarantee, the customer should extend or pay the outgoing guarantee transaction (electronic acceptance from the customer). The message states that in case the applicant refuses to extend, this message should be regarded as a claim.

To Extend an Outgoing Guarantee:

1. Click the Approval/Rejection tab heading.
2. Select the required outgoing guarantee transaction and click Extend .

The Amend Guarantee window is displayed.



Amend Guarantee

General Details	
Expiry Date	The current expiry date of the guarantee

Requested Expiry Date	The expiry date, which has been requested by the beneficiary and downloaded from Nordea.
Extend until Date	The Requested Expiry Date is defaulted. The user can change the date; however, the date must be greater than the current expiry and the current date.

Upon clicking Save or Sign, TFG validates whether the date entered in the Expiry Date field is prior to the Requested Expiry date and if so, the user will be forced to enter a reason in the Customers Instructions free text field.

**Note:** For both PAY and Extend option, in case a step has already been processed in the TFG, when the user clicks the Extend  icon, an error message will be generated. It is only possible to process the item when the previous step has been released by Nordea.

On signing an Extend (Amend) transaction, the item is removed from the TFG Approval/Rejection tab when the user processes the item. In case the item is cancelled before a release, it will be returned to the Approval/Rejection tab.

In case of Extend (Amend), TFG uploads the following dates:

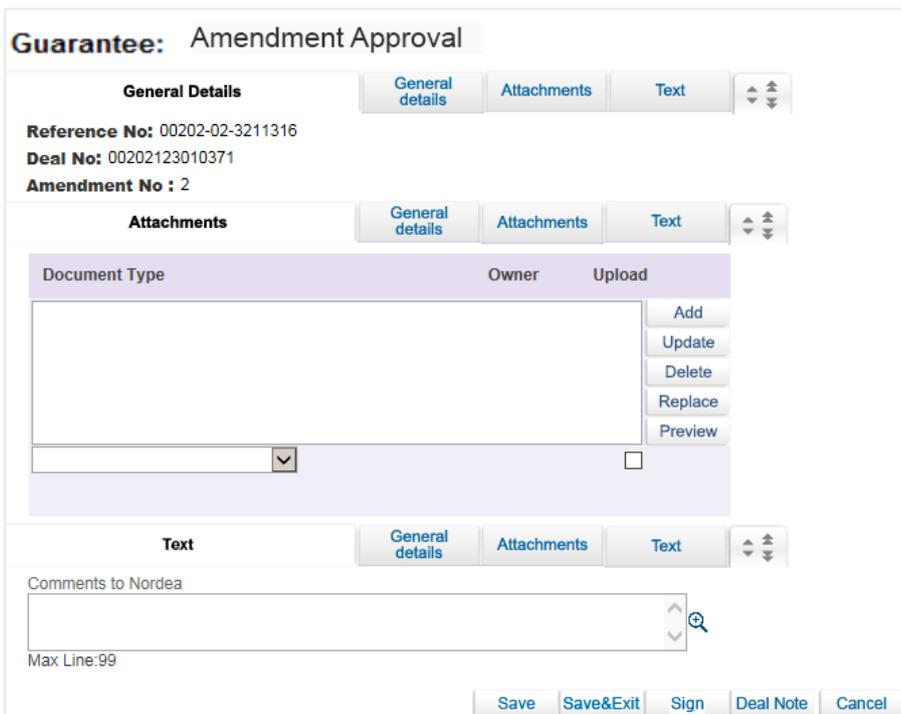
- Requested Expiry Date
- Expiry Date

### 3.2.3 Approval/Rejecting Amendment

TFG allows the customer to accept or reject amendments through TFG.

To Approve an Amendment:

1. Click the Approval/Rejection tab.
2. Select the required amendment Deal to be approved and click Pay . The Amendment Approval window is displayed.



Guarantee Amendment Approval screen

Reference No.	The customer's reference no., if assigned
Deal Number	Nordea's Deal Number
Amendment No	Amendment No.
Attachments	Customer may attach document(s) to the approval.
Comments	Customer may add comments to the approval.

3. Complete the required fields in the Approve Amendment window.

4. Click as appropriate:

Save	Save all the transactions in the list, and remain on the page
Save & Exit	Save the transactions and exit the page
Sign	Sign all the transactions according to the signature level
Deal Note	Add a note to the transaction
Export	Generate a draft of the outgoing SWIFT message in the notepad text format
Cancel	Return to the previous page

When the transaction is signed in TFG, it is uploaded to Nordea where the amendment is approved and required message transmitted to the Issuing Bank.

**Note:** In TFG, the download of the release of the transaction to Nordea removes the Waiting For Approval indicator.

To Reject an Amendment:

1. Click the Approval/Rejection tab.

2. Select the required amendment Deal to be approved and click Reject . The Amendment Rejection window is displayed.

**Guarantee: [ ] Amendment rejection**

**General Details** | General details | Attachments | Text

Reference No: 00202-02-3211316  
 Deal No: 00202123010371  
 Amendment No : 2

**Attachments** | General details | Attachments | Text

Document Type	Owner	Upload
		Add Update Delete Replace Preview

**Text** | General details | Attachments | Text

Comments to Nordea  
 Max Line:99

Reject

Save Save&Exit Sign Deal Note Cancel

Guarantee Amendment Rejection Screen

Reference No.	The customer's reference no., if assigned
Deal Number	Nordea's Deal Number
Amendment No	Amendment No.
Reject	Reject checked field cannot be changed
Attachments	Customer may attach document(s) to the rejection.
Comments	Customer must add comments to the rejection.

3. Complete the required fields in the Reject Amendment window.

4. Click as appropriate:

Save	Save all the transactions in the list, and remain on the page
Save & Exit	Save the transactions and exit the page
Sign	Sign all the transactions according to the signature level
Deal Note	Add a note to the transaction
Export	Generate a draft of the outgoing SWIFT message in the notepad text format
Cancel	Return to the previous page

When the transaction is rejected in TFG, it is uploaded to Nordea who transmits the required message to the Issuing Bank.

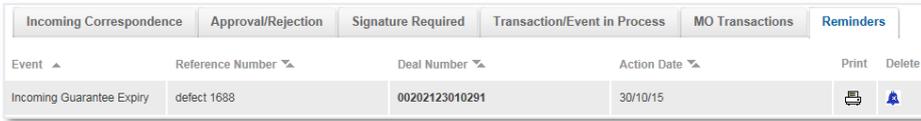
### 3.3 Reminders

The customer receives a list of reminders of upcoming events in the Inbox, sorted by date (from closest to farthest).

Reminders show the following events:

- Incoming Guarantee Expiry:
  - Limited – The ‘Before/After’ logic refers to the given expiry date
  - Unlimited – No reminder is generated.

The figure below shows a list of reminders in the Inbox Reminders tab.



#### Inbox Reminders

Event	Event type Opens the Deal History page
Deal Number	Deal number
Action Date	Date of the event Events are sorted based on this field. The closest dates are on the top.
Print	The customer can print the reminder.
Delete	The customer can delete the reminder

#### 4 Action buttons – Action buttons are located at the bottom of a transaction page.



#### Action buttons

The following action buttons are common to most of the transactions:

- Save (this is to save the data while remaining on the page)
- Save&Exit (this is to save the data but exit the page – the transaction will move to the Transactions in Process tab)
- Sign
- New Template/Update Template
- Export (this is to create a draft in SWIFT format – it is available for Guarantee Issuance and Amendment)
- Deal Note (See below)
- Cancel

#### 5 Deal Note

TFG allows the user to add notes to when creating or amending a transaction.

When clicking the Deal Note button  , the Deal Note window pops up and the transaction data is saved to the database. If the transaction does not contain a Reference Number, an error message is displayed prompting the user to fill in the required field. The Deal Note can also be added from the Deal Note column in the Inbox.

#### 6 Icons

The user can activate various actions during the Transaction process by clicking the icons. The following list explains the function of each action icon.

Icon	Action	Function
	Down Directional Arrow	Scroll down to the next section on a page

	Up Directional Arrow	Scroll up to the previous section on a page
	Directional Arrow	Scroll up or down between sections within the current page
	Directional Arrows	Scroll to the previous and next sections or to the top and bottom of the page
	Add/Remove Arrows	Add and Remove document types
	Copy From	Initiate a new transaction based on the existing transaction/deal details
	Reject	Reject an Amendment under an Incoming Guarantee
	Pay/Approve	Accept an Amendment under an Incoming Guarantee or make a Payment under a Guarantee for which an “Extend or Pay” request was received.
	Print	Print the current TFG form from the default printer
	Reject	Reject the signatures already present in the transaction, enabling editing of the transaction
	Sign List	Display a list of required and executed signatures
	Sign	Approve the current transaction
	Edit	Edit the appropriate data
	Delete (Trash)	Delete and remove all transactions that have not received signature approval from TFG
	Extend	The Extend or Pay demand is relevant to Outgoing Guarantee transactions (electronic acceptance from the customer).  <b>Note:</b> A message is received from the Advising Bank requesting to extend the guarantee. The message states that in case the applicant refuses to extend, this message should be regarded as a claim.
	Deal Note	Add or update a note to the transaction
	Draft/Export	Generate a draft of the outgoing SWIFT message in the notepad text format. Relevant for Guarantee Issuance and Amendment.
	Zoom In	Zoom in to a specific record
	Zoom Out	Zoom out of the specific record
	Open Clause Library	Select clauses
	Calendar	Display the popup calendar
	Dismiss	Dismiss the selected item from the Reminder section of the Inbox
	Select Output Layout	Customize result table columns of the Open Deals inquiry

## 7 Main TFG Features

TFG provides Nordea's Trade Finance customers with the following basic features:

### 7.1 Launching Transactions

Transactions can be launched in more than one way:

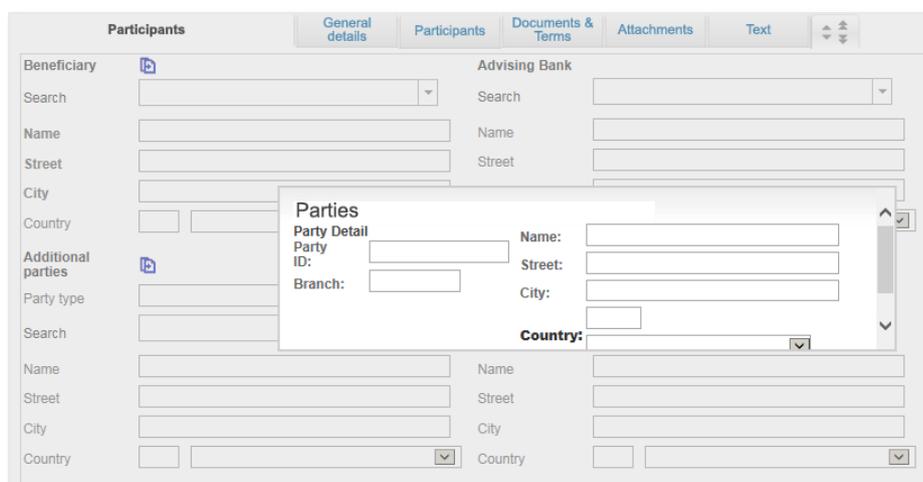
- From the individual menus (Guarantee, etc.) on the Navigation Menu
- From the Deal History page

### 7.2 Participants

It is possible to create a new Participant whilst launching a transaction.

On clicking the Create Party from Deal icon , the Party screen pops up.

**Note:** Create Party is not available for banks, since TFG users cannot update the list for this party type – they are received from Nordea.



The screenshot shows the 'Participants' screen with a 'Parties' popup window. The main screen has tabs for 'General details', 'Participants', 'Documents & Terms', 'Attachments', and 'Text'. The 'Participants' tab is active. There are two main sections: 'Beneficiary' and 'Advising Bank'. Each section has a search dropdown, and fields for Name, Street, City, and Country. The 'Additional parties' section has a search dropdown, Party type, and another search dropdown. The 'Parties' popup window has a title bar and a close button. It contains a 'Party Detail' section with fields for Party ID, Branch, Name, Street, City, and Country.

Parties popup

Fill in the information and click Save.

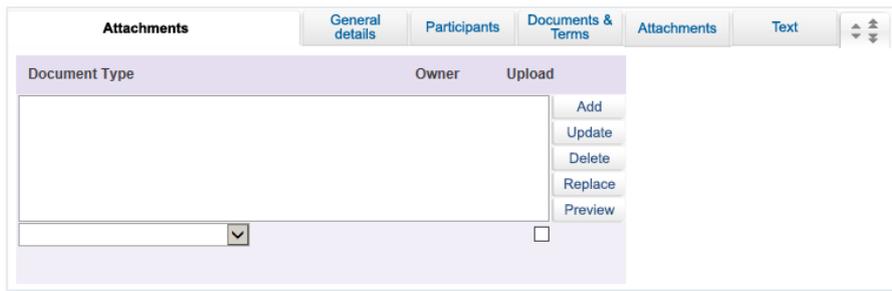
The party is added to the Party register, the Party screen is closed and the user returns to the Transaction screen.

### 7.3 Attachments

TFG provides the user with the facility of attaching files to any application for internal use at the user site and for upload to Nordea. Documents pertaining to transactions can be attached and viewed using the Attachments tab within the transaction page.

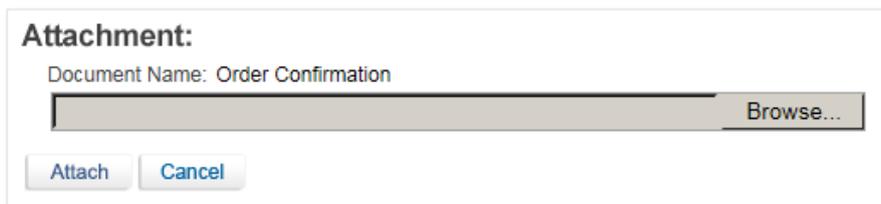
To Add or Modify Attachments to the Transaction:

1. In the title bar, click the Attachments tab.



Defining Payment Details: Attachments Tab

2. Select the document type from the Document Type dropdown list.
3. Click Add. The Attachment window is displayed.

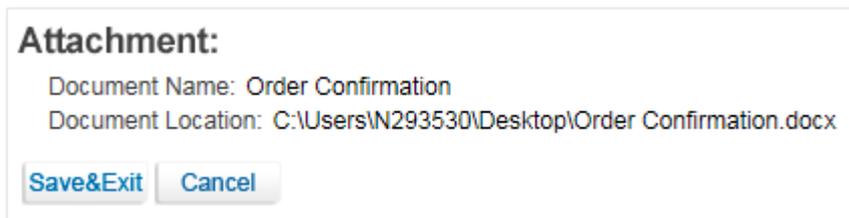


Attachment: Browse to File Location

4. Click Browse and browse to where the file is located using the Windows dialog box.

When the customer click Open in the Choose file window, TFG checks that the file path and name exists, and that the file format is one of the formats defined as supported formats.

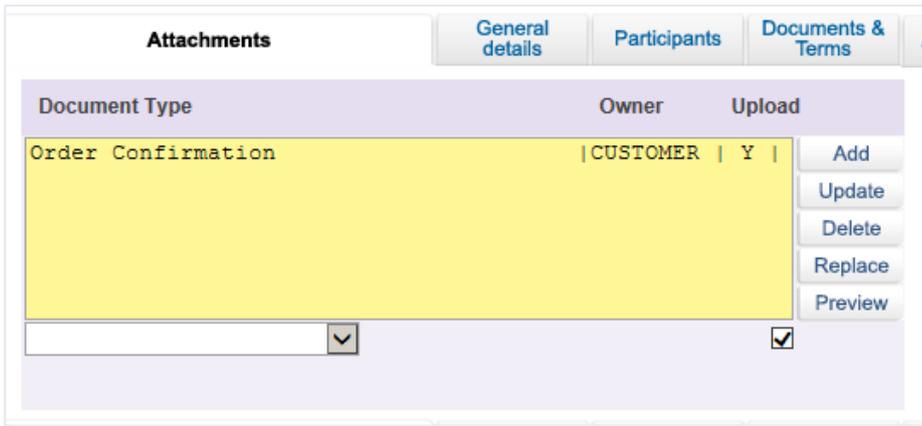
5. Click Attach to attach the file to the Deal. A confirmation message is displayed.



Attachment: Documents Location Confirmation

6. Click Save & Exit to save and complete the attachment process.
- Or  
Click Cancel to cancel the transaction.

After a successful attachment, the file is saved in the database connected to its document type, and the previous screen is displayed.



Attachment: Attached Document Added

When clicking a specific row in the attachment table, the respective file name appears in a field at the bottom of the window.

7. Repeat Steps 2 through 5 to add additional documents.

8. To delete an attachment, select the attachment record, and click Delete.

Click OK in the confirm delete message. The document name is deleted from the list and the attachment is deleted from the database.

9. To update an attached file to the Deal, select the required file and click Update.

10. To preview an attached file, select the required document and click Preview. The File Download window is displayed:



File Download Window

11. Click Open to display the attachment.

**Note:** When the attached document opens in an application that allows editing and performing changes of the original file, those changes are not saved in TFG.

**Note:** In order to upload any specific attachment to Nordea, highlight the attachment, click on the "Upload" checkbox and press the Update icon. Any attachments not flagged for upload will not be received by Nordea and will serve only the local users.

The customer can print the attached document using the Preview functionality.

#### 7.4 Incoming Correspondence in Amendments

The customer users have quick access to all incoming correspondence received from Nordea during the generation of an amendment transaction (i.e. Amendment of guarantee). When creating an amendment for any type of product, the screen includes all correspondence which has been received from Nordea; the user is able to immediately view any of the presented texts.

Incoming Correspondence					
Transaction Name	Drawing No.	Text ID	Document Name	Arrival Date/Time	Send To
Guarantee Issuance	0	02IS1	Gtee cover let.	05/11/15	Customer
Guarantee Issuance	0	DR/CR	Account entry	05/11/15	Customer
Guarantee Issuance	0	MT76J	Perf. gtee	05/11/15	Advising Bank
Guarantee Miscellaneous	1	02AM4	Claim Advise	06/11/15	Customer

Text Tab: Incoming Correspondence section

The section contains the Incoming Correspondence received from Nordea and belongs to the selected deal.

### 7.5 Wild card Search

The wild card search option is available for all alphabetical searches in the TFG system and can be applied in the following TFG search fields:

- Party name
- Reference number
- Invoice Number
- Deal Number
- Template name
- Counterparty Reference Number
- Free text

The wild card search can be conducted by typing the following strings in the relevant field:

- \*XXX

This search retrieves any party, which name ends with typed characters.

- XXX\*

This search retrieves any party, which name starts with typed characters.

- XXX\*YYY

This search retrieves any party, which name starts with typed characters and the name contains the characters after the \*

- \*text\*

Search for any text entered in the Free Text Fields.

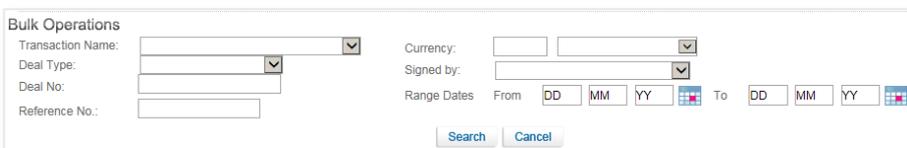
### 7.6 Bulk Operations

#### 7.6.1 Signature Required Bulk Operations

A group of transactions, within the specific authorization level, can all be signed at one time.

To Sign a Group of Signatures:

1. In the Inbox, click the Signatures Required section header.
2. Click the **Bulk operations** button located at the bottom of the page. The Bulk Signature Criteria window is displayed.



The screenshot shows the 'Bulk Operations' window with the following fields:

- Transaction Name: [Dropdown menu]
- Deal Type: [Dropdown menu]
- Deal No.: [Text input]
- Reference No.: [Text input]
- Currency: [Dropdown menu]
- Signed by: [Dropdown menu]
- Range Dates: From [DD] [MM] [YY] To [DD] [MM] [YY]

Buttons: Search, Cancel

Bulk Signature Criteria Window

3. Select the required items by entering data in one or more of the following fields, or by selecting data from the dropdown lists:

- Transaction Name
- Deal Type
- Deal No.
- Reference No
- Currency
- Signed by
- Range Dates

4. Click Search. The list of Signature items matching the criteria are displayed.

<input type="checkbox"/>	Transaction Name ▾	Deal No. ▾	Reference No. ▾	Counter Party	Ccy/Amount ▾	Transaction Date ▾	Signed By
<input type="checkbox"/>	Pre Guarantee		261015104742TWSL		USD 6.000,00	26/10/15	Mattias Enguis
Sum Total:					<input type="text" value="0.0"/>		

#### Items Waiting for Signature List

- If no value is entered into any of the fields, a list of all the transactions waiting for signatures is displayed.

The Sum Total is a total of all the checked transactions on the list with the same currency. If more than one currency is checked, no Sum Total is displayed.

5. Select the required transactions by selecting the checkbox before the transactions.

Or

Select all the transactions by selecting the checkbox at the top of the first column.

6. Click Sign. The user will sign the transaction according to the signing procedure defined by Nordea.

**Note:** Access to the Bulk Signature Required function is determined according to Nordea's setup.

## 7.7 Deal History

The Deal History Inquiry enables you to view a Deal in detail. Here you can see all steps of the deal as processed by the Back Office and whether the relevant step was initiated in TFG.

Transactions can also be launched from the Deal History screen.

### 7.7.1 Viewing a Deal History

Selected deal details can be displayed with a history of transactions performed on that deal. The deal history options enable you to view details entered by the customer and Nordea.

To View a Deal History:

1. From the Inquiry menu, click Deal History. The Deal History Request Form is displayed.

**Inquiry: Deal history**

Deal Type:  Deal Number:  x

Customer Ref no  Save Criteria

Counterparty Ref.

Deal History Inquiry Window

Deal Type	The type of Deal and the step
Deal Number	Nordea's deal number.
Customer Ref No.	The customer can search either by the Customer Reference which was added when the deal was issued or added by the customer, and TFG will locate the deal.
Save Criteria	Saves the inquiry criteria as the default for future inquiries.. All subsequent requests for the inquiry use the saved criteria as the default.  To remove a saved criteria status for the next inquiry, clear all fields except the Save Criteria field and click Search.  You can use one set of criteria per inquiry.
Counterparty Ref.	Similar to field Ref No., when entered the user must also select a value in the Deal Type field, because the same Reference No. can be used for different deal types.

2. Enter the Deal number or Customer Ref no

3. Click Search to view the Deal.

Deal History page opens.

The selected deal details are displayed with a history of transactions performed on that deal. The deal history options enable you to view details entered by the customer and Nordea.

## 7.7.2 Deal History Search Results

Inquiry: Deal history

**General Details** | General details | Ref Data | Participants | Text

Deal No. 00201023000241 Deal Type: Outgoing Guarantee  
 Amount: 569.800,00 Reference/Invoice No.: 080723/665448  
 Currency: Euro Balance: 569.800,00  
 Expiry Date: 30/05/09 Guarantee Type: RETENTION MONEY GUARANTEE  
 Counterparty: PETERSSONS KONFERENS AB Link To D/C: 000000000000  
 NORDEA  
 105 71 STOCKHOLM

Transaction Name	Drw No.	Amount	Currency	Amount in EUR	Exchange Rate	Status Date	Expiry Date	Approval Status
Guarantee Issuance	0	569.800,00	Euro	569.800,00	1,0000000	23/07/08	30/05/09	

Email	Title	Priority	Status	Status Date
1	Non receipt of guarantee	Urgent	E-mail closed by Nordea	23/09/08

**Additional Reference Data** | General details | Ref Data | Participants | Text

**Additional Reference No**

**Customer Reference No:** 080723/665448

**Beneficiary**  
 Name 005565001897CUST  
 Street  
 City  
 Country

Counterparty Ref. No:

**Participants** | General details | Ref Data | Participants | Text

Party Code	Party Name	Street	City	Country
Beneficiary	PETERSSONS KONFERENS AB	NORDEA	105 71 STOCKHOLM	

**Text** | General details | Ref Data | Participants | Text

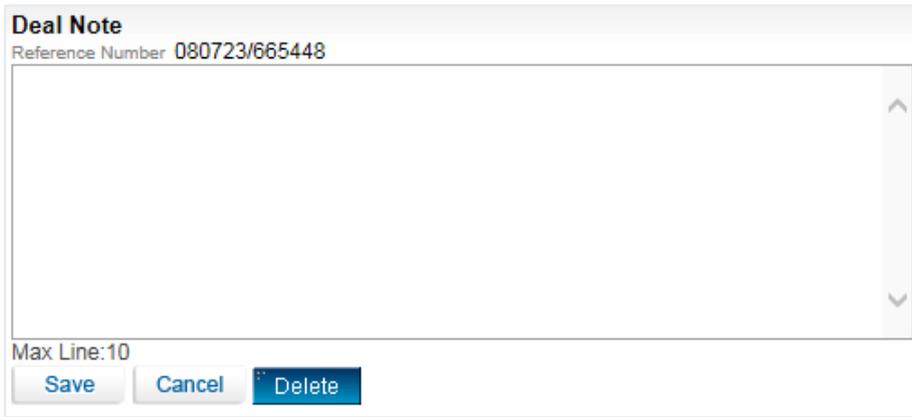
Transaction Name	Drw. No	Text Id	Document Name	Arrival Date	Send To
Guarantee Issuance	0	LT76R	Payment gtee	23/07/08	Beneficiary

Deal History Search Results: General Details Tab

### 7.7.2.1 Deal Note

- To record a note – click the Deal Note icon, located in the General Details tab. The Deal Note window pops up.

**Note:** If the note already exists, the Deal Note icon is marked with a tick sign . The user may click the existing note and update it if needed.



The screenshot shows a 'Deal Note' window. At the top, it displays 'Reference Number 080723/665448'. Below this is a large, empty text area with a vertical scrollbar on the right. At the bottom left of the text area, it says 'Max Line:10'. At the bottom of the window, there are three buttons: 'Save', 'Cancel', and 'Delete'.

Deal Note window

This popup contains the deal/transaction identification data (Reference Number) and the Text Area to the deal note text managing.

The following buttons are available in the Deal Note window:

- Save – saves the Deal Note text in the database table.
- Cancel – cancels creation/update of the Deal Note.
- Delete – deletes the Deal Note entry from the database table.

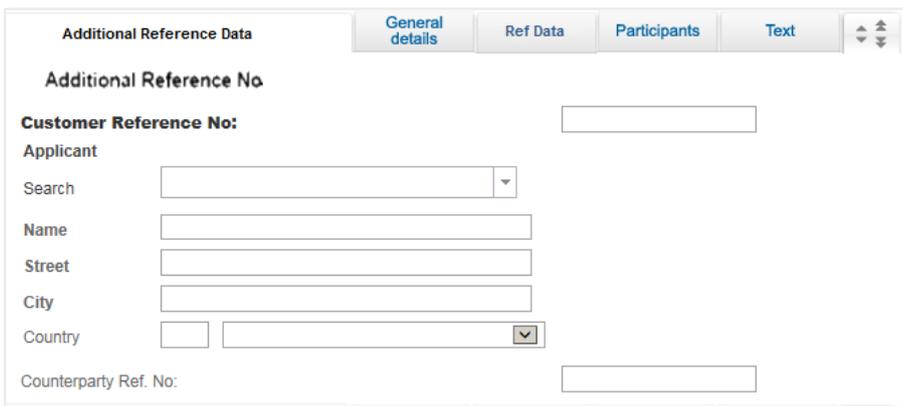
**Note:** To delete the note, press the Delete button or delete the note text and press the Save button.

### 7.7.2.2 Adding or Changing Reference Number

The system allows the user to change reference data to transactions which were initiated by Nordea and downloaded to TFG, e.g. Incoming Guarantees.

To Add Reference Number from the Deal History Page:

1. Navigate to the Incoming Guarantee history page.



The screenshot shows the 'Additional Reference Data' tab in a software interface. The tab is selected and highlighted. Below the tab, there are several input fields: 'Customer Reference No.' (a text box), 'Applicant' (a dropdown menu), 'Search' (a text box), 'Name' (a text box), 'Street' (a text box), 'City' (a text box), 'Country' (a dropdown menu), and 'Counterparty Ref. No.' (a text box). The 'General details' sub-tab is also visible and selected.

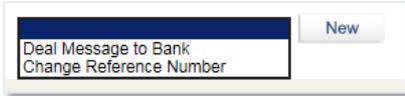
2. Add the Reference Number in the Counterparty Ref. No. box in the Additional Reference Data Tab.

The system allows the user to change reference to transactions which were initiated by the customer, e.g. Outgoing Guarantees.

To Change Reference Number from the Deal History Page:

1. Navigate to the Outgoing Guarantee history page.

2. From the dropdown at the bottom of the page, select Change Reference Number and click New.



Import D/C Deal History dropdown

**Note:** The link only appears in case the user is specifically authorized for processing the AMD step of the relevant deal. Otherwise, it does not appear under that step for that user.

TFG routes the user to the Change Reference Number page.



Change Reference Number page

Deal No	The deal number from the Deal History screen
Open Date	The date the deal Issuance Step was released by Nordea
Deal Type	Outgoing Guarantee
Old Reference No.	The original reference number allocated by the customer.
New Reference No.	New reference number.  <b>Note:</b> The new reference number cannot be a number which has previously been used by the customer in another deal of this type even if it was subsequently changed.
Comments	Your comments to Nordea.

Once the transaction has been completed, the user signs the transaction to release it. The new reference number is added in Nordea's system and will be quoted in future correspondence.

### 7.7.2.3 Launching Transactions from the Deal History Page

Transactions can be launched from the dropdown menu at the bottom of the Deal History page.



TFG Deal History Screen: Launching a Transaction

The following transactions can be launched from the Deal History page:

All products:

- Deal Message

Guarantee:

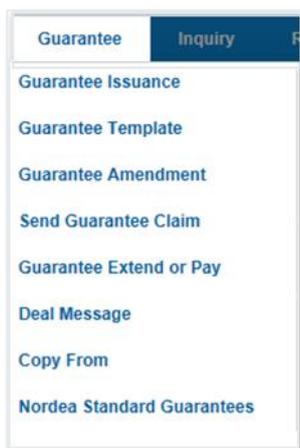
- Amendment
- Extend or Pay (for Incoming Guarantee only)
- Change Reference No. (for Outgoing Guarantee only)

## 8 Guarantees Menu

In the Guarantees section, the user is able to perform the following actions:

- Apply for Guarantees.
- Amend existing Guarantees.
- Open a deal using the Copy From functionality
- Send a Guarantee claim under an Incoming Guarantee (new)
- Guarantee Extend or Pay (new)
- Select a Guarantee from the Nordea Template Library (new)
- Write a Deal Message to Nordea, available for existing deals in Nordea application

**Note:** Templates can be created and used for the creation of Guarantees.



Guarantees menu options

### 8.1 Application for a Guarantee

#### 8.1.1 Initiating a New Guarantee Application

1. From the Guarantees menu, click Guarantee.

The Guarantee application is displayed. New applications can be initiated from this page. New applications can be updated until they have been sent to Nordea.

##### 8.1.1.1 Guarantee Tabs

The following tabs must be completed in order to establish a new Guarantee:

- General Details
- Participants
- Documents & Terms
- Attachments
- Texts



Guarantee Navigation Toolbar

Upon completing these tabs, the user signs the transaction to release it.

**Note:** The user accesses any of the tabs from anywhere in the application page by clicking the desired tab on any heading of the title bars that precede each tab.

The General Details section is the first tab that is displayed on the screen.

New Guarantee Page: General Details Tab

2. Enter data in the relevant fields.

The following are the General Details tab fields:

Reference No.	A unique deal identification number, decided by the TFG user. For example, a contract number, a delivery order, and so on
Amount	The amount of the Guarantee
Currency	The currency of the Guarantee.
Deal No.	The Deal Number created by Nordea.
Guarantee Type	The predefined type of Guarantee, such as: Performance, Bid or Payment Guarantees.
Expiry Date	The date the Guarantee expires
Send Guarantee By	The method by which the shipping company sends the guarantee. Options include Courier, Mail, Registered Mail and SWIFT. The user selects a method from the dropdown list.

3. Switch to the Participants tab and enter the Deal participant data in the relevant fields.

4. Scroll down to the Documents & Terms tab and enter relevant data in the following Term fields:

- Each term has specific responses in the dropdown list next to the term. Select the appropriate response for each term.

5. Switch to the Attachments tab to attach files to a regular Guarantee application to Nordea and upload them.

6. Switch to the Texts tab to enter additional customized information and requirements to the Guarantee.

New Guarantee Page: Texts Tab

7. Enter additional Deal information by clicking the appropriate option in the toolbar, or by clicking the directional button to view a preceding window.

- To send the transaction, when you are finished entering all Guarantee details into the application form, click Sign.

The system runs internal checks to make sure the information is entered correctly. If any errors exist, you are notified about each error and prompted to correct it.

- To release the transaction, click Sign.

- If you do not want to send the transaction at the current moment, once you have amended the appropriate information, click Save & Exit to update the Deal in the TFG database, Or

Click Cancel to return to the previous page without saving any action on the current page.

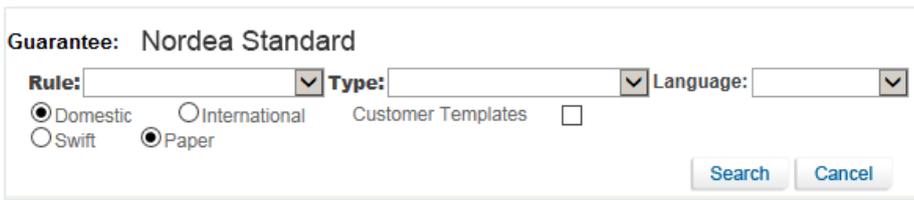
**Note:** When you want to save the updated application and apply the details to another application, click Template.

## 8.2 Guarantee from Nordea Standard Guarantees

To Complete the Guarantee from Nordea Standard Guarantees:

- From the Guarantees menu, click Guarantee from Template Library.

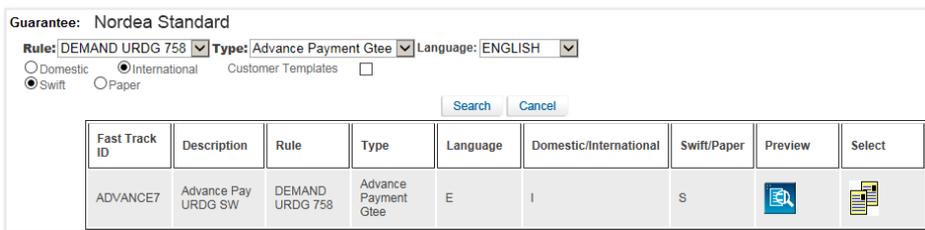
TFG routes you to the selection screen 'Guarantee Text Selection' where you can select the relevant text template.



Guarantee Text Library search page

- Fill in filters to narrow the search and click the Search button.

The Guarantee Text Library results page appears.



Fast Track ID	Description	Rule	Type	Language	Domestic/International	Swift/Paper	Preview	Select
ADVANCE7	Advance Pay URDG SW	DEMAND URDG 758	Advance Payment Gtee	E	I	S		

Guarantee Text Library search results page

Selection Fields	<p>The following logic applies:</p> <ul style="list-style-type: none"> <li>Any combination of fields in any order can be selected.</li> <li>The dropdown fields include all possible values. If there is no text template available for the selected combination, the list will remain empty and a warning message will be prompted to the user. Customer Templates field will be displayed on the screen only if at least one template exists.</li> </ul>
Type	The type of the template
Rules	Accessory; Demand No Rules; or Demand URDG758

Language	The language of the template
Domestic/International	Indicates the guarantee type. Possible values: <ul style="list-style-type: none"> <li>• Domestic</li> <li>• International</li> </ul>
Customer Templates	When selected, only templates, which are defined on the customer group or customer level will be shown.
<b>Action Buttons</b>	
Search	When clicked, a list of text templates will be shown to the user
Cancel	When clicked, the user will return to the Inbox.

3. Click the Preview  icon.

The respective text is displayed as a PDF document including a watermark, e.g. DRAFT/SPECIMEN and additional text, e.g. this is a non-negotiable guarantee/without liability of Nordea.

4. Click the Select  icon to be routed to the Guarantee Transaction screen.

The guarantee form includes the regular fields and the variable fields which were defined in the template.

5. Fill in the regular fields

Guarantee Form – standard fields

6. Fill in the variable fields defined for this specific template.

Guarantee Form – variable fields

**Note:** In case a guarantee is initiated via the Text Library option, the following text windows will only be available:

- Comments
- Customer Instructions

All other text will be taken directly from the template.

### 8.3 Guarantee Amendment

Guarantees issued by Nordea are listed in the Amend Existing Guarantee window.

#### 8.3.1 Guarantee Amendment Tabs

The following tabs must be completed in order to amend a Guarantee:

- General Details
- Attachments
- Texts



Guarantee Amendment Navigation Toolbar

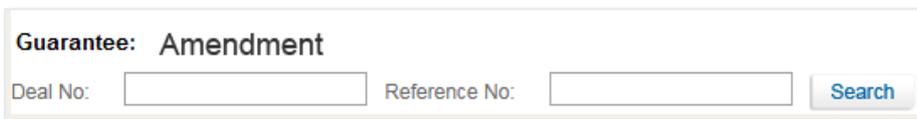
Upon completing these tabs, the user signs the transaction to release it.

**Note:** The user accesses any of the tabs from anywhere in the application page by clicking the desired tab on any heading of the title bars that precede each tab.

#### 8.3.2 Amending a Guarantee

1. From the Guarantees menu, click Amend Guarantee.

The Amend Guarantee search window is displayed.



Amend Guarantee: Select Deal

2. Select a specific transaction by either:

- Entering the Deal No. and/or Reference No. of the Guarantee that needs to be amended and clicking Search.

Or

- By leaving the Deal No. and Reference No. fields empty, clicking Search and selecting a specific transaction from the list of existing Guarantees that are displayed in the Amend Guarantee window.

To view the Deal details, click Deal title.

**Note:** No changes can be made to the Deal from the view mode.

3. Retrieve the relevant Guarantee in order to amend it by clicking Open  next to the Deal.

The selected Deal is displayed with its application page completed.

**Note:** When editing a previously saved transaction, the amended fields are highlighted after the user saves the changes.

The General Details tab is the first tab that is displayed on the screen.

4. Enter data in the relevant fields.

The following are the General Details tab fields:

Reference Number	A unique deal identification number, decided by the TFG user. For example, a contract number, a delivery order, and so on
Amount	The amount of the Guarantee application
Increased Amount	The amount the value of the guarantee has increased by.
Decreased Amount	The amount the value of the guarantee has decreased by.
Currency	The currency in which the guarantee is expressed
Deal Number	A Deal Number specified by Nordea upon receiving the Guarantee application. This field is a read-only field.
Guarantee Type	The Guarantee type, predefined by Nordea. Examples include Performance, Bid, or Payment Guarantees.
Expiry Date	The date the Guarantee expires

5. Switch to the Attachments tab to attach files to an amended Guarantee application to Nordea and upload them.
6. Switch to the Texts tab to enter additional customized information and requirements to the Amend Guarantee.
7. Enter additional Deal information by clicking the appropriate option in the toolbar, or by clicking the directional button to view a preceding window.
8. To send the transaction, when you are finished entering all the Amend Guarantee details into the application form, click Sign.

The system runs internal checks to make sure the information is entered correctly. If any errors exist, you are notified about each error and prompted to correct it.

- To release the transaction, click Sign.
9. If you do not want to send the transaction now, once you have amended the appropriate information, click Save & Exit to update the Deal in the TFG database, Or

Click Cancel to return to the previous page without saving any action on the current page.

## 8.4 Guarantee Claim

TFG allows the customers to send a claim including attachment of relevant documentation under an existing incoming guarantee via TFG to Nordea.

### 8.4.1 Guarantee Claim Tabs

The following tabs must be completed in order to complete a post guarantee claim:

- General Details
- Attachments
- Texts



Claim Guarantee Navigation Toolbar

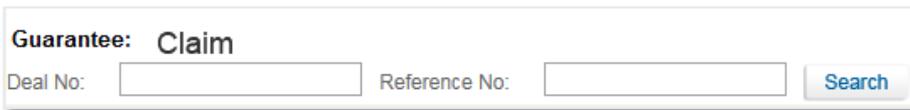
Upon completing these tabs, the user signs the transaction to release it.

**Note:** The user accesses any of the tabs from anywhere in the application page by clicking the desired tab on any heading of the title bars that precede each tab.

### 8.4.2 Claiming a Guarantee

1. From the Guarantees menu, click Post Guarantee Claim.

The Claim Guarantee search window is displayed.



Claim Guarantee: Select Deal

2. Select a specific transaction by either:
  - Entering the Deal No. and/or Reference No. of the Guarantee that needs to be claimed and clicking Search, Or
  - By leaving the Deal No. and Reference No. fields empty, clicking Search and selecting a specific transaction from the list of existing Guarantees that are displayed in the Claim Guarantee window.

**Note:** If no search criteria have been entered, upon clicking the Search button, TFG retrieves all deals which are not booked off and which have a positive balance, irrespective of the expiry date (past or future).

A deal for which a claim is currently under process, is not included in the criteria result list (similar to the Amend Guarantee search facility).

To view the Deal details, click Deal title.

**Note:** No changes can be made to the Deal from the view mode.

3. Retrieve the relevant Guarantee in order to claim it by clicking Open  next to the Deal.

The selected Deal is displayed with its application page completed.

**Import: Guarantee Claim**

**Claim Details** | Claim Details | Attachments | Text

Reference No: 1798RETEST | Deal No: 00202123010362  
 Claim Reference No: | Currency: US Dollar  
 Claim Amount: | Deal Balance: 10,000.00  
 Expiry Date: 30/11/15

**Attachments** | Claim Details | Attachments | Text

Document Type	Owner	Upload
		<input type="button" value="Add"/> <input type="button" value="Update"/> <input type="button" value="Delete"/> <input type="button" value="Replace"/> <input type="button" value="Preview"/>

**Text** | Claim Details | Attachments | Text

**Claim Reasons**

Max Line:99  
Customer instructions

Max Line:99  
Comments to Nordea

Max Line:99

**Incoming Correspondence**

Transaction Name	Drawing No.	Text ID	Document Name	Arrival Date/Time	Send To
Incoming Guarantee Advice	0	12IS1	Gtee cover let.	03/11/15	Customer
Incoming Guarantee Advice	0	DR/CR	Account entry	03/11/15	Customer
Incoming Guarantee Advice	0	LT76J	Perf. gtee	03/11/15	Beneficiary

Payment Item | Account Currency and No.

Save | Save&Exit | Sign | Deal Note | Cancel

Claim Guarantee window

The General Details tab is the first tab that is displayed on the screen.

4. Enter data in the relevant fields.

The following are the General Details tab fields:

Reference No.	The customer's reference number, if assigned
Deal No.	Nordea's deal number.
Claim Reference No.	The customer's reference number for this specific claim.  <b>Note:</b> In case of multiple claims, TFG validates the uniqueness of the Claim Reference No. under the same deal. In case of duplication, TFG prompts the error message "Duplicate Claim Reference No" to the user.
Currency	Deal currency

Claim Amount	The amount of this claim. TFG ensures that the entered amount is not greater than the deal balance. If yes, TFG prompts the error message "Claim amount is greater than the deal balance" to the user.
Deal Balance	Deal balance
Expiry Date	The guarantee expiry date.

**Note:** In case of an unlimited guarantee, the word "Unlimited" is displayed.

- Switch to the Attachments tab to attach files to a regular Guarantee application to Nordea and upload them.
- Switch to the Texts tab to enter additional customized information and requirements to the Guarantee.

**Note:** It is mandatory to enter a reason in the Claim Reason window.

- Enter additional Deal information by clicking the appropriate option in the toolbar, or by clicking the directional button to view a preceding window.
- To send the transaction, when you are finished entering all Claim details into the application form, click Sign.

The system runs internal checks to make sure the information is entered correctly. If any errors exist, you are notified about each error and prompted to correct it.



Signature window

<b>Transaction Type</b>	<b>Incoming Guarantee Claim</b>
Deal No.	Nordea's deal no.
CCY/Amount	Deal currency and claim amount
Applicant	Counterparty
Expiry Date	Date of guarantee expiry
Date	Date and time of the step creation; as per existing logic
Customer Deal Ref.	The reference no. assigned by the customer to the deal
Customer Claim Ref.	The reference no. assigned by the customer to this specific claim
Payment Item	Account details

- To release the transaction, click Sign.
- If you do not want to send the transaction at the current moment, once you have amended the appropriate information, click Save & Exit to update the Deal in the TFG database, Or

Click Cancel to return to the previous page without saving any action on the current page.

**Note:** When you want to save the updated application and apply the details to another application, click Template.

### 8.5 Extend or Pay

The Extend or Pay demand functionality is TFG for Incoming Guarantee transactions. There are two launch options in TFG:

- Deal History Launch
- Main Menu Launch

#### 8.5.1 Extend or Pay Guarantee Tabs

The following tabs must be completed in order to establish an Extend or Pay Guarantee:

- General Details
- Attachments
- Texts



Guarantee Navigation Toolbar

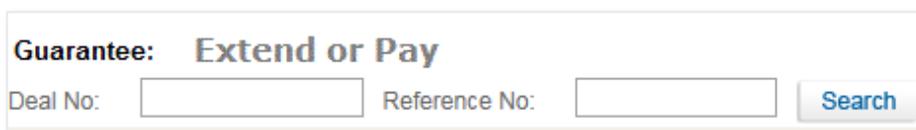
Upon completing these tabs, the user signs the transaction to release it.

**Note:** The user accesses any of the tabs from anywhere in the application page by clicking the desired tab on any heading of the title bars that precede each tab.

#### 8.5.2 Launching an Extend or Pay Demand

1. From the Guarantees menu, click Guarantee Extend/Pay.

The Extend or Pay demand search window is displayed.



Extend or Pay Guarantee: Select Deal

2. Select a specific transaction by either:
  - Entering the Deal No. and/or Reference No. of the Extend or Pay demand and clicking Search,  
Or
  - By leaving the Deal No. and Reference No. fields empty, clicking Search and selecting a specific transaction from the list of existing Guarantees that are displayed in the Extend/Pay Guarantee window.

TFG presents a list of open Incoming Guarantees, which meet the following criteria:

- Are not open ended (i.e. have an Expiry Date)
- and
- Have an open balance.

To view the Deal details, click Deal title.

**Note:** No changes can be made to the Deal from the view mode.

- Retrieve the relevant Guarantee in order to initiate an Extend/Pay demand by clicking Open  next to the Deal.

The Extend or Pay demand for the selected Deal is displayed.

Extend or Pay Instructions

- Enter data in the relevant fields.

The following are the General Details tab fields:

Reference No.	The reference number of the Issuing Bank.
Deal No.	The Deal Number created by Nordea
Amount	The amount of the Guarantee
Expiry Date	The date the Guarantee expires
Currency	The currency of the Guarantee.
Extend until Date	<p>An entered date must be later than the existing expiry date and greater than the current date.</p> <ul style="list-style-type: none"> <li>If the entered date is equal to or less than the existing expiry date or less than the current date, an error message is generated on clicking the Save &amp;Exit or Sign button.</li> </ul>

- Switch to the Attachments tab to attach files to an Extend or Pay Guarantee demand to Nordea and upload them.
- Switch to the Texts tab to enter additional customized information and requirements to the Guarantee.
- To send the transaction, when you are finished entering all the Extend or Pay Guarantee details into the application form, click Sign.

The system runs internal checks to make sure the information is entered correctly. If any errors exist, you are notified about each error and prompted to correct it.

- To release the transaction, click Sign.
  
- 8. If you do not want to send the transaction now, once you have completed the appropriate information, click Save & Exit to update the Deal in the TFG database, Or

Click Cancel to return to the previous page without saving any action on the current page.

### **8.5.3 Extend or Pay for Outgoing Guarantee**

See paragraph 3.2 Approval/Rejection above.