



## **Application User Guide**

TradeSun Version 4

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## Background

TradeSun®, Inc. is a data science company focused on leveraging Natural Language Processing, Robotic Process Automation, and AI to solve the problem of document processing and compliance screening in the world of Trade Finance.

Almost all banks currently use entirely manual methods for documents examination, compliance checking, and review. Historically, there has been little automation in this industry due to the complexity of documents, extremely high content variability, the need for accuracy, and the huge variation in the quality and format of scanned documents.

TradeSun has taken a ground-breaking step in the evolution of this slow-moving process, a platform that is now positioned to transform documentary examination under Letters of Credit, and document screening for compliance purposes. This Guide explains how to use the platform.

## 1. User Entitlements

TradeSun has distinct user roles that each have access, or entitlements, to various functionality. This is to ensure that security and accountability is maintained while facilitating a continuous and convenient workflow. Please note that User Roles and Entitlements are configurable, and your company will be able to identify the roles and functionality that work best for you as part of the configuration work done by TradeSun as you head into Production. In the meantime, the TradeSun workflow currently consists of the following built-out user roles as standard templates: Maker, Checker, Compliance, Supervisor, and Administrator (Admin). Their default functionality is summarized as follows, with Checker as a “read only” reviewer of the whole transaction:

Privilege	Maker	Checker	Compliance	Supervisor	Admin
<b>Work Queue</b>					
Upload transaction	X			X	
Open transactions in your work queue	X	X	X	X	X
Archive transactions		X		X	X
Request to remove transactions	X				
Remove transactions		X		X	X
Unlock transactions*				X	X
Access/Manage Configuration Console				X	X
View Analytics Dashboard				X	X
<b>Document Classification</b>					
Modify page classification	X			X	
Arrange page order	X			X	
Group pages into documents	X			X	
Arrange documents	X			X	
Replace pages	X			X	



Privilege	Maker	Checker	Compliance	Supervisor	Admin
Mark page as required	X			X	
Mark page as original/copy	X			X	
<b>Data Extraction</b>					
Add/modify/delete extraction	X			X	
Update Master LC	X			X	
<b>Compliance</b>					
Screen compliance information via third-party APIs	X			X	
Set compliance/workability review as Issue/Non-Issue	X		X	X	
Make notes on a compliance/workability issue	X	X	X	X	
Indicate Workability response	X			X	
Add/edit a high-risk red flag	X			X	
Answer AML Tool questions and indicate a rationale	X			X	
Escalate transaction to Compliance	X			X	
Block transaction			X	X	
Approve/reassign transaction to Maker		X		X	
<b>Documents Check</b>					
Adjust discrepancy review as Discrepant/Non-Discrepant/Waived	X			X	
Make notes on a discrepancy	X	X		X	
Add/Delete a User-Added Discrepancy	X			X	
<b>Decision Summary</b>					
Submit transaction	X			X	
Approve/Reassign transaction		X		X	

\*Note that all users can unlock a transaction that they have locked by entering the transaction. The "Unlock Transactions" privilege is referring to unlocking transactions that have been locked by others.

## 2. Login

Access to TradeSun requires an active user account, which has been set up for you by TradeSun. You can access this account in one of two ways, depending on your company's requirements and preferences: a unique TradeSun username and password, or Single-Sign-On.

### TradeSun Username and Password

After your account has been created you will receive an email with your username and temporary password. Navigate to the URL that has been provided to you. Enter in the provided credentials, and update your password as the screen prompts. Once updated, you will be able to enter your username and new password into the login screen and click "Sign in".



## Single-Sign-On

You will access this account via “Single-Sign-On”, meaning that you will use the same credentials in TradeSun that you do with your employer. You may launch TradeSun directly from your back-office, allowing you to bypass the TradeSun login screen, or you might need to log in to TradeSun directly, depending on your configuration. If logging in directly, you will do so by clicking the button on the left side of the login screen, where it says “Sign in with your corporate ID” and then entering your credentials based on the prompts:

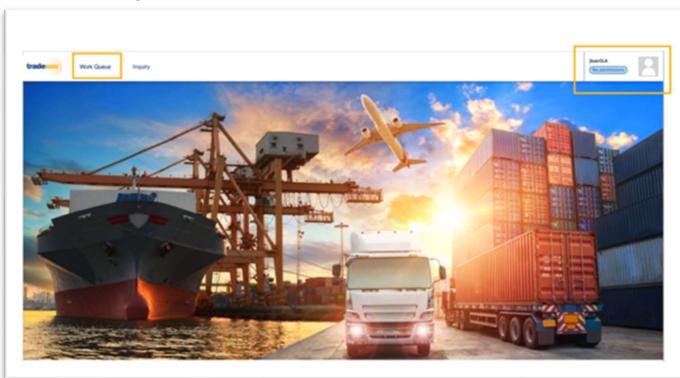
Figure 11111: Single-Sign-On

A screenshot of a web-based login interface. On the left, there is a yellow-outlined button labeled "Sign in with your corporate ID". To its right is another button labeled "Sign in with your username and password". Below these are fields for "Username" and "Password", with a "Forgot your password?" link underneath. At the bottom is a blue "Sign in" button.

Unless your company has synched their entitlements via Single-Sign-On, once TradeSun has completed its initial Single-Sign-On configuration for your company, each user must log in to TradeSun once to activate their account. When you do so, you will see a blue bar in the top right corner of your screen that says, “No Permissions”. This indicates that your account has been activated and TradeSun is ready to set up your Entitlements and User Role. If you see this blue bar, please reach out to the TradeSun team to complete this setup.

Once TradeSun has assigned your User Role and Entitlements, or if they are automatically synched via Single-Sign-On, you will be able to log in as usual. Click on “Work Queue” in the top bar to get started.

Figure 22222: Work Queue Tab, and “No Permissions” Indicator





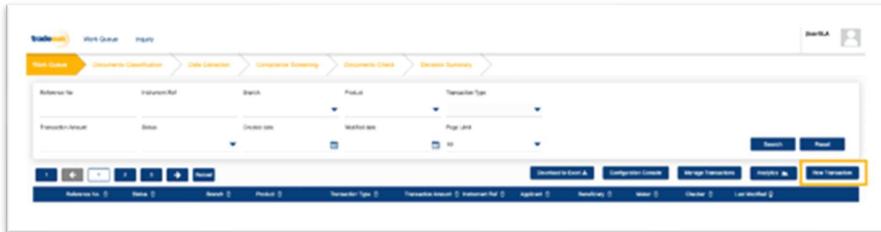
### 3. Work Queue

Unless your back-office system is integrated with TradeSun in a way that launches a transaction directly, you will need to click on “Work Queue” in the top bar once you have logged in to access the Work Queue screen. Transactions appear on the Work Queue screen after three potential events:

1. The user uploads documents to the system
2. The user launches a new transaction from within TradeSun, via API, pulling data from your back-office system
3. A transaction is generated in your back-office system and sent to TradeSun via API

To start a new transaction from within TradeSun (for the first two of the above scenarios), click on the “New Transaction” button on the Work Queue screen.

Figure 33333: “New Transaction” Button



A window will appear, allowing you to enter all relevant information for your transaction. You may see a variation of the buttons below, depending on your environment configuration.

Figure 44444: Upload Window

The screenshot shows a form for creating a new transaction. It includes fields for Reference No, Branch, Product, Product Sub Type, Transaction Types, Instrument Ref, Transaction Amount (USD), Applicant, Beneficiary, and several buttons: Choose File, Fetch Transaction Details, Upload Documents, Cancel, and a checked checkbox for Compliance Workflow.

**A – DOCUMENT UPLOAD FLOW ONLY:** select a document to upload  
**B – API FLOW ONLY:** generate a transaction in TradeSun based on the info you have indicated above  
**C –** Cancel new transaction creation and return to the Transaction Search screen  
**D –** Cancel new transaction creation and return to the Transaction Search screen  
**E –** When checked, generates a transaction that will end with Compliance Screening (no Doc Check)



### New Compliance Transaction Generated Within TradeSun via API

Currently the only products and transaction types that are compatible with the TradeSun generated API Compliance workflow are as follows:

Product	Transaction Type(s)
Export LC	Advice Amendment Adjustment Doc Presentation Presentation Adjustment
Import LC	Advice Amendment Doc Presentation Presentation Adjustment
Export/Direct Collection	Advice Amendment
Import Collections	Advice Amendment
Standby Issuance	Issuance Advice Amendment
Standby Issuance Draw	Standby Draw
Standby Advising	Issuance Advice Amendment
Standby Advising Draw	Standby Draw
Transfer LC	Issuance Advice Amendment
Transfer LC Presentation	Document Presentation
Reimbursement Authority	Setup Amendment
Reimbursement Claim	Setup

To generate a new transaction via API, select one of the above applicable products and transaction types from the dropdown menus and input the Reference Number for your transaction, as per the reference number from your back-office system. You may also indicate other relevant information such as LC Number, Applicant, Beneficiary, etc., but that information is not mandatory. Please note that API transaction generation is based on Entitlements – you are not able to fetch a transaction for a branch/product/transaction type that does not fall within your Entitlements.

Once you have input all the reference data, click the “Fetch Transaction Details” button. You will then be taken back to the Work Queue screen, where you will see your new transaction with the status “Processing.” Once all relevant data has been retrieved from your back-office system, the Transaction Status will change to “New”, indicating that it is ready for review. Please refer to [Transaction Statuses](#) below for all possible statuses on the Work Queue screen and their meanings.



Please note that the API flow currently only supports the Compliance module, so the “Compliance Workflow” checkbox must be selected. Ensure that this checkbox is selected before clicking “Fetch Transaction Details”.

Figure 5555: New Transaction via API

The screenshot shows a form titled "File(s):". It contains several dropdown menus and input fields. At the bottom, there are four buttons: "Choose File", "Fetch Transaction Details" (which is highlighted with a yellow border), "Cancel", and a checkbox labeled "Compliance Workflow" which is checked.

#### New Transaction Generated Within TradeSun via Document Upload

Depending on your configuration, you might be able to see the “Compliance Workflow” checkbox even for the Document Upload flow. When the Compliance Workflow checkbox is de-selected then your new transaction will be generated to include the Documents Check screen. Otherwise, all uploads will work based on your standard configuration. Enter all relevant information for your upload and click “Choose File”. You might also see some variation of the below fields depending on your configuration. TradeSun will indicate mandatory fields with a star, and you must fill those out at minimum. Please ensure the Reference Number you indicate is unique to that upload. You will be prompted to select one or more documents to upload. Once you have chosen your files, the Upload button will appear. Click “Upload Documents” to load your document(s) into TradeSun.

Figure 6666: Upload Documents

The screenshot shows a form titled "File(s):". It includes fields for Reference No (TF123456789), Branch (NAIROBI), Product (IMPORT LC PRESENTATION), Transaction Types (DOCUMENT PRESENTATION), Instrument Ref (TF123456789), Transaction Amount (999,999 USD), Applicant (Applicant Co), Beneficiary (Beneficiary Limited), and file upload options. The "Upload Documents" button is highlighted with a yellow border, and the "Compliance Workflow" checkbox is checked.

The screen will go grey and you will see a spinning wheel, indicating that your upload is in progress. Once all documents have been uploaded, an alert will appear on the bottom right of the screen, confirming that your files have been uploaded successfully.



Figure 7777: Successful Upload

The screenshot shows a TradeSun application window. At the top, there are tabs for 'Work Queue' and 'Inquiry'. On the right, there's a 'User Master' button. The main area displays transaction details: Reference No. TF123456678, Branch Tampa, Product Import LC Presentation, Transaction Type Document Presentation, Transaction Amount 999,999 USD, Date Set Amt 999,999 USD, Applicant Applicant Co, Beneficiary Beneficiary Limited, and File(s): LC and Docs 1.pdf. Below this is a 'Choose File' button. A yellow box highlights a message box at the bottom right that says 'TradeSun alert 1 file(s) uploaded successfully'.

You will then be automatically returned to the Work Queue screen, where you will find your uploaded transaction with the status "Processing." Please refer to [Transaction Statuses](#) below for all possible statuses on the Work Queue screen and their meanings.

#### New Transaction Generated in a Back-Office System, Sent via API

If TradeSun is integrated with your back-office system, then transactions will be generated on the back-office side and then sent to TradeSun via API. This process will vary depending on your back-office system, but will likely include a confirmation that documents have completed processing on the TradeSun side before the user can enter the transaction.

#### Appending Documents

If you would like to add a document to an existing transaction, you can do so by clicking on the blue "plus" icon to the right of the transaction information. Please note that this is only applicable to transactions that have been generated by document upload – TradeSun also does support appending scanned documents to a transaction via API. Similar to initial transaction generation via API, this process varies depending on your back-office system and the specifications that have been agreed upon between your tech team and TradeSun. To add a document to an existing transaction within TradeSun, the process is as follows:

Figure 8888: Appending a Document

The screenshot shows a modal dialog box titled 'Appending a Document'. It contains a table with columns: Reference No., File ID, Status, Product, Transaction Type, Transaction Amount, Importer Ref ID, Applicant, Beneficiary, Value, Chapter, and Last Modified. The table has three rows: one for 'TFS123456789' and two for 'TFS123456678'. The second row for 'TFS123456678' has a yellow border around it, indicating it is selected. The 'Status' column for the second row shows 'NEW'.

The upload dialog box will appear, with all the information from the transaction already filled in. Upload the document the same way you would for a new transaction via document upload. The transaction will then show the status of "Processing," and will change to "New" once processed.



## Removing Transactions

If a transaction was uploaded in error, users with Checker, Supervisor, or Administrator entitlements may remove it from the Work Queue screen by clicking on the blue trash can icon to the right of the transaction information. This will not delete it permanently, and it can still be accessed by your Administrators and Supervisors, but you will no longer see it when you log on to the Work Queue screen.

Figure 99999: Removing a Transaction

Reference No	Status	Branch	Product	Transaction Type	Transaction Amount	Instrument Ref	Applicant	Beneficiary	Maker	Checker	Last Modified
TF9376342	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 202,202	TF9376342	JANE DOE	JOHN DOE			04/19/2022 08:32
TF7394231	NEW	TAMPA	IMPORT COLLECTION	ISSUANCE/ADVISE	USD 101,528.28	TF7394231	JOHN DOE	JANE DOE			04/19/2022 08:31
TF123456898	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 986,898	TF123456898	APPLICANT CO	BENEFICIARY LIMITED			04/19/2022 08:31

Makers, who are unable to remove transactions themselves, may "Request for Removal". This means they will see the trash can, but pressing it will not actually remove it. It will disappear from their view, and then a Checker and/or an Administrator/Supervisor may be notified via email alert that a removal has been requested. This notification can be configured in the Configuration Console.

Administrators and Supervisors will always see the trash can icon (as per default entitlements), and can remove a transaction at any time. Checkers will only see the trash can icon if a removal has been requested by a Maker.

Figure 1010101040: Removal Requested, Checker View

Reference No	Status	Branch	Product	Transaction Type	Transaction Amount	Instrument Ref	Applicant	Beneficiary	Maker	Checker	Last Modified
TF9376342	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 202,202	TF9376342	JANE DOE	JOHN DOE			04/19/2022 08:32
TF7394231	NEW	TAMPA	IMPORT COLLECTION	ISSUANCE/ADVISE	USD 101,528.28	TF7394231	JOHN DOE	JANE DOE			04/19/2022 08:31
TF123456898	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 986,898	TF123456898	APPLICANT CO	BENEFICIARY LIMITED			04/19/2022 08:31

As soon as a Checker clicks on the trash can, the transaction will be removed and will disappear from their view; however, it will still be visible to Administrators and Supervisors. When a Checker, Administrator, or Supervisor has clicked on a removal icon it will appear dark blue for Administrators and Supervisors, indicating that it has been removed. If an Administrator or Supervisor would like to restore the transaction, they can click the icon again. It will then revert to light blue and the transaction will reappear for both Makers and Checkers.

Figure 1111111144: Transaction Removed

Reference No	Status	Branch	Product	Transaction Type	Transaction Amount	Instrument Ref	Applicant	Beneficiary	Maker	Checker	Last Modified
TF9376342	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 202,202	TF9376342	JANE DOE	JOHN DOE			04/19/2022 08:32
TF7394231	NEW	TAMPA	IMPORT COLLECTION	ISSUANCE/ADVISE	USD 101,528.28	TF7394231	JOHN DOE	JANE DOE			04/19/2022 08:31
TF123456898	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 986,898	TF123456898	APPLICANT CO	BENEFICIARY LIMITED			04/19/2022 08:31

## Archiving Transactions

Archiving works the same way as removal, but is a little less permanent in that a Checker can still view archived transactions, and a Maker cannot "request for archiving." Makers will never see the archive icon, but Checkers, Administrators, and Supervisors will see it always. It will be a light blue file folder icon when the transaction is active, and then will turn dark blue when the



transaction has been archived. Once it has been archived, the Maker will no longer be able to see it.

Figure 1212121212: Archive Icon

Reference No.	Status	Branch	Product	Transaction Type	Transaction Amount	Instrument Ref	Applicant	Beneficiary	Maker	Checker	Last Modified
TF10100342	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 222,222	TF10100342	JANE DOE	JOHN DOE	04/19/2022 10:53		
TF123456789	NEW	TAMPA	IMPORT COLLECTION	ISSUANCE/ADVISE	USD 151,529.28	TF123456789	JOHN DOE	JANE DOE	04/19/2022 10:51		
TF123456890	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 986,998	TF123456890	APPLICANT CO	BENEFICIARY LIMITED	04/19/2022 10:27		

### Transaction-Level Notes

You will notice that there is a notes icon on each screen (indicated by a small blue pencil). This is where Transaction-Level Notes are housed, and where users can communicate with one another. All users who enter the transaction can view whatever is written in these notes, allowing all transaction rejections and requests for more information to be communicated clearly.

Figure 1313131313: Transaction-Level Notes

Reference No.	Status	Branch	Product	Transaction Type	Transaction Amount	Instrument Ref	Applicant	Beneficiary	Maker	Checker	Last Modified
TF10100342	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 222,222	TF10100342	JANE DOE	JOHN DOE	04/19/2022 10:53		
TF123456789	NEW	TAMPA	IMPORT COLLECTION	ISSUANCE/ADVISE	USD 151,529.28	TF123456789	JOHN DOE	JANE DOE	04/19/2022 10:51		
TF123456890	NEW	TAMPA	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	USD 986,998	TF123456890	APPLICANT CO	BENEFICIARY LIMITED	04/19/2022 10:27		

When you click on the notes icon, a pop-up will appear containing all of the notes captured within the transaction. Type your note in the box that says, "Add note here...", then click "Add". You can also search for a specific note by using the "Search" field in the pop-up. Notes will appear in the table in the order that they are added, with the most recent note appearing first.

Figure 1414141414: Notes Pop-up

The screenshot shows the TradeSun application interface. At the top, there's a navigation bar with tabs like 'Work Queue', 'Documents Classification', 'Data Extraction', 'Compliance Screening', 'Documents Check', and 'Decision Summary'. Below the navigation is a search/filter section with fields for 'Reference No.', 'Instrument Ref.', 'Branch', 'Product', 'Transaction Type', 'Transaction Amount', 'Status', 'Created date', 'Modified date', and 'Page Limit'. On the right side of this section are 'Search' and 'Reset' buttons. Below this is a main table listing transactions. One row in the table is highlighted with a yellow warning icon and the status 'WARNING'. A blue pencil icon (notes icon) is visible next to the 'Status' column for this row. A modal window titled 'Transaction Notes captured for Transaction Reference no. TF10100342' is open over the table. It contains a search input field and a list of notes. The notes are timestamped and attributed to 'janeSLA'. The notes include:

- Apr 19, 2022 10:53 AM JaneSLA New Due compliance note regarding Full Price Check
- Apr 19, 2022 10:51 AM JaneSLA New Please note that changes in Beneficiary name spelling throughout the transaction have been recorded...
- Apr 19, 2022 10:27 AM JaneSLA New Please confirm if the beneficiary name is correct...



## Transaction Statuses

Figure 15151515: Transaction Status Location

Reference No.	Instrument Ref.	Branch	Product	Transaction Type	Instrument Ref. S	Applicant	Beneficiary	Maker	Checker	Last Modified	Action				
Transaction Amount	Status	Created date	Modified date	Page Limit							Download to Excel	Configuration Console	Manage Transactions	Analytics	New Transaction
○ T774385594	NEW	NAROBI	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD UDEFIN	T774385594						08/29/2023 11:27					
○ T774755594	READY FOR CHECKER		IMPORT LC AMENDMENT	T774755594						08/29/2023 11:51					
○ T774385094	NEW	NAROBI	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UDEFIN	T774385094						08/28/2023 19:30					
● T774746594	SANCTIONS REVIEW COMPLETE	NAROBI	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UDEFIN	T774746594	TRADESUNMWER					08/28/2023 14:55					
● T77466834	PENDING COMPLIANCE REVIEW		IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UDEFIN	T77466834						08/28/2023 11:29					

A transaction may be in any of the following statuses:

- Processing** – The transaction has been uploaded into the TradeSun platform and is currently being processed by the system.
- New** – The transaction upload is complete, and a Maker may open this transaction to begin their work.
- Pending Compliance Review** – A Maker has pressed “Send to Compliance” on the Compliance Screening screen, indicating that review is required by the Compliance team. A transaction might also automatically shift to this status based on your own internal requirements for auto-escalation, or the workflow required to support your back-office processes.
- Pending Sanctions Review** – (Applicable only when you have subscribed to Refinitiv as your Sanctions Screening provider). World-Check has identified some compliance issues within the transaction. Your Compliance team will need to review those issues within World-Check and resolve them before the transaction can be finalized by the Maker and submitted to the Checker.
- Blocked by Compliance** – The Maker is unable to complete processing of the presentation because your Compliance team has identified an issue within the transaction. Connect with your Compliance team to identify next steps.
- Sanctions Review Complete** – (Applicable only when you have subscribed to Refinitiv as your Sanctions Screening provider). Your compliance team has reviewed all World-Check issues and the transaction is ready for the Maker to proceed in the workflow.
- Compliance Review Complete** – Your compliance team has reviewed all compliance issues within TradeSun and the transaction is ready for the Maker to proceed in the workflow.



8. **Ready for Checker** – A Maker has completed their work and submitted the transaction for review by a Checker.
9. **Rejected Checker** – A Checker has reviewed the work done by the Maker, has rejected the transaction and sent it back for review/rework.
10. **Awaiting Back-Office Confirmation** – (Applicable only in the API flow.) The transaction has been submitted in TradeSun and is pending completion in your internal back-office.
11. **Resubmission Required** – (Applicable only in the API flow.) The transaction has already been submitted, but not confirmed by the back-office (i.e., it was in status “Awaiting Back-Office Confirmation”). A user has indicated that they need to make a change to the transaction, requiring the transaction to be re-submitted so that all new changes will be sent to the back-office. Triggers for this status are dependent on the agreed upon workflow to support your back-office requirements.
12. **Complete** – (Applicable only in the API flow.) TradeSun has received confirmation from your back-office that the transaction has been completed.
13. **Transaction Approved** – A Checker has reviewed the Maker's work and approved the transaction.
14. **Warning** – An issue was encountered with the transaction during processing.
15. **On Hold** – The transaction is currently missing or awaiting further information and cannot be processed as-is. The specific reason for a hold can be found in transaction-level notes, accessed by the pencil icon for that transaction on the Work Queue screen.
16. **Awaiting Beneficiary Consent** – Once a detrimental amendment has been reviewed and approved by both the Maker and the Checker it will enter this status. The maker may re-enter the transaction in this status to indicate Beneficiary response once received, and submit to the Checker for final approval.
17. **Awaiting Workability Response** – If any workability conditions have been identified by the Maker, and after the Checker has reviewed and approved, the transaction will enter this status. The maker may re-enter the transaction in this status to indicate whether the conditions were approved or rejected, and submit to the Checker for final approval.
18. **Workability Blocked** – If the Beneficiary rejects any non-workable conditions, the Maker will indicate “Rejected” in the Consent Received Dropdown on the Workability tab. Once the checker has reviewed and approved, the transaction will enter into the status of “Workability Blocked.”
19. **Cancelled** – When LC23S states “Cancel,” and after Beneficiary acceptance has been received, the Maker may press the “Cancel” button on the Master LC Review pop-up. Once the Maker has submitted and the Checker has reviewed and approved, the transaction will go into the status “Cancelled.” Any active transactions under this LC will also be cancelled. This status could also be due to transaction rejection/cancellation in your back-office.



## Additional Status Info for API Transactions

When you have completed and submitted a transaction in the API flow, your transaction information is sent back to your back-office system via API (note that this might also happen throughout your workflow, depending on its complexity). If this transfer fails, a red exclamation icon will appear to the right of the transaction status on the Work Queue. If it is taking too long to receive a positive acknowledgement from your back-office, a red pause icon will be displayed next to the transaction status. See below for examples.

Figure 1616161616: Pending and Failed Transactions

Reference No.	Status
TF93785342	NEW
TF7394231	READY FOR CHECKER
TF1234556696	AWAITING BACK-OFFICE CONFIRMATION
DM-DOCHECK	NEW

You can manage all failed or pending transactions and attempt to re-send them by clicking on the Manage Transactions button:

Figure 1717171717: Manage Transactions Button

Reference No.	Status	Branch	Product	Transaction Type	Transaction Amount	Instrument Ref.	Applicant	Beneficiary	Maker	Orderer	Last Modified	Actions
TF74385594	NEW	NAROB	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TF74385594					08/29/2023 11:27			
TF74755594	READY FOR CHECKER	IMPORT LC	AMENDMENT	TF74755594					08/29/2023 03:51			
TF74385594	NEW	NAROB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TF74385594					08/29/2023 15:30			
TF74745594	SANCTION REVIEW COMPLETE	NAROB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TF74745594		TRADESUNBANKER			08/29/2023 14:58			
TF7466834	PENDING CONFORMANCE REVIEW	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TF7466834						08/29/2023 11:29			



On the Manage Transactions screen, search for the transaction(s) you are looking for (either by the top search function or by scrolling through transactions), select the checkbox next to the transaction details, and press "Resend Selected Transaction(s)":

*Figure 1818181818: Resend Selected Transaction(s)*

Reference No.	Product	Transaction Type	From:	To:	User	
Instrument Ref.	Branch	Status	Error Code	Error Description	Request ID	Details
<input type="button" value="Search"/> <input type="button" value="Reset"/> <input type="button" value="Resend Selected Transaction(s)"/>						
<input type="radio"/> <b>Incoming Transaction</b> <input type="radio"/> <b>Outgoing Transaction</b>						
Transaction Reference	Product	Transaction Type	Submitted On	User ID	Status	Error Code
<input type="checkbox"/> TFP1	IMPORT COLLECTION	AMENDMENT	20-APR-2022 08:46	GKONAPALLUSA	FAILED	404
<input type="checkbox"/> TFPLOGIN-TEST-018-LCP	IMPORT LC PRESENTATION	DOCUMENT PRESENTATION	20-APR-2022 08:42	GKONAPALLUSA	FAILED	500

TradeSun will then re-call your back-office system and attempt to receive a positive acknowledgement. You can re-send a transaction as many times as you would like until there is a successful call.

### Searching for and Entering a Transaction

When looking for a particular transaction, you may search using any of the open text boxes, such as "Reference No.", and "Instrument Ref.", or you can select specific options from dropdown menus for Branch, Product, Product Sub-Type, Transaction Type and Status. You can also search by Created Date or Last Modified Date by clicking on the calendar icons next to those fields. You can clear your search filters and list all records again by clicking Reset. You may also choose to simply scroll to your desired transaction in the transaction table at the bottom of your screen, which shows the most recent transaction first.

Once you have found the transaction you are looking for, select the transaction either by clicking on the radio button to the left of the columns and then clicking the "Go" button, or by double-clicking the transaction row.

*Figure 1919191919: Work Queue Radio Button*

Work Queue									
<a href="#">Work Queue</a> > <a href="#">Documents Classification</a> > <a href="#">Data Extraction</a> > <a href="#">Compliance Screening</a> > <a href="#">Documents Check</a> > <a href="#">Decision Summary</a>									
Reference No.	Instrument Ref.	Branch	Product	Transaction Type	Created date	Modified date	Page Limit	Search	Reset
<input checked="" type="radio"/> TFP474385594	READY FOR CHECKER	NAROBI	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD-UNDEFIN	TFP474385594	08/09/2023 11:27		50	<input type="button" value="Download to Excel"/>	<input type="button" value="Configuration Details"/>
<input checked="" type="radio"/> TFP474385594	READY FOR CHECKER	NAROBI	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD-UNDEFIN	TFP474385594	08/09/2023 03:51		50	<input type="button" value="Download to Excel"/>	<input type="button" value="Configuration Details"/>
<input checked="" type="radio"/> TFP474385594	READY FOR CHECKER	NAROBI	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD-UNDEFIN	TFP474385594	08/09/2023 10:30		50	<input type="button" value="Download to Excel"/>	<input type="button" value="Configuration Details"/>
<input checked="" type="radio"/> TFP474385594	SANCTIONS REVIEW COMPLETE	NAROBI	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD-UNDEFIN	TFP474385594	TRADESMANAGER	08/09/2023 14:55		<input type="button" value="Download to Excel"/>	<input type="button" value="Configuration Details"/>
<input checked="" type="radio"/> TFP4666834	PENDING COMPLIANCE REVIEW	NAROBI	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD-UNDEFIN	TFP4666834	08/09/2023 11:29		50	<input type="button" value="Download to Excel"/>	<input type="button" value="Configuration Details"/>

Once you have opened a transaction it becomes locked to all other users (depending on your environment configuration and desired locking settings), and a lock icon will appear to the left of the radio button. Only the user who locked it can unlock it in this state, or a user with unlocking



entitlements (e.g., a Checker, Administrator, or Supervisor). If you hover over the lock icon, you can see who was last working in the transaction; it will remain locked by that user until they complete their workflow or someone manually unlocks it.

Figure 20202020: Locked Transaction

Reference No.	Instrument Ref.	Branch	Product	Transaction Type	Created date	Modified date	Page Limit	Search	Reset	Actions			
Actions									Download to Excel	Configuration Console	Manage Transactions	Analytics	New Transaction
TT74385594	NEW	NARCB	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74385594	08/29/2023 11:27								
TT74755594	READY FOR CHECKER	NARCB	IMPORT LC AMENDMENT	TT74755594	08/29/2023 03:51								
TT74385594	NEW	NARCB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74385594	08/29/2023 10:30								
TT74745594	SANCTIONS REVIEW COMPLETE	NARCB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74745594	TRADESUNANNER	08/29/2023 14:55							
TT74685394	PENDING COMPLIANCE REVIEW	NARCB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74685394	08/29/2023 11:29								

You will automatically unlock the transaction once you have gone through your entire workflow and completed/submitted your transaction. Alternatively, Checkers, Administrators, and Supervisors can unlock a transaction by selecting the radio button for that transaction and clicking the “Unlock” button above the transaction list.

Figure 2121212121: Unlock a Transaction

Reference No.	Instrument Ref.	Branch	Product	Transaction Type	Created date	Modified date	Page Limit	Search	Reset	Actions							
Actions									Download to Excel	Configuration Console	Manage Transactions	Analytics	On	Off	Unlock	New Transaction	View Audit Trail
TT74385594	NEW	NARCB	EXPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74385594	08/29/2023 11:27												
TT74755594	READY FOR CHECKER	NARCB	IMPORT LC AMENDMENT	TT74755594	08/29/2023 03:51												
TT74385594	NEW	NARCB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74385594	08/29/2023 10:30												
TT74745594	SANCTIONS REVIEW COMPLETE	NARCB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74745594	TRADESUNANNER	08/29/2023 14:55											
TT74685394	PENDING COMPLIANCE REVIEW	NARCB	IMPORT LC PRESENTATION DOCUMENT PRESENTATION USD UNDEFINED	TT74685394	08/29/2023 11:29												



## Audit Trail

TradeSun's Audit Trail is a digital record of every meaningful event that has occurred within a transaction. To access the audit trail, select a transaction and click the "View Audit Trail" button:

Figure 222222222: "View Audit Trail" button

The screenshot shows the TradeSun Work Queue interface. At the top, there is a breadcrumb navigation: Work Queue > Documents Classification > Data Extraction > Compliance Screening > Document Check > Decision Summary. Below the breadcrumb, there are search and filter fields for Reference No., Instrument Ref., Branch, Product, Transaction Type, Transaction Amount, Status, Created date, Modified date, and Page Limit. On the right side of the header, there are buttons for Search, Reset, and View Audit Trail, which is highlighted with a yellow box. The main area displays a list of transactions with columns for Reference No., Status, Branch, Product, Transaction Type, Transaction Action, Instrument Ref., Action, Repository ID, User ID, Date, and Last Modified. One transaction is selected, showing a status of 'SANCTION REVIEW COMPLETE'.

The audit trail is accessible from every screen within a transaction, as well as from the main Work Queue screen. When you click this button you will see a pop-up window, with the reference information at the top so you know which transaction's audit trail you are viewing:

Figure 2323232323: Audit Trail

The screenshot shows the Audit Trail pop-up window. At the top, it displays the Reference Number: JB-04-24-22 3:50am EST || LC Reference: BOOCHI. Below this are search filters for From Date, User, Function, To Date, Reference Number, LC Reference, Country, Branch, and Transaction Type. A 'Download to Excel' button is also present. The main area is a table showing a list of audit events. The columns are Date & Time, User Name, Action, Screen Name/Function, Old Value, and New Value. Each row details a specific action taken by a user, such as 'Manual Change' or 'Deletion of a field', along with its corresponding old and new values.

Search for specific information or actions in the top search bar, or scroll through the events in the audit trail to see information for every action from every user within the transaction.



## 4. Administrative Tools

On the Work Queue screen there are some buttons that only administrative users (e.g., Supervisors, Admins) can see. These include the Configuration Console and the Analytics Dashboard.

### Configuration Console

The Configuration Console can be found on the Work Queue screen here:

Figure 24242424: Configuration Console

The screenshot shows a user interface for managing transactions. At the top, there's a navigation bar with tabs: Work Queue, Documents Classification, Data Extraction, Compliance Screening, Documents Check, and Decision Summary. Below the navigation is a search/filter section with fields for Reference No., Instrument Ref., Branch, Product, Transaction Type, Transaction Amount, Status, Created date, Modified date, and Page Limit. To the right of these fields are 'Search' and 'Reset' buttons. Below the search/filter section is a toolbar with icons for Back, Forward, Home, Download to Excel, Configuration Console (which is highlighted with a yellow box), Manage Transactions, Analytics, Go, New Transaction, and View Audit Trail. The main area displays a table of transaction data. The columns include Reference No., Status, Branch, Product, Transaction Type, Transaction Amount, Instrument Ref., Applicant, Beneficiary, Meter, Order, and Last Modified. There are five rows of data listed:

Reference No.	Status	Branch	Product	Transaction Type	Instrument Ref.	Applicant	Beneficiary	Meter	Order	Last Modified
TT74385594	NEW	NAROB	EXPORT LC	PRESENTATION DOCUMENT	PRESNTN USD UDEFIN	TT74385594		09/09/2023 11:27		
TT74255594	READY FOR REVIEW		IMPORT LC	AMENDMENT		TT74255594		09/09/2023 03:51		
TT7438594	NEW	NAROB	IMPORT LC	PRESNTN DOCUMENT	PRESNTN USD UDEFIN	TT7438594		09/09/2023 10:30		
TT74045594	SANCTIONS REVIEW COMPLETE	NAROB	IMPORT LC	PRESNTN DOCUMENT	PRESNTN USD UDEFIN	TT74045594	TRADESUNHAKER	09/09/2023 14:55		
TT7466834	PENDING COMPLIANCE REVIEW		IMPORT LC	PRESNTN DOCUMENT	PRESNTN USD UDEFIN	TT7466834		09/09/2023 11:29		

The Configuration Console houses configurable aspects of the TradeSun platform. This will be consistently added to over time, but currently the configurations that are available are as follows:

- Alerts
- Logout Timeout

### Alerts

The Alerts section of the Console allows you to configure email alerts that are sent to users after key actions have occurred within the transaction. You can enter in the email addresses of each individual who should receive alerts, separated by a semicolon with no space (For example, email@email.com;email2@email.com;email3@email.com). Available alerts and their subject/text are as follows:

Alert	Description	Email Subject	Email Text
1. New Transaction	Alert is sent when a user uploads a new transaction or generates one via API	A new transaction has been created	A new transaction requires review in TradeSun. Please refer to the following transaction for further reference:  Reference Number: <REFERENCE NO> Instrument Reference Number: <LC NO> Beneficiary: <BENEFICIARY> Applicant: <APPLICANT> Transaction Amount: <AMT>



Alert	Description	Email Subject	Email Text
2. Transaction in Warning Status	Alert is sent when transaction status changes to "Warning"	A transaction is in warning status	<p>A TradeSun transaction has failed to upload. Please refer to the following transaction for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;  Instrument Reference Number: &lt;LC NO&gt;  Beneficiary: &lt;BENEFICIARY&gt;  Applicant: &lt;APPLICANT&gt;  Transaction Amount: &lt;AMT&gt;</p>
3. Removal Request	Alert is sent when Maker requests for a transaction to be deleted	Request for transaction removal	<p>A Maker has requested for a transaction to be removed from TradeSun. Please refer to the following transaction for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;  Instrument Reference Number: &lt;LC NO&gt;  Beneficiary: &lt;BENEFICIARY&gt;  Applicant: &lt;APPLICANT&gt;  Transaction Amount: &lt;AMT&gt;</p>
4. Sanctions Review Needed	Alert is sent when any user clicks "Send for Screening" on the Compliance Screening screen, if there are any mandatory actions identified by Refinitiv	Sanctions issues require review	<p>TradeSun has identified the following Sanctions issues for your review:</p> <p>1. &lt;SPECIFIC TEXT FROM EXTRACTION&gt; (Case ID: &lt;UNIQUE CASEID&gt;).</p> <p>Please refer to the following transaction for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;  Instrument Reference Number: &lt;LC NO&gt;  Beneficiary: &lt;BENEFICIARY&gt;  Applicant: &lt;APPLICANT&gt;  Transaction Amount: &lt;AMT&gt;</p>
5. Sanctions Review Complete	Alert is sent when transaction status changes to "Sanctions Review Complete"	Sanctions review complete	<p>Your compliance team has completed their Sanctions review. Please refer to the following transaction in TradeSun for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;  Letter of Credit Number: &lt;LC NO&gt;  Beneficiary: &lt;BENEFICIARY&gt;  Applicant: &lt;APPLICANT&gt;  Letter of Credit Amount: &lt;AMT&gt;</p>
6. Compliance Review Needed	Alert is sent when Maker clicks "Send to Compliance" on the Compliance Screening screen	Compliance issues require review	<p>A TradeSun user has identified a transaction that requires review by your Compliance team. Please refer to the following transaction for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;  Instrument Reference Number: &lt;LC NO&gt;  Beneficiary: &lt;BENEFICIARY&gt;  Applicant: &lt;APPLICANT&gt;  Transaction Amount: &lt;AMT&gt;</p>
7. Compliance Review Complete	Alert is sent when transaction status changes to "Compliance"	Compliance review complete	<p>Your compliance team has completed their review within TradeSun. Please refer to the following transaction for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;  Instrument Reference Number: &lt;LC NO&gt;  Beneficiary: &lt;BENEFICIARY&gt;</p>



Alert	Description	Email Subject	Email Text
	Review Complete"		<p>Applicant: &lt;APPLICANT&gt;          Transaction Amount: &lt;AMT&gt;</p>
8. Re-screening Review Required	When re-screening identifies a Case ID that requires further review.	Re-screened sanctions issues require review	<p>Due to regularly scheduled re-screening, TradeSun has identified the following Sanctions issue that require further review:</p> <ol style="list-style-type: none"> <li>1. &lt;SPECIFIC TEXT FROM EXTRACTION&gt; (Case ID: &lt;UNIQUE CASEID&gt;)</li> </ol> <p>Please refer to the following transaction(s) for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;          Instrument Reference Number: &lt;LC NO&gt;          Beneficiary: &lt;BENEFICIARY&gt;          Applicant: &lt;APPLICANT&gt;          Transaction Amount: &lt;AMT&gt;</p>
9. Blocked by Compliance	Alert is sent when transaction status changes to "Blocked by Compliance"	Blocked by Compliance	<p>Your compliance team has completed their review, and identified at least one compliance issue. Please refer to the following transaction for further reference:</p> <p>Reference Number: &lt;REFERENCE NO&gt;          Instrument Reference Number: &lt;LC NO&gt;          Beneficiary: &lt;BENEFICIARY&gt;          Applicant: &lt;APPLICANT&gt;          Transaction Amount: &lt;AMT&gt;</p>
10. Transaction Submitted	Alert is sent when any user submits a transaction	A transaction is ready for review	<p>There is a transaction in TradeSun that has been submitted and is ready for review. Please refer to the following transaction for further reference:</p> <p>Maker: &lt;NAME OF MAKER FROM THE "MAKER" COLUMN IN WORK QUEUE&gt;          Reference Number: &lt;REFERENCE NO&gt;          Instrument Reference Number: &lt;LC NO&gt;          Beneficiary: &lt;BENEFICIARY&gt;          Applicant: &lt;APPLICANT&gt;          Transaction Amount: &lt;AMT&gt;</p>
11. Transaction Reassigned	Alert is sent when any user clicks "Reassign to Maker"	A transaction requires further review	<p>A transaction that was submitted for review has been reassigned. Please refer to the following transaction for further reference:</p> <p>Maker: &lt;NAME OF MAKER FROM THE "MAKER" COLUMN IN WORK QUEUE&gt;          Checker: &lt;NAME OF CHECKER FROM THE "CHECKER" COLUMN IN WORK QUEUE&gt;          Reference Number: &lt;REFERENCE NO&gt;          Instrument Reference Number: &lt;LC NO&gt;          Beneficiary: &lt;BENEFICIARY&gt;          Applicant: &lt;APPLICANT&gt;          Transaction Amount: &lt;AMT&gt;</p>
12. Transaction Approved	Alert is sent when any user clicks	A transaction	<p>A transaction in TradeSun has been approved. Please refer to the following Transaction for further reference:</p>



Alert	Description	Email Subject	Email Text
	"Approve Transaction"	has been approved	Maker: <NAME OF MAKER FROM THE "MAKER" COLUMN IN WORK QUEUE> Checker: <NAME OF CHECKER FROM THE "CHECKER" COLUMN IN WORK QUEUE> Reference Number: <REFERENCE NO> Instrument Reference Number: <LC NO> Beneficiary: <BENEFICIARY> Applicant: <APPLICANT> Transaction Amount: <AMT>

#### Logout Timeout

The Logout Timeout section of the Console allows you to configure how long a session will last when the user is inactive before automatically logging them out. Select your time duration from the dropdown and press "Save" to register your changes. You can also activate or deactivate the automatic logout by checking or unchecking the "Active" checkbox. Press save after this action as well.

Figure 25252525: Logout Timeout

#### Analytics Dashboard

The Analytics Dashboard can be found on the Work Queue screen here:

Figure 26262626: Analytics Dashboard

The Analytics Dashboard houses a collection of configurable reports, based on various data points of each transaction and overall activities within TradeSun.



You can work with TradeSun to configure any report that might support you and your team, but the current reports that are automatically available are as follows:

- User Performance: Most/least accurate Maker
- Page Extraction Accuracy
- Documents Classification Accuracy
- Document Set Rejections
- Processed Transactions: Daily/weekly/monthly, and average time per transaction
- Time Until Payment Approved
- Transactions by Country: Import/export countries
- Transactions by Company: Import/export companies

## 5. Inquiry

All users, regardless of entitlements, will have access to the Inquiry function. You will find this button in the top navigation bar beside “Work Queue”, and it can be accessed from any screen within TradeSun. You can use Inquiry in one of two ways:

- As an independent Inquiry function that allows you to search for transactions based on specific parameters
- To view and compare all transactions pertaining to the same Master Record (defined by the Instrument Reference Number) while working within a specific transaction.

Figure 2727272727: Inquiry Search Screen

### Searching for a Transaction in Inquiry

When you click on the Inquiry button you will arrive at the Inquiry screen and you can search for transactions using one or more of the parameters contained within the search window. You will note that some search fields, such as Reference and Instrument Reference can be used independently, but some are dependent on others when the search criteria are broader. For example, you cannot search by Country without indicating a Region, by Party Role without indicating the Party Name, or by Amount without indicating a Currency.

Click on the filter, arrow, or calendar icons beside search fields to select options or dates from the dropdown menus. Click the Search button in the bottom right corner of the window to look for transactions based on the information you have indicated, or click the blue Reset button beside it to delete your parameters and enter new ones. If you are searching by Amount or Created Date you must enter the ranges for these criteria.



Once you click Search, all relevant transactions will appear populated in the table below, and applicable transaction details will appear in the columns of the table, as on the Work Queue Screen. You can click on the Reference number for a specific transaction and that transaction will open in a new tab in your browser for review.

#### *Invoking Inquiry from Within a Transaction*

When you are working in a transaction, you may click on Inquiry in the top navigation bar at any time to enter Inquiry mode. A new tab will open in your browser where you will see the Inquiry screen, and the current transaction populated in the table. If you search by that transaction's Instrument Reference Number, you can click the blue arrow (located beside the Reference Number) to expand, and all transactions related to that Instrument Reference will appear in the rows below. Click the arrow again to collapse and view only the current transaction. As noted above, click on a Reference number to open that particular transaction in a new tab in your browser.

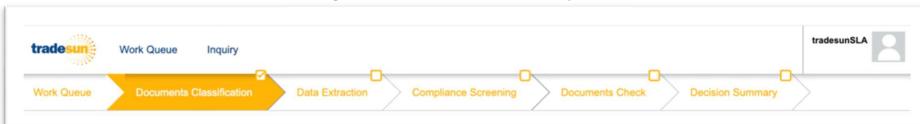
Figure 2828282828: Entering Inquiry from Within a Transaction

The screenshot shows the TradeSun Inquiry screen. At the top, there is a navigation bar with tabs: Work Queue, Inquiry, and several chevron icons pointing right. Below the navigation is a search form with fields for Reference No., Instrument Ref. (which is highlighted with a yellow box), Region(s), Country(s), Branch(es), Product(s), Transaction Type(s), and Status(es). There are also dropdowns for Party Name, Currency, Amount Range, Date Range, and Page Limit, along with buttons for Download to Excel, Print, and Search. The main area contains a table with columns: Reference No., Status, Branch, Party, Transaction Type, Trans Rec'd, ID No., Address ID, ID Act, Applicant, Beneficiary, Beneficiary ID, Created Date, Name, Mkt Submitter, Under, Checker Approved, and Last Modified. Two rows are visible: one row is collapsed (indicated by a minus sign icon) and another row is expanded, showing detailed information for an 'IMPORT LC PRESENT DOCUMENT PRESENT' transaction. The expanded row includes columns for Party Name, Currency, Amount Range, Date Range, and Page Limit, which are identical to the search form above.

## 6. TradeSun Navigation

The chevrons at the top of each screen allow you to navigate through the transaction. You can click on any of these chevrons to navigate to that screen:

Figure 2929292929: Chevron Navigation



You'll also notice checkboxes on the chevrons, and on certain tabs on screens throughout the transaction. These checkboxes indicate whether all of the expected review and user action has been completed for that screen or tab. A checkmark in the checkbox indicates that that specific screen or tab is "complete" from a review perspective. You can freely navigate through any screen or tab even if it is not complete, but you will not be able to submit/approve the transaction until all checkboxes are populated with a checkmark.

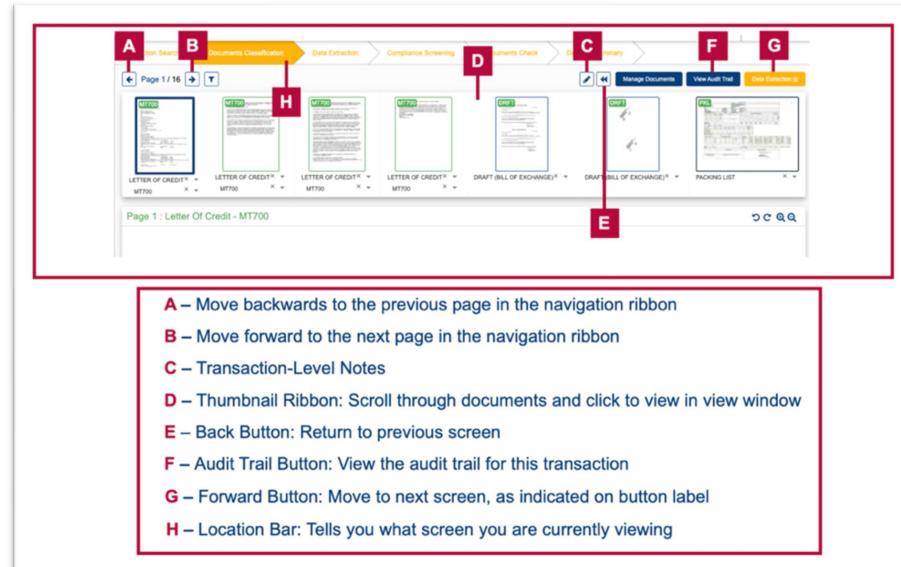


Figure 3030303030: Checkboxes on Chevrons and Tabs



Beyond overall chevron/tab navigation, you will notice that there are some common functions on each screen that will help you to navigate. These functions are highlighted in the following diagram in [Figure 31313131](#)[Figure 31](#)[Figure 31](#).

Figure 31313131: Workflow Navigation



The pencil icon housing Transaction-Level Notes may appear in different positions on various screens in the workflow. Please refer to the previous section on [Transaction-Level Notes](#) for further details. Transaction-Level Notes are distinct from other types of notes within TradeSun (such as Compliance Notes or Discrepancy Review Notes within Documents Check). These will be explained in subsequent sections.



## Filtering

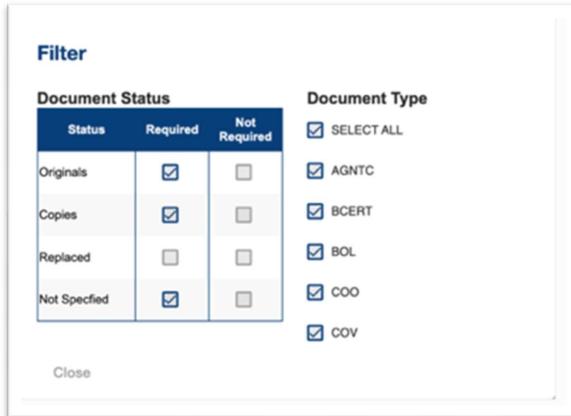
Click on the filter icon to be able to control which document types are shown in the current view.

Figure 3232323232: Filter Button



Once you click on the filter icon, the Filter Dialog opens:

Figure 3333333333: Filter Dialog



### Document Status:

As a user, you have the ability to indicate the status of any document as a Not Required document (i.e., not required for document checking), or as an original or copy (refer to the [Document Status Indicator](#) section to learn more). If a document has not been indicated as an original or a copy, and if it has not been replaced (refer to the [Replacing Documents](#) section to learn more) then the document status is considered "Not Specified". You can select and de-select the appropriate checkboxes to filter based on all indicated document statuses in the Document Status table. Please note that if a page is marked as Not Required, or if it has been replaced, it will not be visible on the screen unless you update the filter. As a default, all Not Required and/or Replaced documents are filtered out of view.

### Document Type:

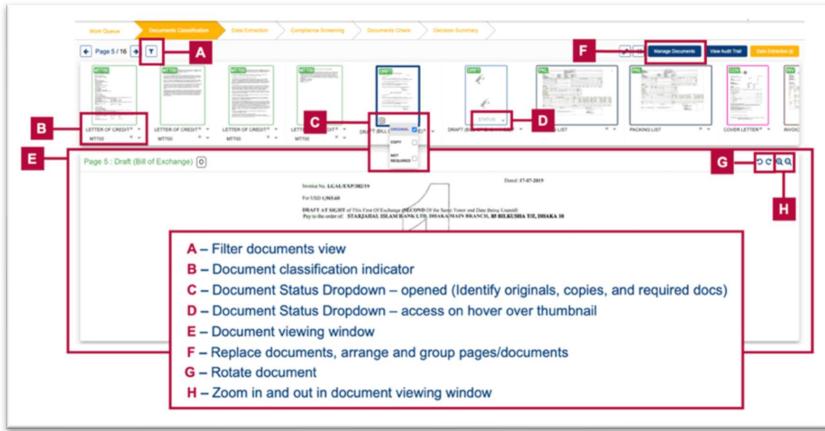
Click and unclick the "Document Type" check boxes if you want to show only certain document types (Invoice, Bill of Lading, etc.). Filters apply only to the screen you are currently on and will be reset when you click the button to go to the Data Extraction screen.



## 7. Documents Classification

If you have generated your transaction by uploading documents rather than transfer via API, selecting and opening a transaction will bring you to the Documents Classification screen. There you will be able to review and confirm automatic document classifications (e.g., Invoice, Bill of Lading, etc.). The page you are currently viewing will be outlined around the document thumbnail. Multi-page documents will be outlined in one common color; a unique outline color appears for each separate document.

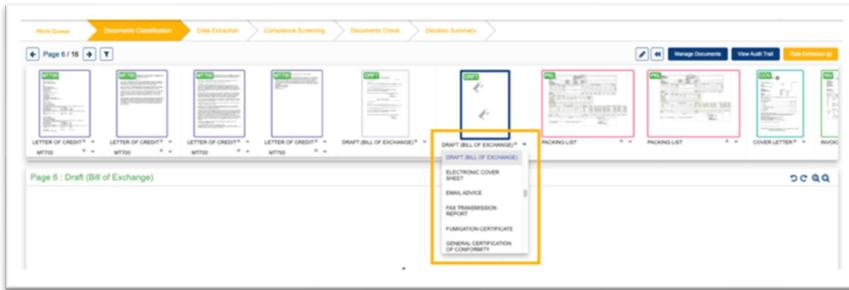
Figure 3434343434: Documents Classification Screen



### Page Classification and Rotation

On the top thumbnail ribbon, you will see a thumbnail for each page in the transaction, and an indication of the automatically classified document type assigned by TradeSun. You can manually review and update classification here and indicate the document status (i.e., Original, Copy, Required). To edit a document classification, click in the label box and a dropdown menu will appear. You can type out the classification or scroll to select from the dropdown:

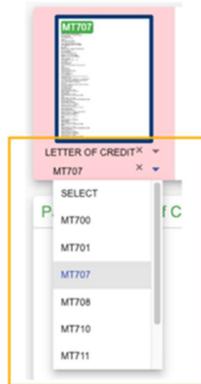
Figure 3535353535: Classification Label Change





TradeSun recognizes and automatically classifies sub-types for some SWIFT messages. In these instances, you will note a second dropdown menu below the first, and you will be able to classify the document type and sub-type as needed (for example, a Letter of Credit as a classification, and MT707 as its sub-type):

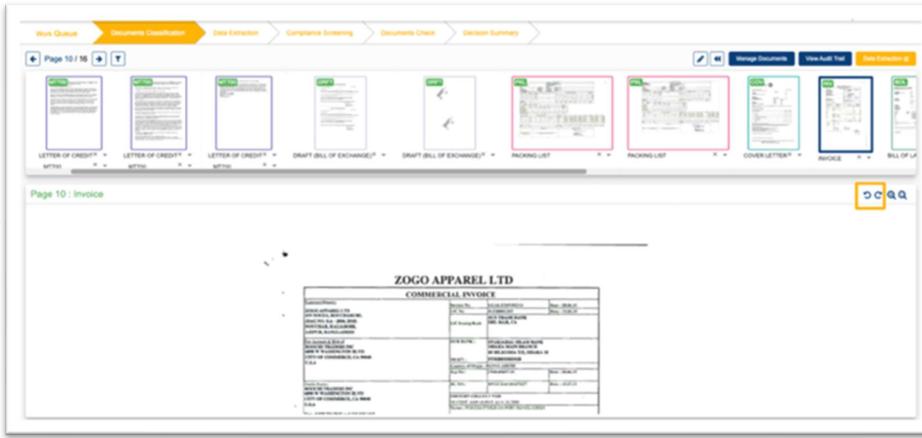
Figure 3636363636: Classification Dropdown



Pages must be classified before they can be grouped as documents. While re-classification is in progress, you will still be able to continue to “Manage Documents” and proceed to the Data Extraction screen.

Pages are automatically rotated to the correct angle during initial processing. To rotate a page view for easier readability of horizontal text, click on either of the rotation icons at the top of the document viewing window. Note that these icons may or may not be visible based on your configuration.

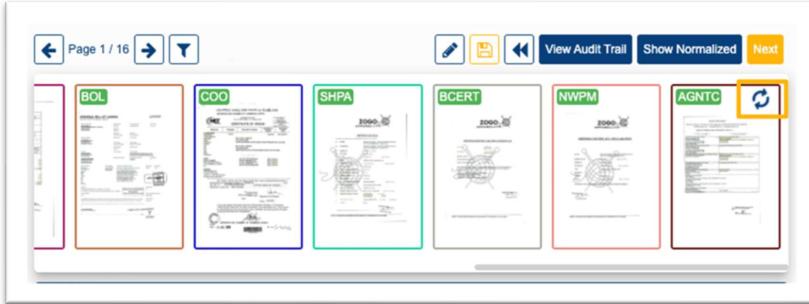
Figure 3737373737: Rotation Icons





When you arrive at the Data Extraction screen, if a page classification or rotation is still being processed, you will notice a processing icon in the top right corner of the thumbnail. You will only be able to alter extractions on that page once processing is completed:

Figure 3838383838: Classification Processing



#### Document Status Indicator

When you hover over any thumbnail in the navigation ribbon on the Document Classification screen, you will notice a dropdown tool on the bottom right corner. This is the Document Status Indicator.

Figure 3939393939: Document Status Indicator



TradeSun automatically detects original documents and copy documents in some scenarios. You can also do this manually, or indicate the status of any document as a Not Required document, via this Document Status Indicator. Click on the dropdown and you will see three checkboxes that you can select or de-select.

**Original/Copy:** Select either of these checkboxes if it is clear that the document in question is an original or a copy. You can indicate multiple copies and/or originals for each document type, but cannot mark one page as both an original and a copy. You can also leave both checkboxes unselected if you do not want to specify or you are uncertain.

**Not Required:** By default, all documents are considered for document checking unless otherwise specified. To exclude a page from document checking, you can select "Not Required" in the Document Status Indicator. Please note that if you mark a page as Not Required it will disappear from view unless you update the filter. As a default, all Not Required documents are filtered out of view. Please refer to the [Filtering](#) section to learn more.



When you click on any checkbox in the Document Status Indicator the page will be updated to reflect that status. You will see it represented on the thumbnail in the navigation ribbon, with an O (Original), C (Copy), or N (Not Required) appearing in the bottom left corner. You will also see it above the document viewer, for easy reference:

Figure 4040404040: Updated Document Status



### Identifying Documents Versus Pages

When you open a transaction for the first time, the Thumbnail Ribbon will have a pink background:

Figure 4141414141: Pages in the Thumbnail Ribbon

Page 1 : Letter Of Credit - MT700

:2711  
:3041REVOCABLE  
:301LC00001369  
:31C190319  
:34E-UCP LATEST VERSION  
:31D190405 IN BENEFICIARY'S COUNTRY  
:50  
BOOCH TRADERS, INC.  
6889 1/2 WASHINGTON BLVD.  
CITY OF COMMERCE, CA 90040  
USA  
:59  
ZOGO APPAREL LTD.  
419 NOUZA ROUCHAR KURL  
DAG NOUZA, 1008, 2001 NOUCHAR  
KALIKAJOR, AZPLR  
BANGLADESH  
:32BUSD 11,515.20

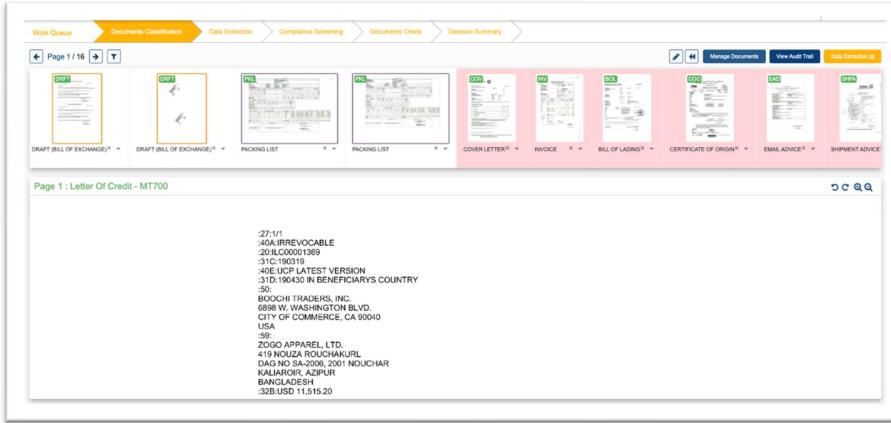
The pink background indicates that your pages are identified by the platform as a "Page" rather than a "Document". In order for TradeSun to perform a document check, you must indicate which pages belong to each document. You can do this by clicking on the "Manage Documents" button above the Thumbnail Ribbon. This is also where you can replace documents as you receive updates, and where you can rearrange pages and documents so they appear in the appropriate order within your transaction.

Once you have identified all of your documents, you will easily be able to see if you have missed anything, because all of the pages that have been grouped into documents will have a white



background, and the thumbnails that have not yet been grouped will appear at the end of the ribbon and will still be highlighted pink:

Figure 4242424242: Remaining Pages Highlighted in the Thumbnail Ribbon

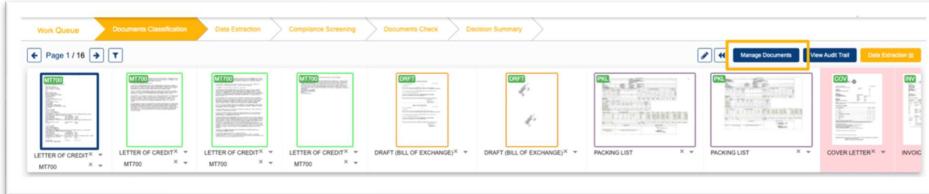


If you have a transaction with no multi-page documents, you may skip the “Manage Documents” step and TradeSun will automatically convert all pages into one-page “Documents” with a white background when you navigate to the Data Extraction screen.

### Manage Documents Button

Above the Thumbnail Ribbon you will find a button that says “Manage Documents”:

Figure 4343434343: Manage Documents



When you click on this button, a pop-up window appears with two different tabs: “Pages” and “Documents.” By default, the platform will recognize each page in your transaction as a page rather than a document. You must indicate which pages are one-page documents and which are multi-page documents that go together. You may also replace one page or document in the transaction with another page/document. You can perform all of these actions in the “Manage Documents” pop-up. As noted above, all documents must be classified prior to performing any actions in “Manage Documents”.



Figure [4444444444](#): Manage Documents: Pages Tab, Documents Tab



### Pages Tab

On the “Pages” tab you can identify duplicates and group pages together to create documents. To view a document in greater detail, click on the image of the magnifying glass in the top left corner of the thumbnail:

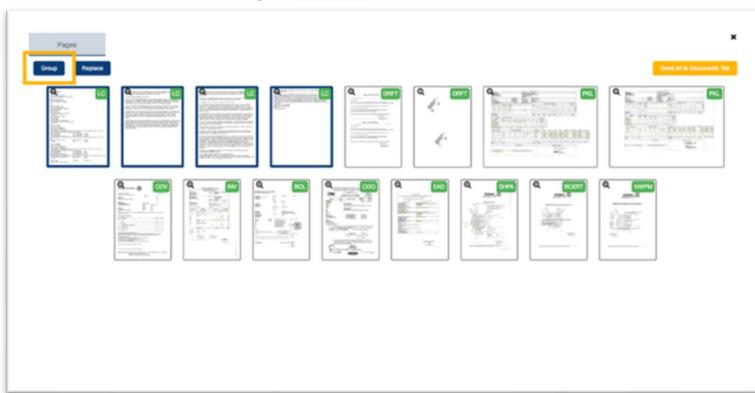
Figure [4545454545](#): View a document



### Creating Documents

To group pages together to create a complete document, click on all the pages that you want to group, so that they are outlined with a thick blue border. Then click “Group” to move that group of pages over to the “Documents” tab – this group is now recognized by TradeSun as one document rather than multiple individual pages.

Figure [4646464646](#): Create Documents





Once you have created a document it will no longer be visible in the "Pages" tab and can only be viewed in the "Documents" tab. Repeat the "Group" process for every document that is more than one page. Once this is done, you can click on the "Send All to Documents Tab" button to indicate the that remaining pages are all independent, one-page documents.

### Documents Tab

On the "Documents" tab, you can arrange pages and documents in their preferred order. To re-order pages within a document (e.g., make it so that page two of a document becomes page three), the user will click on the "Sort Pages" button and then drag the page icons into their appropriate order horizontally within the document. To re-order documents within the transaction as a whole (e.g., arrange the LC so it is the first document in the transaction), click on the "Sort Documents" button and drag the documents into the appropriate order vertically. You can identify which mode you are working under because the applicable button will be filled in blue, and you will see text identifying the view next to the buttons (either "You are sorting pages" or "You are sorting documents"):

Figure 4747474747: Sorting documents and pages



### Reverting Documents to Pages

If you would like to "ungroup" a document that you have grouped together in error, you can select the document and then click on the "Revert Selected to Pages" button in the top right corner. This will send the selected document back to the "Pages" tab for you to re-identify the appropriate document grouping. If you would like to start all over again, you can click on the "Revert All to Pages" button to send all documents on the "Documents" tab back to the "Pages" tab:



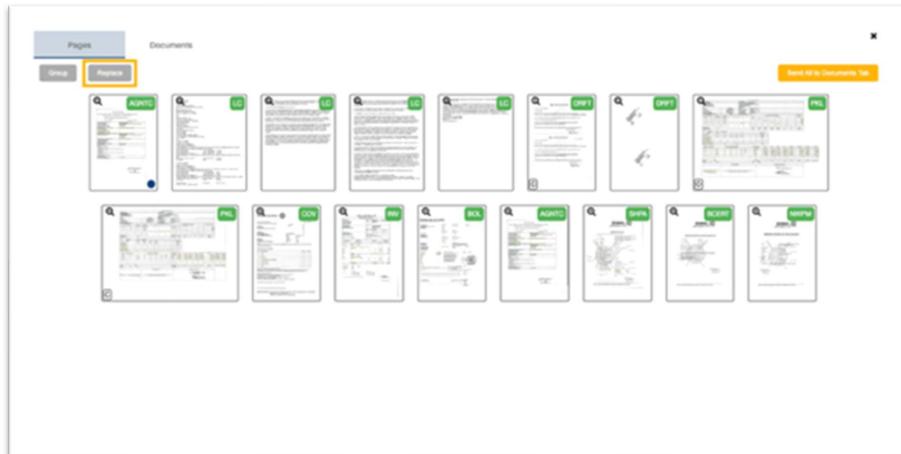
Figure 4848484848: Reverting Documents to Pages



### Replacing Documents

You may find that you want to replace a document in your transaction with a different document. You can do so via the "Replace" button on the Pages tab:

Figure 4949494949: Replace Button

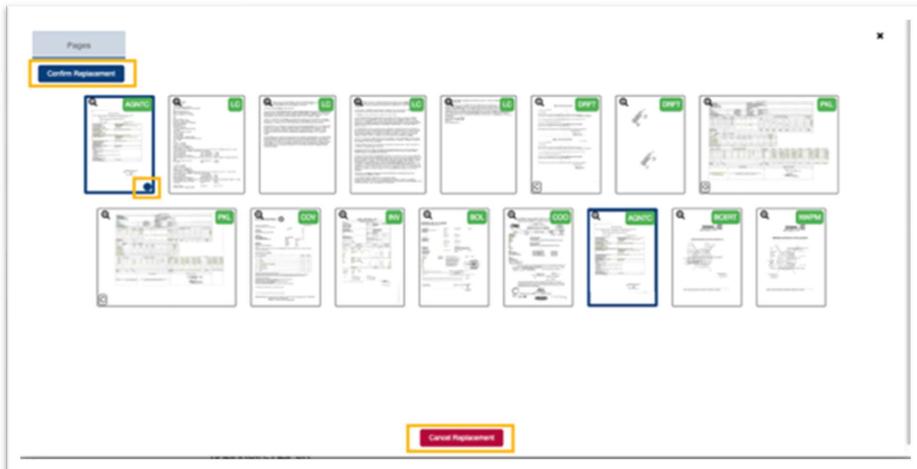


When you click on any page thumbnail, you will see the "Replace" button activated. You may click this button and follow the prompts to identify the new page(s) you would like to introduce, to replace the selected page(s).



As a helpful tool, any “new” page (i.e., a page that has never been sent to the “Documents” tab) will have a “new” icon in the bottom right corner of the thumbnail. You can revert some or all of the documents back to pages to replace them, or you can replace one new document with another new one. Select the original page(s) and the replacement page(s) and click the “Confirm Replacement” button. Alternatively, if you change your mind about replacing the selected page, you can click the “Cancel Replacement” button to continue your work without replacing.

Figure 50505050: “New” icon, Confirm Replacement, Cancel Replacement

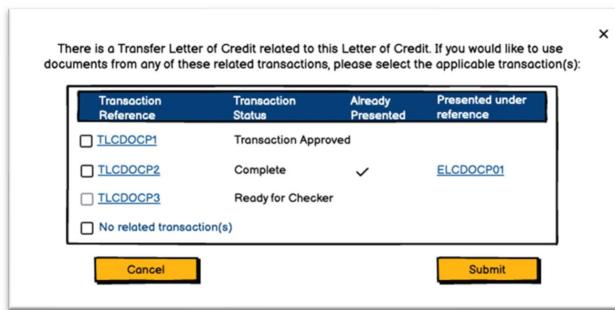


To return to the Documents Classification screen click on the “X” at the top right corner of the “Manage Documents” pop-up.

### Transfer LC Processing Workflow

When you open a transaction and land on the Document Classification screen, and if there is a Transfer LC that relates to the transaction you are in, you will see a pop-up showing all related transactions based on LC number.

Figure 51515151: Related Transactions Pop-Up





If you select "No related transaction(s)" you will have the option to put your transaction on hold while you await further documents. If you select any related transaction and click "Submit", TradeSun will import the documents from that transaction into your current transaction.

On click of "Manage Documents" on the Document Classification screen you will be able to replace any original documents with the newly imported documents (refer to [Replacing Documents](#) for further instruction). Note that the Checker will be able to see a "read only" version of the Related Transactions pop-up when they launch the transaction, to inform them of any documents that may have been imported.

Once all documents have been identified, correctly classified, grouped, and replaced as necessary, click on the "Data Extraction" button to continue to the next stage in the workflow.

## 8. Data Extraction

The Data Extraction screen is where the extracted transaction data from the trade documents is highlighted and displayed. Extracted elements are reviewed, added, edited, or deleted until you are satisfied that all data has been successfully extracted.

### API Data Extraction Screen

If your transaction data was sent to TradeSun via API, your screen will look like this:

Figure 5252525252: Data Extraction Screen via API Data Transfer

The screenshot shows the TradeSun API Data Extraction interface. At the top, there's a navigation bar with steps: Work Queue, Document Classification, Case Formation, Compliance Screening, Documents Check, and Decision Summary. Below the navigation is a toolbar with 'View Audit Trail' and 'Compliance Screening' buttons. The main area is divided into two sections: 'Source Data (API) History' on the left and 'Extracted Data' on the right.

**Source Data (API) History:** This section displays a table with columns: Timestamp, Requested By, and Status. One entry is shown: APR 18, 2022, 9:26:34 AM, V780415, SUCCESS. A 'Refresh Data' button is located at the bottom of this section.

**Source Data (API) Attributes:** This section shows a table with columns: API Attribute and Value. It lists several entries, such as TRANSPORTDETAILS.DOCUMENTNU, TRANSPORTDETAILS.IAMNUMBER, TRANSPORTDETAILS.PORTOFDISCHARGE, TRANSPORTDETAILS.VESSELNAMEV, and TRANSPORTDETAILS.VESSELNAMEI.

**Extracted Data:** This section displays a table with columns: Field and Extracted Text. The table contains the following data:

Field	Extracted Text
PAGETYPE	BILL OF LADING
PORT OF LOADING	US
SHIPPING DATE	2022-03-28
VESSEL AND VOYAGE NUMBER	CMA CGM MEKONG, 9718105
VOYAGE NUMBER	9718105
VESSEL NAME	CMA CGM MEKONG
PORT OF DISCHARGE	UK
VEHICLE NAME AND IMO	9718105
BILL OF LADING NUMBER	23546

On the left you will see the source information for the data, including details about data updates in the Source Data History. Note that for now, the "Refresh Data" button is not active. Below the history you will see all of the source data, including the API Attribute (i.e., the field label), and the value (i.e., the data field). You can search for any value by typing in the search bar and pressing enter. Click on "View Source" to see the JSON file, date, and time record for the source data so you can see exactly what was received.

On the right side of the screen, you will see all of the relevant data points, mapped to TradeSun field labels. This is the data that will be used for analysis for Compliance Screening and/or Document Checking.



## Document Upload Data Extraction Screen

If your transaction data was generated via document upload or via API document transfer, your screen will look like this:

Figure 5353535353: Data Extraction Screen via Document Upload/Transfer

The screenshot shows the TradeSun interface for document upload. On the left, there is a large preview window of a scanned document (Invoice). To the right of the preview is a table titled "Document Label" which maps fields from the document to "TradeSun Label" and "Document Value". The table includes sections for AMOUNT TOTAL, INCOTERMS, ISSUER, DOCUMENT TITLE, INVOICE NO., EXPORTER, and various address and date fields. The "Document Value" column contains dropdown menus with specific values selected.

On the left side of the screen is the Document Viewer window which shows the full view of whichever page you have selected. If the document you are viewing contains multiple pages, you will be able to scroll through all of the pages of the document at once, without clicking on the next thumbnail. You can expand and collapse the thumbnails for each page in the thumbnail ribbon by clicking on the “plus” or “minus” sign on the top right corner of each document. You can also collapse or expand the entire thumbnail ribbon if desired:

Figure 5454545454: Expand/Collapse Thumbnails

This screenshot shows the same interface as above, but with a focus on the "Thumbnails" ribbon at the bottom. A yellow box highlights the minus sign icon on the right side of the MT700 thumbnail, indicating it is collapsed. Another yellow box highlights the plus sign icon on the right side of the PKL thumbnail, indicating it is expanded. The rest of the thumbnails are shown in their collapsed state.

The Document Viewer will display a series of grey boxes drawn around any text extracted from the document. These boxes turn blue as you click through your extractions in the Data Extraction Table (right side of screen), highlighting where each extraction came from.



Figure 555555555: Blue and Grey Extraction Boxes

Document Label	TradeSun Label	Document Value
PRESNTN DATE	PRESNTN DATE	2019 JUL 26
BILL AMOUNT	AMOUNT	22,00,00.00
ISSUER	ISSUED BY	CITIBANK
OUR REFERENCE NO.	REFERENCE NUMBER	295019651643
APPLICANT		
APPLICANT NAME	APPLICANT NAME	XGMC E-COMMERCE INC.
APPLICANT ADDRESS	APPLICANT ADDRESS	XGMC E-COMMERCE INC.
APPLICANT COUNTRY	APPLICANT COUNTRY	CHINA
BILL NO.:	BILL NUMBER	295019651643
BENEFICIARY		
BENEFICIARY ADDRESS	BENEFICIARY ADDRESS	AV REPUBLICA DE PANAMA, LIMA 19036 PERU
BENEFICIARY COUNTRY	BENEFICIARY COUNTRY	PERU
BENEFICIARY NAME	BENEFICIARY NAME	HONDA DEL PERU S.A.
CURRENCY	CURRENCY	USD
LIC NO.	LETTER OF CREDIT NUMBER	ILC00001369
DATE	LETTER OF CREDIT ISSUING DATE	20190726

### Data Extraction Table

On the right side of the screen you will find the Data Extraction Table:

Figure 5656565656: Data Extraction Table

Document Label	TradeSun Label	Document Value
GROSS WEIGHT CARGO	GROSS WEIGHT	5560KG
FREIGHT TO BE PAID AT	FREIGHT PAYABLE AT	LMA
FREIGHT CHARGES	FREIGHT CHARGES	FREIGHT COLLECT
TRANSHIPMENT EFFECTED AT PORT VIA VESSEL	TRANSHIPMENT VESSEL NAME	SMILEY ADY
CONTAINER AND SEALS		
CONTAINER NUMBERS	CONTAINER NUMBERS	TONI360359 SEAL 004VA214428 SEAL 0843940
SEAL NUMBERS	SEAL NUMBERS	00VA214428
SEAL NUMBERS	SEAL NUMBERS	0843940
VESSEL		
Voyage Number	Voyage Number	CMA-CGM GANGES
SHIPPER		
SHIPPER	SHIPPER	OMH/FUW/IMA
SHIPPER COUNTRY	SHIPPER COUNTRY	PERU
SHIPPER ADDRESS	SHIPPER ADDRESS	AV REPUBLICA DE PANAMA, PERU
SHIPPER NAME	SHIPPER NAME	HONDA DEL PERU S.A.
DOCUMENT TITLE	DOCUMENT TITLE	BILL OF LADING
BILL OF LADING NUMBER	BILL OF LADING NUMBER	LMW03044
CONSIGNEE	CONSIGNEE	LMW03044

The Data Extraction Table shows all of the information that TradeSun has “read” from the document. In this table you will see the field labels that were extracted from the document in the left column (Document Label), the field labels that TradeSun has assigned in the middle column of the Data Extraction Table (TradeSun Field Label), and the text that was extracted under that label in the right column (Document Value). You can review each of these extractions and make changes where necessary.



## Click-to-Pick Extraction of Labels and Values

The first and best way to modify extractions is by Click-to-Pick. You can populate the Document Value field or the Document Label field by clicking in the cell for that row/field in the Data Extraction Table until you see your cursor, then clicking in the document viewer on the left and dragging your mouse to draw a blue box around the desired text.

Figure 5757575757: Click-to-Pick Extraction

The screenshot shows a document viewer on the left containing a scanned bill of lading. A blue box highlights the text 'The Manager SunTrade Bank 2190 Carmel Valley Road, Del Mar, CA 92014'. On the right, a data extraction table is displayed with several rows. The first row has a 'Document Label' column with 'Our Reference No. 2960 1965 1643' and a 'Document Value' column with '(Please quote above reference in all correspondences)'. The second row has 'APPLICANT:' in the label column and 'BOOCH TRADERS 6098 W WASHINGTON BLVD CITY OF COMMERCE, CA 90040, U.S.A.' in the value column. The third row has 'BENEFICIARY:' in the label column and 'Zeta Konserv' in the value column. The fourth row has 'BILL INFORMATION:' in the label column and a table with 'Bill No.', 'Bill Date', 'Currency', and 'Bill Amount' fields. The fifth row has 'Dated: 23/07/2019' in the value column. A large blue box is drawn over the entire table area, indicating the scope of the click-to-pick operation.

The system will understand that you wish to use the data within the box you have drawn as the value for that field. If you wish to further refine the value, or if you would like to add text that does not appear in the document, you can type over, add to, or select and correct the text in the Data Extraction Table. You may also manually input data by typing directly in the Data Extraction Table.

## Field Addition

If any data is missing from the Data Extraction Table, you can add a new field by clicking the "Add Field" button at the top of the table. When you do so, a blank row will appear at the top of the Data Extraction Table.

Figure 5858585858: Add Field

The screenshot shows a data extraction table with a header row and several data rows. The header row contains columns for 'Document Label', 'TradeSun Label', and 'Document Value'. The data rows include: 'CERTIFICATION CLAUSE' with 'CERTIFICATION CLAUSE' in the label column and 'WE DO HEREBY CERTIFY IN THAT THE FOLLOWING DOCUMENTS HAVE BEEN SENT DIRECTLY' in the value column; 'TOTAL CARTON QUANTITY' with 'MEASUREMENT' in the label column and '23 CTN' in the value column; 'TOTAL PIECES QUANTITY' with 'MEASUREMENT' in the label column and '1000 MTS' in the value column; 'DOCUMENT TITLE' with 'DOCUMENT TITLE' in the label column and 'BENEFICIARIES DECLARATION CERTIFICATE' in the value column; and 'ISSUED BY' with 'ISSUED BY' in the label column and 'HONDA DEL PERU S.A.' in the value column. A new blank row has been added at the top of the table, indicated by a small arrow icon.

It is important to assign labels correctly when adding fields. If the document itself indicates a label for the value, you should click in the "Document Label" cell for that row, and then click-to-pick that label from the document to populate the "Document Label" column. This will help TradeSun to "learn" from that document over time (if user learning is activated in your configuration). You'll notice that when you populate a Document Label cell, the TradeSun Label will be auto-populated wherever possible. If there is more than one option for a TradeSun Label, select the appropriate label from the search box. If TradeSun cannot auto-populate a TradeSun Label based on the provided Document Label, you will need to type alternate search terms in order to find the most appropriate TradeSun Label. You can do so by typing the first few letters of the label in the search field, which will provide you with a list of options.



Figure 59595959: Search for TradeSun Label

Document Label	TradeSun Label	Document Value
APPLICANT:	APPLICANT	XCMG E-COMMERCE INC., NO.6, SOFTWARE PARK ROAD, XUZHOU CITY 221008 CHINA
APPLICANT NAME	APPLICANT NAME	XCMG E-COMMERCE INC.
APPLICANT ADDRESS	APPLICANT ADDRESS	E-COMMERCE INC., NO.6, SOFTWARE PARK ROAD, XUZHOU CITY 221008 CHINA
APPLICANT COUNTRY	APPLICANT COUNTRY	CHINA
BILL NO.:		
BENEFICIARY:		
BENEFICIARY ADDRESS	APPLICANT EMAIL APPLICANT BANK ADDRESS APPLICANT ADDRESS APPLICANT PHONE NUMBER APPLICANT NAME APPLICANT BANK NAME APPLICANT BANK COUNTRY APPLICANT COUNTRY APPLICANT ATTENTION PARTY APPLICANT FAX NUMBER AGENT AT THE PORT OF DISCHARGE	PERU
BENEFICIARY COUNTRY		
BENEFICIARY NAME		
CURRENCY		
LIC NO.		
DATED		
N/R		
TRADESUN LABEL LOOKUP		
<input type="text" value="APP"/> <span style="border: 1px solid yellow; padding: 2px;">▼</span> <span style="border: 1px solid yellow; padding: 2px;">Add Group Relation</span>		
CERTIFICATE NUMBER		

Every Document Value must have a corresponding TradeSun Label. It may also have a Document Label if a label for that text was provided in the document, but it is not mandatory.

When you add text to a Document Value (either by click-to-pick or by manually typing) and “lose focus” by clicking out of the row, the text will be added to the table. Sometimes, this results in “normalization” of the text, and identifying sub-components of the value for easier analysis. For example, in an “Applicant” field generally you will find the Applicant name, address, and country. TradeSun will auto-splice this field into its sub-fields, for better results in document checking and compliance screening. You can also click on the plus sign icon next to a row to add a “child” (i.e., a group relation) to the row you have selected. Access this icon by hovering over the row, and you will see the “Add Group Relation” button as a tool-tip. You may then proceed to indicate a TradeSun Label and Document Value as illustrated above.

Figure 60606060: Add Group Relation

Document Label	TradeSun Label	Document Value
APPLICANT:	APPLICANT	XCMG E-COMMERCE INC., NO.6, SOFTWARE PARK ROAD, XUZHOU CITY 221008 CHINA
APPLICANT NAME	APPLICANT NAME	XCMG E-COMMERCE INC.
APPLICANT ADDRESS	APPLICANT ADDRESS	E-COMMERCE INC., NO.6, SOFTWARE PARK ROAD, XUZHOU CITY 221008 CHINA
APPLICANT COUNTRY	APPLICANT COUNTRY	CHINA
BILL NO.:	BILL NUMBER	2960 1965 1643
BENEFICIARY:	BENEFICIARY	HONDA DEL PERU S.A. AV. REPUBLICA DE PANAMA, LIMA 15036 PERU
BENEFICIARY ADDRESS	BENEFICIARY ADDRESS	AV. REPUBLICA DE PANAMA, LIMA 15036 PERU
BENEFICIARY COUNTRY	BENEFICIARY COUNTRY	PERU
BENEFICIARY NAME	BENEFICIARY NAME	HONDA DEL PERU S.A.



## Field Deletion

Click the trash can icon in the tool-tip of any field you would like to delete in the Data Extraction Table:

Figure 6161616161: Delete Fields

Document Label	TradeSun Label	Document Value	
PRESENTATION DATE	PRESENTATION DATE	▼ 2019 JUL 26	
BILL AMOUNT	AMOUNT	▼ 22,00,000.00	
ISSUER	ISSUED BY	▼ CITIBANK	
OUR REFERENCE NO.	REFERENCE NUMBER	▼ 2960 1965 1643	
DATED:	ISSUE DATE	▼ 30/06/2022	
▼ APPLICANT:	APPLICANT	▼ XCMG E-COMMERCE INC., NO 6, SOFTWARE PARK ROAD, XUZHOU CITY 221008 CHINA	
APPLICANT NAME	APPLICANT NAME	▼ XCMG E-COMMERCE INC.,	
APPLICANT ADDRESS	APPLICANT ADDRESS	▼ E-COMMERCE INC., NO 6, SOFTWARE PARK ROAD, XUZHOU CITY 221008 CHINA	
APPLICANT COUNTRY	APPLICANT COUNTRY	▼ CHINA	

That row of data on the Data Extraction Table will then disappear, and so will the corresponding highlight in the Document Viewer Window.

## Normalizing Extracted Text

TradeSun normalizes some extracted data to facilitate downstream workflows such as Document Checking. Normalization is the way in which TradeSun converts data points into a standardized format, to ensure consistency and accuracy. On the Data Extraction screen, when extracting manually or with Click-to-Pick, TradeSun will normalize this data so that the system will fully understand the information you have inputted. Most normalization occurs automatically when you “lose focus” or click out of an extraction cell. You can tell that it is normalizing because you will see a grey spinning wheel while the processing is occurring.

If you would like to view the normalized format, you can click on the “Show Normalized” button and you will be able to see the text as TradeSun sees it:

Figure 6262626262: Show Normalized Button

The screenshot shows the TradeSun interface with the 'Data Extraction' tab selected. In the center, there is a preview of a document page titled 'Page 2 : Draft (Bill of Exchange)'. Below the preview, there is a 'Thumbnails' section showing several document pages. A yellow box highlights the 'Show Normalized' button located in the top right corner of the viewer area.

Text is pink in this mode so you can identify what view you are in. To return to regular extraction view, click "Show Extracted":



Figure 6363636363: Normalized View

Document Label	Normalized Value
AMOUNT TOTAL	\$ 2,200,000.00
INCOTERMS:	CIF
INCOTERMS	CIF
ISSUER	HONDA DEL PERU S.A. AV REPUBLICA DE PANAMA, PERU
ISSUED BY ADDRESS	HONDA DEL PERU S.A. AV REPUBLICA DE PANAMA, PERU
ISSUED BY COUNTRY	PERU
ISSUED BY NAME	HONDA DEL PERU SOCIETE ANONYME
DOCUMENT TITLE	COMMERCIAL INVOICE
INVOICE NO.:	LGALIEXP/382/19
EXPORTER:	HONDA DEL PERU S.A. AV REPUBLICA DE PANAMA, PERU
EXPORTER COUNTRY	PERU
EXPORTER ADDRESS	AV REPUBLICA DELAWARE REPUBLIC OF PANAMA, PERU
EXPORTER NAME	HONDA DEL PERU SOCIETE ANONYME
DATE	01AUG22
PAYMENT TERM:	TT 60 DAYS
LC NO.:	LG00001369
LC DATE:	01AUG22

You can also see the normalized version of text by hovering over the information icon in the row tool-tip:

Figure 6464646464: Normalization View from the Tool-Tip

Document Label	TradeSun Label	Document Value
AMOUNT TOTAL	AMOUNT TOTAL	\$ 2,200,000.00
INCOTERMS:	DELIVERY TERMS	CIF PERU, INCOTERM 2020
INCOTERMS	INCOTERMS	CIF
ISSUER	ISSUED BY	HONDA DEL PERU S.A. AV REPUBLICA DE PANAMA, PERU
ISSUED BY ADDRESS	ISSUED BY ADDRESS	AV REPUBLICA DE PANAMA, PERU
ISSUED BY COUNTRY	ISSUED BY COUNTRY	PERU
ISSUED BY NAME	ISSUED BY NAME	HONDA DEL PERU S.A.
DOCUMENT TITLE	DOCUMENT TITLE	COMMERCIAL INVOICE
INVOICE NO.:	INVOICE NUMBER	LGALIEXP/382/19

In the regular extraction view, a warning from TradeSun may appear, notifying you that some of your data could not be normalized. This occurs either as a red box around un-normalized fields in the Extracted Text column, or as a pop-up if there is still some un-normalized data when you attempt to move on to the next screen. If you click on the "Show Normalized" button, you will see <NO NORM> in all cells highlighted with a red box, indicating that the system did not normalize them. In this case, you will need to edit cells with a red box around them either manually, or by re-selecting the appropriate text in the document viewer. If necessary (e.g., if you know the extracted text is correct as written but TradeSun is not able to normalize it), you can type the appropriate data in the normalized view in order to override system normalization. Note that without training, editing text in the normalized view is risky, as you may not edit the text with the appropriate structure. Please refer to the Rules Reference Library for guidance on normalization structures, or speak with a TradeSun representative.



## Group Relations

You will notice in the Data Extraction Table that extracted fields are sometimes indented, there are sometimes dropdown arrows next to some rows, and that there are lines above and below rows or groups of rows in the Data Extraction table. These are indicators of the presence of group relations in extracted data. Extracted text often contains many units of meaningful information, but the relationship of the information needs to be identified in order to be analyzed for effective document checking. For example, a document may contain a company name, address, and country as part of one section of text, labelled "Applicant". TradeSun must break this into three parts, to know which part of the extraction is the name, which part is the address, etc. This is done through the creation of group relations. For example, "Applicant" would be a "parent" annotation, and the three pieces of information that are contained within that annotation are its children, and are indented. If you click on the plus/minus sign in the tool-tip of the "Applicant" row, you can add more relations. If you click on the arrows to the left of the "Applicant" Document Label, you can collapse or expand the children as desired.

You will notice that some extractions and field labels are auto-generated by TradeSun when using Click-to-Pick. Using the example above, if you Click-to-Pick an Applicant, its three children (Name, Address, and Country) should be automatically be extracted, and field labels will also automatically be populated.

Figure 65656565: Group Relations in Transaction Data

Document Label	TradeSun Label	Document Value
EXPORTER ADDRESS	EXPORTER ADDRESS	AV REPUBLICA DE PANAMA,PERU
EXPORTER NAME	EXPORTER NAME	HONDA DEL PERU S.A.
DATE	ISSUE DATE	01.07.2022
PAYMENT TERM :	PAYMENT TERMS	TT 60 DAYS
LC NO.:	LETTER OF CREDIT NUMBER	ILC00001369
LC DATE	LETTER OF CREDIT ISSUING DATE	01.01.2021
APPLICANT :	APPLICANT	XCMG E-COMMERCE INC., NO.6, SOFTWARE PARK ROAD, XUZHOU CITY 221008, CHINA
APPLICANT COUNTRY	APPLICANT COUNTRY	CHINA
APPLICANT ADDRESS	APPLICANT ADDRESS	NO.6, SOFTWARE PARK ROAD, XUZHOU CITY 221008, CHINA
APPLICANT NAME	APPLICANT NAME	XCMG E-COMMERCE INC
COUNTRY OF ORIGIN	Country of Origin	CHINA
PORT OF LOADING :	PORT OF LOADING	PORT, PERU
PORT OF DISCHARGE :	PORT OF DISCHARGE	HUANGPU, CHINA
FINAL DESTINATION :	PLACE OF FINAL DESTINATION	BRAZIL
SHIP MODE :	MEANS OF TRANSPORT	BY SEA
CONSIGNEE :	CONSIGNEE	MMGC E-COMMERCE INC., JACKSON ROAD, HONGKONG

## Page Navigation

There is a thumbnail ribbon above the Data Extraction Table. Each thumbnail contains a label indicating the classification for that particular page/document. Navigate between pages by clicking on each page's thumbnail or by clicking on the left and right arrows. This will only apply if multiple pages have been uploaded within the transaction.



Figure 6666666666: Page Navigation

The screenshot shows a grid of nine document thumbnails labeled COV, DRFT, INV, PKL, BOL, COO, BCERT, SC, and INSP. The first three thumbnails (COV, DRFT, INV) are highlighted with a yellow border. The top navigation bar includes buttons for 'Page 3 / 9' and 'Next', along with icons for edit, print, and back.

### Merchandise Wizard

For all Description of Goods annotations in non-LC documents, or for when your Description of Goods in LC-45A is presented in tabular form (i.e., all of the information for each merchandise is consistently represented, with all “similar” data appearing in the same order for each row of text), the Merchandise Wizard is a helpful tool to allow you to quickly extract all the data correctly, with the correct group relations. You can access the Merchandise Wizard by clicking on the Merchandise Wizard icon to the right of the Description of Goods or LC-45A “parent” annotation:

Figure 6767676767: Merchandise Wizard Icon

A screenshot of a document header showing the 'Document Label' (DESCRIPTION OF GOODS), 'TradeSun Label' (DESCRIPTION OF GOODS), and 'Document Value' (5509690 5509691 5509692 5509693 5509694 5509695 5509694 5509695 NOT ALLOWED BALL B).

### The LC Merchandise Wizard

The Wizard in LC-45A behaves differently than the Wizard in non-LC documents. Below is a step-by-step illustration of the LC Wizard. When you click on this icon the Merchandise Wizard will open, with the text from 45A visible on the left, and the first step of the Wizard, “Identify column headers”, on the right:

Figure 6868686868: Merchandise Wizard

The screenshot shows a table with columns for PO Number, Quantity, CIF Cost, and Amount. A 'Select first data row' button is at the bottom. To the right, a 'Identify column headers' dialog box lists 'Column Name' and 'TradeSun Field' for each column. The 'Column Name' column lists 'PONumber', 'Quantity', 'CIFCost', and 'Amount'. The 'TradeSun Field' column lists 'ArticleNo Article Description HS CODE INCOTERMS', '1081832883 100 KGS USD 2200 USD 2,20,000.00', '1310387 BALL BEARING FOR ENGINE M42 FOB 1081832883 100 KGS USD 2200 USD 2,20,000.00', '1310344 BALL BEARING FOR ENGINE M42 FOB 1081832883 100 KGS USD 2200 USD 8,10,000.00', '1861888 BALL BEARING FOR ENGINE M42 FOB 1081832883 100 KGS USD 2200 USD 2,20,000.00', '1861886 BALL BEARING FOR ENGINE M42 FOB 1081832883 100 KGS USD 2200 USD 2,20,000.00', '1861887 BALL BEARING FOR ENGINE M42 FOB 1081832883 100 KGS USD 2200 USD 8,10,000.00', and '1310381 BALL BEARING FOR ENGINE M42 FOB 1081832883 100 KGS USD 2200 USD 2,20,000.00'. A 'Select first data row' button is at the bottom.



Click in the first “Column Name” text box to enter text selection mode:

Figure 69696969: Text Selection Mode

The screenshot shows the 'Merchandise Wizard' interface with the 'Identify column headers' dialog open. On the left, there is a list of data rows. On the right, there is a text input field labeled 'Column Name' with the placeholder 'PONumber'. A red box highlights the 'Column Name' input field. Below it is another text input field labeled 'TradeSun Field' with a dropdown arrow. At the bottom of the dialog is a blue button labeled 'Select first data row'.

Highlight the text that represents a “column header” of your table. So, for example, PONumber is a header in this table. When you release your mouse, the text you selected will be populated in the “Column Name” box. If you would prefer to type the column name manually, you may press “Cancel” and then type or correct the Column Name however you’d like. You will notice that as soon as you populate one Column Name, another text box appears. Click in this box to populate your next column name from the text on the left:

Figure 70707070: Column Name Populated

The screenshot shows the same 'Merchandise Wizard' interface with the 'Identify column headers' dialog open. The 'Column Name' input field now contains the text 'PONumber'. A red box highlights this populated text. The 'TradeSun Field' input field below it also contains the text 'PONumber' and has a red box around it. The rest of the interface remains the same, with the data list on the left and the 'Select first data row' button at the bottom.

Once you have populated all of the column headers from the text on the left, your next step is to identify the corresponding TradeSun Fields via the dropdown arrows in that row, below each Column Name. You can also type in the TradeSun field if you would prefer. The TradeSun field is the label that TradeSun uses to describe the data, and you should select the best match for



the column name wherever possible. If you cannot find an appropriate TradeSun Field, you may omit that column by clicking on the trash can icon to delete it, or you may contact TradeSun to add that field into our database.

Figure 7171717174: TradeSun Field Populated

Merchandise Wizard

Identify column headers

PONumber	Quantity	CIFCost	Amount
ArticleNo Article Description HS CODE INCOTERMS			
1081832393 100 KGS USD 2200 USD 2,20,000.00			
1310387 BALL BEARINGS FOR ENGINE 8482 FOB			
1081832393 120 KGS USD 2200 USD 2,64,000.00			
1310344 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 145 KGS USD 2200 USD 8,19,000.00			
1861888 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 223 KGS USD 2200 USD 4,95,000.00			
1861886 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 110 KGS USD 2200 USD 2,42,000.00			
1861887 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 800 KGS USD 2200 USD 6,60,000.00			
1310383 BALL BEARING FOR ENGINE 8482 FOB			

Select first data row

Next you may click the “Select first data row” button, and you will find yourself in text selection mode once again. Highlight the text that represents the first row of data in the table:

Figure 7272727272: First Data Row Selection

Merchandise Wizard

Identify column headers

Please highlight the data from the text viewer that represents the “first row” of the table. This highlighted portion should include data that belongs under every column identified in the Column Headers section.

PONumber	Quantity	CIFCost	Amount
ArticleNo Article Description HS CODE INCOTERMS			
1081832393 100 KGS USD 2200 USD 2,20,000.00			
1310387 BALL BEARINGS FOR ENGINE 8482 FOB			
1081832393 120 KGS USD 2200 USD 2,64,000.00			
1310344 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 145 KGS USD 2200 USD 8,19,000.00			
1861888 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 223 KGS USD 2200 USD 4,95,000.00			
1861886 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 110 KGS USD 2200 USD 2,42,000.00			
1861887 BALL BEARING FOR ENGINE 8482 FOB			
1081832393 800 KGS USD 2200 USD 6,60,000.00			
1310383 BALL BEARING FOR ENGINE 8482 FOB			

Select first data row



As soon as you release your mouse, you will see all of the table data rows populated below the column headers:

Figure 7373737373: Table Data Rows

The screenshot shows the 'Merchandise Wizard' interface. At the top, there's a table header with columns: PONumber, Quantity, CIFCost, and Amount. Below this, a section titled 'Identify column headers' lists 'TradeSun Field' names: PURCHASE ORDER NUMBER, MEASUREMENT, UNIT PRICE, and AMOUNT. A large table below is titled 'Table data rows'. It has a header row with columns for separator type (Space, Comma, Semicolon, Other) and four data columns corresponding to the identified fields. The data rows show various purchase order numbers, measurements, unit prices, and amounts.

If you would like to correct the data you selected, you can click on the "Reselect first data row" button to perform that action once again.

Note that each table data row has been separated by the indicated separator, or delimiter. You can change the separator by clicking on the appropriate checkbox, or by clicking "Other" and typing an example of the separator (e.g., if the separator was two colons, you would type :: in the text box):

Figure 7474747474: "Other" Separator

A close-up of the 'Table data rows' dialog. It shows a list of separators: Space, Comma, Semicolon, and Other. The 'Other' option is checked, and a text input field next to it contains two colons (::). The entire 'Other' row is highlighted with a yellow box.

In order to confirm review of your table data, you need to merge or split the cells in your table until the number of columns in the "Table data rows" section equals the number of columns in the "Identify column headers" section. Note that the column headers above should be in the same order as the table data below. For example, if "Purchase Order Number" is the leftmost column header, then all of the purchase order numbers from each row should appear in the leftmost column of the table data. You will achieve this by merging, splitting, omitting, or auto-merging the appropriate cells.



Figure 75757575: Auto-merge, Merge, Split, and Omit Buttons



### Merging Cells

Merging cells brings all of the text from each cell of the table together in one cell. You can merge at the cell level or the column level. To merge at the cell level, select all the cells that you would like to merge, and then click the “Merge” button. This will bring all of the cells of that row together into one cell. Note that you cannot merge cells from different rows. To merge at the column level, click the “All” checkbox at the top of the columns that contain cells you would like to merge (a minimum of two columns must be selected to merge). When you click “merge”, the selected cells in each row will be combined so that all the selected text appears in one cell per row. You can also merge two columns in select rows by clicking “All” both at the column and the row level. This will merge the two columns into one, only in the rows you have selected.

You may notice that when you select two cells in a row, TradeSun might automatically select cells that contain the same data in other rows. TradeSun will auto-detect patterns in cell selection as a tool to help you to merge cells easily and quickly. If you don't want to include a cell that has been automatically selected, you may click on it again to de-select it.

### Splitting Cells

Splitting cells separates text in the selected cells, breaking them into individual cells, separated by the separator. This is a good tool to use if you have merged some cells in error. Selection of which cells to split works as described previously, under [Merging Cells](#).

### Omitting Cells

There may be some cells in the table data that do not need to be included in the table – these may be blank cells, or cells that contain data that does not fall under one of the identified Column Headers. Select the cells you would like to omit (as described in [Merging Cells](#)) and these cells will be deleted from the table.

### Auto-Merging Cells

This should be the last step in your table data organization. Once you have merged and split all cells other than those related to the “Merchandise” column, you can click “Auto-merge” to complete the work for you. When you click this button, TradeSun will apply logic based on the column headers you have indicated to merge the rest of the cells. Please review the table data once it has been auto-merged to ensure that it has been done correctly.



### Other Helpful Buttons in the LC Merchandise Wizard

The following buttons are also helpful in completing your review on the Merchandise Wizard:

Figure 76767676: Deselect All, Reset Table, Reset All, and Confirm Review Buttons

The screenshot shows the 'Merchandise Wizard' interface. In the top right corner, there is a group of buttons: 'Reset id', 'Confirm review', 'Reset all', 'Auto-merge', 'Merge', 'Split', 'Omit', and 'Reset table'. The 'Deselect all' button is highlighted with a yellow box.

**Deselect All:** If you have selected a number of cells, or if TradeSun has automatically selected them for you, you can click on each cell individually to deselect, or you can click the "Deselect All" button to do it all at once.

**Reset Table:** This button will return the table data back to its original state, to the state at the time that you selected the first data row.

**Reset All:** This button will reset the entire Merchandise Wizard, and will allow you to start from the beginning by selecting the Column Headers and then the Table Data once again.

**Confirm Review:** This button will be enabled when the number of columns in the Column Header section at the top of the Wizard equals the number of columns in the Table Data section at the bottom of the Wizard. Click this button to confirm that you have completed your analysis of the table. When you do, TradeSun will return you to the Data Extraction screen, where you will see that all of the data from your table is now represented in the Data Extraction table, collapsed under LC45A – Description of Goods. Click the plus sign to the left of the field label to expand the annotations for review:

Figure 77777777: Merchandise Wizard Transferred to the Data Extraction Table

Document Label	TradeSun Label	Document Value
45A - DESCRIPTIONS OF GOODS A	P.O. NO.	VA002594
MERCHANDISE DETAIL	STYLE NO.	YC1040
MERCHANDISE DETAIL	LABEL :	COTTON HERITAGE
MERCHANDISE DETAIL	PO SHIP DATE :	27 APRIL 2019
MERCHANDISE DETAIL	ITEM DESCRIPTION :	UNISEX INFANT 85 PCT COTTON 15 PCT VISCS SHORT SLEEVE TEE IN 145 GSM
MERCHANDISE DETAIL	COLOR	ATHLETIC HEATHER
MERCHANDISE DETAIL	SIZE	ASSORTED
PO NO	PURCHASE ORDER NUMBER	VA 002601
STYLE NO .	STYLE	IC 1040
LABEL :	MERCHANDISE	COTTON HERITAGE
PO SHIP DATE :	SHIPPING DATE	27 APRIL 2019
ITEM DESCRIPTION :	MERCHANDISE	UNISEX INFANT 85 PCT COTTON 15 PCT VISCS SHORT SLEEVE TEE IN 145 GSM
COLOR	COLOR	ATHLETIC HEATHER
SIZE	SIZE	ASSORTED
PRICE LOC IN USD	UNIT PRICE	0.00



### The non-LC Merchandise Wizard

The non-LC Wizard has many of the same buttons and a similar layout to the LC Wizard, but it is auto-populated so there is no need to select the first data row to build the table. One other difference is that on the left side of the screen you will see a document viewer rather than a text display, showing you an actual image of the document. You can click-to-pick data from this document to populate the cells of the table to the right. As you click-to-pick, your cursor will move to the next cell to help you to quickly populate the entire table without having to move your mouse back and forth between the viewer and the table too often.

Figure 78787878: Merchandise Wizard on a non-LC Document

The screenshot shows the TradeSun Merchandise Wizard interface. On the left, there is a document viewer displaying a packing list for 'MONSIA DEL PERU S.A.' located in 'REPÚBLICA DE PANAMA, PERU'. The packing list details include:

- STYLE: 40071
- PATTERN: 427048
- QUANTITY: 400 PCS
- SHIPMENT DATE: 2024-01-10
- TOTAL QTY: 244
- TOTAL GROSS: \$12,250

The packing list table has columns: NO, DESCRIPTION OF GOODS, Case, Box Range, STYLE, P/N, TOTAL QTY, QUANTITY, COLOR, NET WEIGHT, and UNIT. The table contains several rows of data, mostly for 'BALL BEARING' items in various sizes and colors.

To the right of the packing list is a 'Data Extraction' tool window titled 'Identify Column Headers'. It lists columns for 'Document Label' (PO), 'Tradeline Label' (PURCHASE ORDER NUMBER), 'Description of Goods' (MERCHANDISE), 'Color', 'Size Range', 'Size', 'Per CTN', and 'Quantity'. Below this is a 'Table Data Rows' section containing a grid of extracted data rows, each with checkboxes for selecting specific items.

The image above in Figure 78787878Figure 787878Figure 78 illustrates how a table might be auto-populated by TradeSun. You'll notice the "Copy" and "Paste" buttons in this non-LC Wizard – you can click on any cell and press "Copy", then click into a different cell and press "Paste" to populate a new cell with the same data. You can also press "Clear Table" if you'd like to re-build the table from scratch, disregarding auto-extractions.

### Generating a Master LC

If there are multiple transactions related to a single LC number, and you wish to review all related transactions or to make an amendment, you can do so from the main Data Extraction Screen using the Master LC pop-up.

Note that all data points related to an individual transaction must be reviewed and modified on the main Data Extraction screen in order to complete successful Compliance checks or Documents Check, depending on your workflow. For incoming SWIFT messages that require more complex modification or comparison, you may review and alter data points using the Master LC function, after an initial SWIFT has been approved.



For an incoming SWIFT message, review all necessary data points on the main Data Extraction screen using the functions of the Data Extraction table. When complete, click on the Manage Master LC button (located to the right of the Filter icon above the document thumbnail bar):

Figure 7979797979: Manage Master LC Button

Figure 8080808080: Manage Master LC Pop-up

Select Transaction to View Extractions:			
Reference Number	Product	Transaction Type	Approval Date
JLC6550163_AMND	IMPORT LC	AMENDMENT	
JLC6550163_DOCF	IMPORT LC PRESENTATN	DOCUMENT PRESENTATN	
JLC6550163_ISSUANCE	IMPORT LC	ISSUANCE/ADVICE	

Current Transaction Extractions		
Field	Import LC	Amendment
27 - SEQUENCE OF TOTAL	1/1	
20 - SENDER'S REFERENCE	JLC6550163	
31 - RECEIVERS REFERENCE	21 EXLC48803136	
23 - ISSUING BANKS REFERENCE	JLC6550163	
52A - ISSUING BANK	ABC BANK	
ISSUING BANK COUNTRY	ARGENTINA	
ISSUING BANK NAME	ABC BANK	
ISSUING BANK ADDRESS		

LC Master		
In Progress		Previously Approved
Field	Extracted Text	Extracted Text
27 - SEQUENCE OF T...	1/1	
40A - FORM OF DOC...	IRREVOCABLE	IRREVOCABLE
20 - DOCUMENTARY	JLC6550163	JLC6550163
31C - DATE OF ISSUE	210304	210304
40E - APPLICABLE R...	UCP LATEST VERSION	UCP LATEST VERSION
31D - DATE AND PLA...	210525 UNITED STATES	210525 UNITED KINGDOM
DATE OF EXPIRY	210521	210521
PLACE OF EXPIRY	UNITED STATES	UNITED KINGDOM

In the top left window, you will note all transactions related to the same LC number, and you can click on each transaction to view its extracted data in the table immediately below. The table header will either reflect Current Transaction Extractions for the transaction in which you are working, or Related Transaction Extractions for other presentations containing the same LC Number and data will appear shaded in grey. The LC Master table at the bottom right of the pop-up window shows field labels in the column on the left, and extracted data points from the current transaction in the In Progress Column. Note that when uploading an initial SWIFT message (an Issuance/Advice Transaction Type in TradeSun) the In Progress Column is always read-only, and data points within it cannot be manually altered.

If you are in the process of approving an initial SWIFT message, the Previously Approved column to the right will appear blank, as no previous SWIFT messages containing the same LC number have been processed. Once you have reviewed all applicable data points (and made



necessary changes on the main Data Extraction screen) you will click “Confirm Review” within the pop-up (located in the top right corner). This will enable the “Next” button on the main Data Extraction screen and allow you to proceed in your workflow and submit your transaction once complete. This transaction must be approved, and a subsequent amendment uploaded, in order to generate the Master LC.

Once an Issuance has been approved and you have uploaded a transaction containing a new SWIFT message, you will proceed through your workflow until you arrive once again at the Data Extraction screen. When all relevant data points have been reviewed on the main screen, you will click on Manage Master LC. You will note that data from the previously approved transaction containing that LC Number now appears in the Previously Approved column of the LC Master table, and extracted data from the current transaction appears in the In Progress column. The Previously Approved column is now read-only, and the In Progress column is editable. You can easily compare data points by clicking on different transactions in the Select Transactions to View Extractions box. Any transaction uploaded to TradeSun related to the same LC number will appear in this box; however, if there is no SWIFT message within the documents uploaded, the Current/Related Transaction Extractions box below will be blank.

You will note that some data has been automatically updated by TradeSun, and that some information needs to be updated manually. Please ensure that you review every data point, using the In Progress and Previously Approved columns for side-by-side comparison. To reconcile complex amendments, such as Amounts, click your cursor into the Extracted Text of the In Progress column to update the extraction. Once you have completed your review and made any necessary changes, click Confirm Review to enable the Next button on the main Data Extraction screen and continue your workflow.

#### *Additional Tools in the Master LC*

You will see icons in the Manage Master LC pop-up that also appear on the main Data Extraction screen. These tools can be used in the same way on both screens (as described above) to add or delete fields, save, or see text in the pink-colored view as TradeSun understands it using the Show Normalized button. You can also change field labels in the same way, by clicking your cursor into the Field column of the desired row and selecting from the dropdown menu.

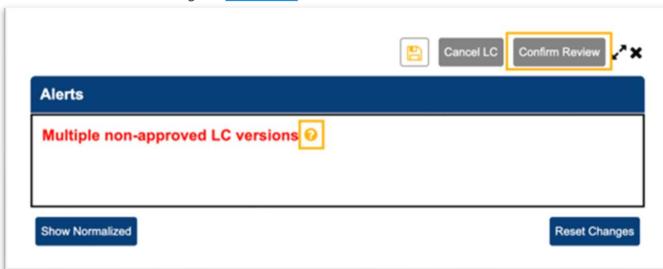
You can click on Reset Changes to undo any edits you have made to the In Progress column. Note that this will not undo all the automated changes performed by TradeSun – resetting will bring the LC Master table back to how it was on original auto-generation, before any user changes were applied.

The red Cancel LC button at the top of the pop-up can be used to cancel all transactions related to that LC number, and they will disappear from your work queue on the Work Queue screen. Note that this button will not be enabled until the transaction has been taken through the Detrimental Amendment flow and the cancellation indicated in 23S has been confirmed by the Beneficiary. Refer to [Detrimental Amendments LC Cancellation](#) to learn more.



## Alerts

Figure 8181818181: Master LC Alerts Window



The Alerts window at the top right of the Master LC pop-up will notify you of inconsistencies in SWIFT processing.

The possible alerts that might appear in the Alerts window, in red text, are as follows:

- **Amendment not in sequence:** If you hover over this text a tooltip will appear and the full message will read, "There is an earlier amendment that has not yet been fully processed. Please review before proceeding"
- **Multiple non-approved LC versions:** If you hover over this text a tooltip will appear and the full message will read, "Another version exists for this Master LC that hasn't been approved. This may impact the balances of the LC"
- **Master LC refreshed:** If you hover over this text a tooltip will appear and the full message will read, "One or more related transactions have updated the latest Master LC version. Please review."
- **Amendment(s) awaiting beneficiary's consent:** If you hover over this text a tooltip will appear and the full message will read, "One or more amendments are awaiting beneficiary's consent. Please record the response against such amendment(s)"
- **Transaction(s) blocked by Compliance:** If you hover over this text a tooltip will appear and the full message will read, "One or more related transactions are blocked by compliance. This transaction cannot be processed further."
- **Transaction(s) with non-workable conditions:** If you hover over this text a tooltip will appear and the full message will read, "One ore more related transactions have non-workable conditions. This transaction cannot be processed further"
- **Review required on account of sanctions re-screening:** If you hover over this text a tooltip will appear and the full message will read, "Sanctions re-screening in a related transaction has found new information that requires review. This transaction cannot be submitted until that review is complete" – not that this alert might also appear for re-screening that is required for the current transaction if applicable
- **Expired LC:** If you hover over this text a tooltip will appear and the full message will read, "This is an expired LC. Please review before proceeding"
- **Cancelled LC:** If you hover over this text a tooltip will appear and the full message will read, "This is a cancelled LC. Please review before proceeding."

Next to each alert is a question mark icon. If there are any alerts, you cannot press "Confirm Review" without toggling each question mark icon to a green checkmark, to indicate that you wish to bypass the alerts. Once all questions marks have been toggled to a green checkmark, the Confirm Review Button will become enabled and you can proceed in your workflow. If there



are no Alerts applicable to the LC Number, the following message will appear in green text in the Alerts window: "There are currently no alerts for this LC." TradeSun will check on the presence of alerts at various points in the transaction workflow to ensure that no transaction is submitted without being notified of the above. You may see a pop-up alert before submitting or performing Document Checking if any of the above alerts arise during the lifecycle of the transaction.

#### *Detrimental Amendments LC Cancellation*

In the Transaction Selection table, you will notice a Detrimental Amendment column that contains a checkbox and a dropdown, whenever the transaction you are working on is an amendment:

Figure [8282828282](#): Detrimental Amendment Column

Field	Extracted Text	Previously Approved
27 - SEQUENCE OF TOTAL	1/1	1/1
20 - SENDER'S REFERENCE	ILC00001369	ILC00001369
21 - RECEIVER'S REFERENCE	NONREF	NONREF
23 - ISSUING BANK'S REFERENCE	ILC00001369	ILC00001369
31C - DATE OF ISSUE	211101	190319
28E - NUMBER OF AMENDMENTS	2	UCP LATEST VERSION

This checkbox may be automatically selected by TradeSun when the application detects a detrimental amendment based on the extracted transaction data. If it has not been automatically selected, and if you determine that the amendment is detrimental, you may select the checkbox yourself. When the detrimental checkbox is selected, the user may not update the Master LC. Press "Confirm Review" on the LC Master Review popup and proceed with Compliance Screening for that transaction. When the Maker/Checker process has been completed and the transaction has been approved, it will enter the status "Awaiting Beneficiary Consent."

Once the Maker receives acceptance or rejection from the customer, they may re-enter the transaction and navigate to the LC Master Review pop-up. To indicate beneficiary consent, select either "Accepted" or "Rejected" from the Detrimental Amendment dropdown, and follow the prompts to provide documentation (either a document upload or a note to support the response). A record of this selection will be reflected in the Audit Trail and in the Transaction-Level notes, for future reference.

If accepted, the "In Progress" column of the LC Master will now be enabled. The Maker should make all required updates to this column at this time. Click "Confirm Review" and proceed to submit the transaction to the Checker for final approval.



If the LC indicates CANCEL in 23S then the Maker may move to cancel once beneficiary consent has been received. After indicating "Accepted" in the dropdown, the "Cancel LC" button will be enabled:

Figure 8383838383: Cancel LC Button



Click this button and proceed with the cancellation. The status will then change to "Ready for Checker" and the Checker will need to approve the transaction before the final transaction status of "Cancelled" will be enacted. All other active transactions under this LC will be cancelled as well.

#### Escalation Based on Line of Business

Before leaving the Data Extraction screen, and if the client Line of Business (LOB) is indicated in the transaction data (currently only supported in the API data transfer flow), TradeSun will analyze this information to confirm that your company maintains the KYC details for that LOB. Upon analysis, if the LOB is supported, you will be able to proceed to Compliance Screening without any escalation. If, however, the LOB is not supported, you will receive an alert similar to the following:

Figure 8484848484: Escalation Based on Line of Business



You can click "Review" at this point to review the LOB details in the transaction data, or you can click "Confirm" to proceed to Compliance Screening. Your confirmation of the alert will be recorded in the Audit Trail.

## 9. Issue/Discrepancy Review

Throughout the Compliance and Document Checking modules you will notice that each issue or discrepancy raised by the system requires review by the user. For Compliance issues, this is reflected as a question mark icon, indicating that review is required. For Document Checking discrepancies, this is reflected as a red "issue" icon (a circle with a line through it). Compliance reviewers can toggle the review icon to reflect issue (red circle) or non-issue (green checkmark).



Document Check reviewers can change the “issue” review to be non-issue (green checkmark) or waived (grey hand).

Figure [85858585](#): Issue/Discrepancy Review



Note that in certain review scenarios, especially in the case of a system review override (i.e., when the user reviews an issue differently than the system), the user may be required to leave a mandatory note. This is configurable by your company. When a mandatory note is required, a note window will open automatically as soon as the review icon has been toggled. Type a note in the text box and press “Add” to save your note. You will then be able to close the note window and proceed with your review.

Figure [86868686](#): Mandatory Note

## 10. Compliance Screening

Compliance Screening has a number of tabs with different focuses for review. Each tab is configurable, so you may or may not see all of the tabs in your view that are described here.



Additionally, depending on your company's choice of third-party provider, you may notice some variation in images or alerts as pictured below.

Figure 878787878: Compliance Screening

The screenshot shows the TradeSun Compliance Screening interface. At the top, there are tabs for Letters of Credit, Inquiry, Transaction Search, Documents Classification, Data Extraction, Compliance Screening, Documents Check, and Decision Summary. Below these are buttons for High Risk Analysis, Info Summary, Compliance Results, AML Tool, and various download and audit trail options. The main content area displays vessel information for the SEABREEZE (BOL Number: FLXT-FBDU8561631E) and地中海航运公司 (Mediterranean Shipping Company). It includes a 'Transaction Data Comparison' table with columns for Value, Transaction Data, Returned Data, and Review. The table lists fields like BILL OF LADING NUMBER, CONTAINER NUMBER(S), PORT OF DISCHARGE, PORT OF LOADING, and ON BOARD DATE. Below this is a 'PORT EVENTS' section with date ranges from 7/13/2019 to 9/11/2019. The bottom of the screen shows a reference number (G117105), a status message (Status: New), and copyright information (Copyright TradeSun®, Inc. All rights reserved).

### LC Workability Tab

Depending on your workflow/configuration, the product/transaction type, and the contents of your transaction, your Compliance screen may contain an LC Workability tab. The LC Workability tab will list non-workable conditions for LC issuances and amendments, and advise you as to potential discrepancies, contradictions, or terms that parties may wish to resolve or amend on the Letter of Credit.

Figure 888888888: LC Workability

The screenshot shows the TradeSun LC Workability interface. At the top, there are tabs for Work Queue, Inquiry, LC Workability, High Risk Analysis, Info Summary, Compliance Results, and AML Tool. Below these are buttons for COPY WORKABILITY LIST, DOWNLOAD, VIEW AUDIT TRAIL, SEND TO COMPLIANCE, and SUMMARY. The main content area is titled 'LC Workability' and shows a 'Consent Received' dropdown set to 'SELECT'. It lists 'Non Workable Conditions' with columns for Delete and User Review. The conditions listed are: LC ISSUANCE DATE IS AFTER THE LC EXPIRY DATE, SHIPMENT DATE AFTER THE LC EXPIRY DATE, and MATURITY DATE MAY BE IMPOSSIBLE TO CALCULATE (REFERENCE TO A DOCUMENT NOT REQUIRED BY THIS LC, PLEASE REVIEW FIELDS 4a/b, 4c/FIM). At the bottom, there is an 'Add Issue +' button and a 'NEXT' button.



The user must review each of these issues. You may do so by returning to the Data Extraction screen and making corrections, or by toggling the review icon(s) on the LC Workability tab to "Issue" or "Non-Issue". For all Non-Issue reviews, you must leave a note explaining your review.

You can also add additional workability issues if desired. Click on "Add Issue" in the bottom left corner of the screen and then type the issue in the new row that was added to the table. Note that you are able to delete user-added issues by clicking the trash can icon in the "Delete" column. You are not able to delete system-added issues, so you will not see a trash can icon for those issues.

Figure 8989898989: User-Added Workability Issues

This screenshot shows the TradeSun Compliance Screening interface. The top navigation bar includes links for Work Queue, Inquiry, and tabs for Work Queue, Documents Classification, Data Extraction, and Compliance Screening. The main content area is titled 'LC Workability' and displays a table of 'Non Workable Conditions'. A 'Consent Received' dropdown menu is open. At the bottom left, there is a button labeled 'Add Issue +' with a yellow box around it. The bottom right corner has a 'NEXT' button.

Clicking the "Copy Workability List" button will copy a list of all workability issues to your clipboard along with some introduction and conclusion text to be included in an email. Paste this into your email client or similar to communicate the workability issues to the appropriate parties.

Figure 9090909090: Copy Workability List Button

This screenshot shows the same TradeSun Compliance Screening interface as the previous one, but the 'COPY WORKABILITY LIST' button in the top right toolbar is highlighted with a yellow box. The rest of the interface is identical to the previous screenshot.

Once you have submitted the transaction with any Issues indicated on the Workability tab, and the checker has approved your review, the transaction will go into the status "Awaiting Workability Response".

Once you receive a response from the customer regarding the non-workable conditions, you will need to re-enter the transaction and navigate to the Workability tab. In the "Consent Received" dropdown you may select "Accepted" or "Rejected", and then you will be prompted to enter supporting notes and/or documentation.



Figure 9191919194: Consent Received Dropdown

You'll notice that the transaction-level notes will be updated for that transaction to reflect your response. You can then re-submit to the Checker for final review. Once Checker has approved your changes, the transaction will go into the status "Workability Blocked" or "Transaction Approved" based on whether you clicked on "Accepted" or "Rejected" in the "Consent Received" dropdown.

#### Vessel Information Tab

The Vessel Information tab houses data review in partnership with third-party API providers. Depending on your company's choice of third-party provider(s), results for Bill of Lading/container tracking searches and vessel information may be returned from one or more providers. Common third-party providers through TradeSun include MarineTraffic, Lloyd's List Intelligence (Informa UK Ltd.), and IHS Markit (S&P Global), though you may choose a different provider and request that TradeSun connect with them via API.

There is a separate window for each unique Bill of Lading number in the transaction (or any additional unique vessel name if it is presented outside of a Bill of Lading). Scroll down to see each window; the top left corner of the window indicates the applicable Vessel Name(s) and/or Bill of Lading number as reference. In the top blue bar of each window, there is a yellow "Get Data" button, followed by a number of checkboxes for different data points: B/L Number, Carrier Name, Vessel Name, and IMO.

Based on the information included in your transaction, you may conduct either a B/L-based search (on the left side of the screen), a Vessel-based search (on the right side of the screen) or both. Note that if you click either B/L Number or Carrier Name, then the other of those two checkboxes are selected as well.

Commented [JB1]: For all Compliance checks, we should add which fields are relevant to extract



Figure 9292929292: "Get Data" Button and Checkboxes

The screenshot shows a TradeSun interface for a vessel named SEABREEZE with BOL Number ONEYSELBD667800. A yellow box highlights the 'GET DATA' button and the checkboxes for 'IMI Number' (unchecked) and 'Vessel Name' (checked). Below the table, a search bar for 'MEDITERRANEAN SHIPPING COM...' is visible.

Transaction Data Comparison			
Value	Transaction Data	Returned Data	Review
BILL OF LADING NUMBER	ONEYSELBD667800	ONEYSELBD667800	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
CONTAINER NUMBER(S)	BSU9807891	BSU9807891.GAOU639386.TG.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
PORT OF DISCHARGE	<NO PORT> NORFOLK, UNITED STATES	SHANGHAI SHANGHAI, SH, CHINA	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
PORT OF LOADING	KARACHI PORT, KARACHI, PAKISTAN	BUSAN BUSAN, SOUTH KOREA	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>
ON BOARD DATE	31DEC2021	DEC 31, 2021	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>

Below the table, there is a 'PORT EVENTS' section with a search bar for 'Shipping Date' and 'Date of Delivery'.

If you are unable to select or de-select any of the boxes, it is likely due to your company's configurations, product requirements, and/or API subscriptions.

#### Vessel Name/IMO Search

If you have selected the Vessel Name and/or IMO checkbox, when you click "Get Data" a pop-up window will appear, providing you will all possible matches for the Vessel Name and/or IMO from the transaction. If no match is found for the IMO number, the search will be conducted based on the Vessel Name:

Figure 9393939393: Vessel Name/IMO Search Pop-up

The pop-up window has sections for 'Vessel Information', 'VESSEL NAME: ARJUL', and 'IMO:'. It lists 'POSSIBLE MATCHES' in a table:

SHIPNAME	TYPE_NAME	IMO	MMSI	SHIP_ID
ARJU	PRODUCT TANKER	9670444		12107184
ARJUN	TUG	9069669		13051800
ARJUN	TUG	5024398		213430
ARUL	TUG	8318465		245663
ARJUN	GENERAL CARGO	8866805		255490
NO MATCHES				

At the bottom are 'CANCEL' and 'CONFIRM' buttons.

You will see a list of possible matches, and you must select from that list by clicking the radio button next to the vessel that matches your search. Click "Confirm", and TradeSun will populate the vessel table with all relevant information about the confirmed vessel as per returned third-party data. You will notice there is one vessel table and one "Port Events" search bar for every vessel indicated on the same Bill of Lading, so one Bill of Lading window could contain multiple vessel tables. You can populate these individually or as a group by selecting and de-selecting the corresponding checkboxes.



Figure 9494949494: Populated Vessel Table

The screenshot shows a vessel search interface. At the top, there are two checked checkboxes: 'Vessel Name: SEABREEZE (bol-4)' and 'IMO: (bol-4)'. Below these are several input fields: 'Vessel Name' (SEABREEZE), 'Owner' (NAGASHIKI KISEN KK), 'IMO' (9472579), 'Flag' (LR), 'MMSI' (636021108), 'Vessel Type' (CONTAINER SHIP), and 'Manager' (OCEAN NETWORK EXPRESS PTE LTD). Underneath the table, there are date range inputs for 'From' (12/31/2021) and 'To' (3/1/2022), along with 'Search' and 'Clear' buttons. A 'PORT EVENTS' section is also visible.

If you receive a list of possible matches for your vessel, but none of them are true matches (e.g., there is a vessel name match, but with a different IMO) then you may select the “No Matches” option from the list and then press “Confirm Vessel.” If your search does not return any possible matches, you will do the same, selecting “No Matches” and clicking confirm.

Figure 9595959595: No Matches – Vessel Not Found

The screenshot shows a vessel search interface. At the top, it says 'Vessel Information' and displays 'VESSEL NAME: ZZZZZZZZZZ' and 'IMO:'. Below this is a section titled 'POSSIBLE MATCHES' with the sub-section 'Vessel not found'. It shows a table with columns: 'SHIPNAME', 'TYPE\_NAME', 'IMO', 'MMSI', and 'SHIP\_ID'. There is one row labeled 'NO MATCHES'. At the bottom right are 'CANCEL' and 'CONFIRM' buttons.

In either of the above scenarios, when no match is found via API then TradeSun will populate the vessel table as follows, with a large red X in the “Vessel Name” column:

Figure 9696969696: No Matches – Vessel Name Column

The screenshot shows a vessel search interface with a vessel table. The first row of the table has a large red 'X' in the 'Vessel Name' column. Below the table are date range inputs for 'From' (4/25/2021) and 'To' (7/27/2021), along with 'Search' and 'Clear' buttons. A message 'No data found' is displayed at the bottom.

You may choose to conduct a Port Events search to compile a list of calling ports for the purpose of Sanctions Screening (or, depending on your configuration, this may be mandated before proceeding). Transaction data has been auto-populated for the “From” and “To” dates as per the following:

**From: Date of Loading → To: Date of Discharge**

*If Date of Discharge is not available:*

**From: Date of Loading → To: Current Date**

*If above range is more than 60 days:*

**From: Date of Loading → To: Date of Loading plus (+) 60 days**

*If Date of Loading is not available:*

**From: Current Date minus (-) 60 days → To: Current Date**



Please note that the amount of days allowable in the search range (and, by extension, the “60 days” tolerance indicated above) is configurable, and your company may have chosen a different configuration. Contact your administrator to confirm your configured date range.

If desired, you can manually change the “From” and “To” dates to allow for any date range as per the configured tolerance identified by your company. When you are satisfied with your “From” and “To” dates indicating the date range for your search, click the “Search” button and you will see a list of every port event, scrollable vertically, along with a de-duplicated summary of all ports and all countries visited.

Figure 97979797: Port Events Search Results

The screenshot displays the TradeSun Port Events Search Results interface. At the top, there is a vessel summary table with columns: Vessel Name, Owner, IMO, Flag, MMSI, Vessel Type, and Manager. The vessel listed is Smiley Lady, owned by AIMS Shipping Corp, with IMO 9150406, Flag Bahamas, MMSI 311008990, Vessel Type Container, and Manager Aims Shipping Corp. Below this is a search bar with "From" set to 6/25/2021 and "To" set to 7/17/2021, with buttons for "Search" and "Clear". The main content area is titled "PORT EVENTS" and shows a table of port events. The columns are: TIMESTAMP\_LT, MOVE\_TYPE, TYPE\_NAME, PORT\_NAME, UNLOCODE, and COUNTRY. The data in the table includes:

TIMESTAMP_LT	MOVE_TYPE	TYPE_NAME	PORT_NAME	UNLOCODE	COUNTRY
2021-07-17T18:24:09	Departure	fully cellular containership	Tuticorin	IN TUT	IND
2021-07-16T16:01:48	Arrive	fully cellular containership	Tuticorin	IN TUT	IND
2021-07-16T15:49:49	Departure	fully cellular containership	Tuticorin Anchorage		IND

Below the table, there are sections for "Ports Visited:" (Tuticorin, Tuticorin Anchorage, Colombo Anchorage, Colombo, Al Fujayrah Anchorage, Jebel Ali) and "Countries Visited:" (IND, LKA, ARE). At the bottom left is a red "CLEAR ALL VESSEL DATA" button.

You can clear all the search criteria from the Port Events search by pressing “Clear.” If you do this without then performing a new search, and if you are using TradeSun services for Sanctions Screening, then no calling port data will be screened from a sanctions perspective.

The “Clear All Vessel Data” button will clear all data from any vessel search. So, if pressed, any information returned in any Vessel table or any port events search will be deleted.

#### Bill of Lading (B/L) Search

Depending on your third-party provider, you may see a carrier dropdown menu beside the “Get Data” button. If this dropdown is present and you have selected B/L Number and Carrier Name in the top blue bar, you will also need to confirm the Carrier Name for that Bill of Lading before pressing “Get Data.” You will do so by selecting the carrier from the dropdown above the check box. If the carrier indicated in the transaction is not available in the dropdown, that means that this carrier is not currently supported by the provider. In this case, select “Carrier not found”, and then proceed with your workflow, skipping the B/L search. If the carrier dropdown is present, you will not be able to perform the B/L search without confirming a supported carrier.



If no carrier dropdown menu appears, you do not need to select a carrier; instead, simply press “Get Data” to return the results of your B/L search. For providers that do not require carrier confirmation, the top blue bar of your screen will appear this way:

Figure 9898989898: Vessel Info Tab – No Carrier Dropdown



When you click “Get Data” (and after interacting with the Vessel Search pop-up if applicable) you will notice that the Transaction Data Comparison table on the left side of the screen has been populated in the “Returned Data” column:

Figure 9999999999: Transaction Data Comparison Table

Transaction Data Comparison			
Value	Transaction Data	Returned Data	Review
B/L Number	DNYCDAC00437627	DNYCDAC00437627	
Container Number(s)	BMOU5562532	BMOU5562532	
Vessel Name	SMILEY LADY	SMILEY LADY	
Voyage Number	V063	063	
Port of Loading	COLOMBO PORT, COLOMBO, SRI LANK...	COLOMBO	
Port of Discharge	TUTICORIN PORT, TUTICORIN, INDIA, ASIA	TUTICORIN	
On Board Date	6252021	6252021	
Description of Goods	REF / P O NO. VA002594, STYLE # YC10...	NOT AVAILABLE VIA API	

You may also notice a de-duplicated summary of all ports and all countries visited, below the Transaction Data Comparison table (based on the returned data via API) that can be used for the purpose of Sanctions Screening.

If any vessels are returned from your search that aren't indicated in the transaction data, TradeSun will create a new vessel table in the Bill of Lading window to allow you to conduct vessel screening for the additional vessel(s). You will see the vessel name(s) added to the top bar with a checkmark next to it – you can select the corresponding checkmark and press “Get Data” to perform that search.

If there is more than one returned data point for a value in the Transaction Data Comparison table, all of the data will be listed, comma separated, in the same Returned Data cell. So if, for example, there are three container numbers, all three container numbers will appear in the same cell, separated by a comma.

Currently, “Description of Goods” is not a data point that is available through any of TradeSun’s third-party data providers. It is included in the Transaction Data Comparison table in case you have access to that information elsewhere and would like to show your review here.



You can perform a review on each of these data fields, indicating if there are any inconsistencies by toggling the review icons between the “Issue” icon and the “Non-Issue” icon, or back to the “Review Required” icon:

Figure 100100100100100: Review Icons



For any issue that you identify, you are required to make an explanatory note. A “notes” window will pop up under the pencil icon in the review column, and you can add a note in the same way that you would for a Transaction-Level Note. You will notice that once you make a note, a red dot will appear over the icon, indicating the presence of a new note. To review notes made by other users, you can click on the pencil icon, in which case the red dot signifying a new note will disappear. If you wish to leave the red dot as a notification for the next user to indicate an unread or new note, you can simply hover over the pencil icon and the content of the most recent note will appear as a tool-tip.

Once all vessel information has been reviewed, and once all question mark icons have been switched to checkmarks or “Issue” icons (unless the B/L Number check is not required/active), the “Next” button will become enabled. Press this button to carry on to the next tab.

### High Risk Analysis Tab

Figure 101101101101101: High Risk Analysis Tab

On this tab you will review all potential red flags raised by the system based on the following risk types. These risk types and their triggers are configurable by your company, so you may or may not see all risk types in your configuration:

- High Risk Industry
- High Risk Goods
- High Risk Jurisdiction



In the top part of the screen you will see the High Risk Analysis table:

Figure 102102102102402: High Risk Analysis Table

High Risk Analysis					
Risk Type	Triggers	Potential Risk Flag	Source	System Review	User Review
High Risk Industry	NAICS	No Flags			
High Risk Goods	HS Codes, Keywords, Party Names	apparel	INV		
High Risk Jurisdiction	Calling Port Countries, Exporter/Importer Countries	No Flags			

This table will allow you to review and make notes on all potential red flags that have been automatically found by TradeSun, along with any flags that you or your colleagues may have found within the transaction. To see the full context of a flag, or to add a flag yourself, double-click on the flag you would like to review or scroll down to the bottom of the screen to the Transaction Data view. This will appear differently depending on whether your transaction was generated via data transfer API or Document API/Upload:

Figure 103103103103103: Transaction Data: Data API View

Field	Description	Source
45a - DESCRIPTION OF GOODS AND OR SER	400000 Dia	System
MERCHANDISE	Diamonds	System
HS CODE	62052000	System
CURRENCY	USD	System
UNIT PRICE	123.12	System
MEASUREMENT	Per KG	System
Port of Loading	Iran	User
Port of Discharge	Italy	User

Risk Type	Description	Source
High Risk Goods	Diamonds	System
High Risk Jurisdiction	Iran	User

Figure 104104104104104: Transaction Data: Document API/Upload View

Risk Type	Description	Source
High Risk Goods	apparel	INV



The main difference between these two views is that you can navigate between documents in the Document API/Upload view, to see which flags were found on each document. Regardless of which view you have, you are able to add your own issues based on your review of the transaction. All user-added issues can be deleted, as evidenced by the trash can icon next to them, but system-added issues cannot be deleted. You can add an issue by clicking "Add Issue" in the bottom left corner of the Transaction Data table. When you do this, a new row will appear. Select the risk type from a dropdown and then indicate the issue description either by manually typing or by Click-to-Pick from the document/transaction data viewer on the left. Once you "lose focus" on the Description cell in the table, either by releasing the mouse via Click-to-Pick or by clicking out of the Description cell, then your issue will be added to the High Risk Analysis table above. You will be required to make a note in the note dropdown window for that issue. If you delete a user-added issue from the Transaction Data table, it will be deleted from the High Risk Analysis table as well. If you manually edit/change an issue below, the changes will be reflected above.

#### *Mandatory Notes Validation*

There is specific validation that dictates when you are mandated to leave a note as part of your review. This validation is as follows:

- If the user review disagrees with the system review (for example, if you indicate "Issue" in your toggle review, and TradeSun indicates a "Non-Issue", or vice-versa), then the notes window will automatically pop up. You will not be able to close the notes window until a note is made or you toggle to a different review icon.
- In the case of a user-added issue, you will need to make a note as soon as you add the issue. If you toggle again to change the review, you will need to make a note for every review toggle. The notes will automatically pop up as soon as you toggle, and you will not be able to close the notes window until a note is made.

You can review notes captured by TradeSun by clicking on the system notes icon in the System Review column. Once you have reviewed all potential red flags and toggled all question mark icons to reflect your review as either "Issue" or "Non-Issue", you will be able to progress to the next tab by clicking on the "Next" button on the bottom right corner of the screen.

#### **Info Summary Tab**

On this tab you will be able to review the information that will be sent to all of the applicable checks, and gather any extra information that might be required for screening. In the columns to the right, you will notice either a question mark icon, a checkmark icon, or a white checkmark in a shaded box. The icons show you exactly which data points will be used for which checks.

All items that are ready to be sent for screening (i.e. those that do not require user review) are indicated with a checkmark, while those that require review or more information from the user are indicated with a question mark. Any data points that have been newly added or edited in the data extraction screen will appear with one of these two indicators. Items that have been submitted and sent to the applicable screening services are indicated by a white check mark in a shaded box.



Figure 105105105105105: Info Summary Icons



You will see a “Check” button at the top of some columns. This button allows you to perform the necessary review on all data points at the same time. Clicking on this button will reveal a pop-up window, prompting you for further information. The “Check” pop-ups described below can also be accessed by clicking the question mark icon in the column below.

Figure 106106106106106: Info Summary Tab

Field	Extracted Text	Source	ESG	Anti-Boycott	REG TO COMPLIANCE	REG TO TRADE	FATCA	Sanctions Screening
32B - CURRENCY CODE AMOUNT	USD 11,515.20	LC-13	✓	?	✓	✓		
31C - DATE OF ISSUE	190219	LC-13	✓	?	✓	✓		
DELIVERY TERMS	CIF	LC-13	✓	?	✓	✓		
47A - ADDITIONAL CONDITIONS	1. ALL AMENDMENT BANKING CHARGES ARE FOR THE ACCOUNT OF THE BENEFICIARY. ISSUING BANK:AMENDMENT CHARGES 1/10 ...	LC-15	✓		✓			
45A - DESCRIPTIONS OF GOODS AND OR SERVICES	BRAKES AND SERVO-BRAKE PARTS, 1.3.3 TRINITYAZETONE	LC-13	?	?	?	?	?	?
DESCRIPTION OF GOODS	SAID TO CONTAIN - SHIPPER'S LOAD STOW & COUNT (SLAC)	BOL-7	?	?	?	?	?	?
PLACE OF FINAL DESTINATION	NORFOLK, VA	INV-4					?	?
PORT OF LOADING	CHITTAGRAM, BANGLADESH	BOL-7					?	?
PORT OF LOADING	CHITTAGRAM, BANGLADESH	SHRN-10					?	?

#### Environmental, Social, and Governance Pop-Up

You will notice some question mark icons in the ESG column of the Info Summary. This column does not have a “Check” button as each data point must be reviewed individually. Click on any question mark icon in the ESG column and a pop-up will appear, allowing you to search for a match to the party name from the transaction:

Figure 107107107107107: ESG Pop-Up

**Environmental, Social, and Governance**

PARTY NAME ABCDE INTERNATIONAL INC

PARTY ADDRESS

POSSIBLE MATCHES

PARTY NAME	ADDRESS
ABCDE International Inc	ABCDE International Cayman Limited
ABCDE International Group, Inc.	ABC Avenue Of The Americas Fl. C3
ABC INTERNATIONAL SERVICE CENTER, INC. EUROPE	Building 3
Ale International Inc	Ale Magna Dr
ABCDE International Inc.	ABC S Mint St
ABC Power International,Inc.	ABCDEFHJKLM Inner Street, Xicheng District
ABCDEF POWER INTERNATIONAL, INC.	ABCDEFHIJL 11/F HARBOUR CTR

**Cancel** **Search**



Select the correct match, but clicking on the corresponding radio button, and the pressing "Confirm" – the icon for this party will then change from a question mark to a checkmark.

#### Dual-Use Pop-up

Accessed by pressing "Check" in the Dual Use column, this pop-up allows the user to confirm which lists will be used to screen for Dual-Use Goods. This can be a default that is set by your company and cannot be changed, or it can be identified by the user on a case-by-case basis, depending on your configuration. You will click on the appropriate box to select all the lists that are required, unless prevented from doing so by your internal company configuration.

Within this pop-up you can also add additional goods to screen by clicking on the "Add a goods check" button. Any text you add in here will also be sent for screening for Dual-Use Goods.

Figure 108108108108108: Dual-Use Goods Pop-up

The screenshot shows a modal dialog titled "Dual-Use Goods Check". It contains two sections, "Goods Description 1" and "Goods Description 2", each with a list of items and checkboxes for selecting regions. A "CONFIRM" button is at the bottom right.

Goods Description 1	
PO NO: VA000044 STYLE: NAME: T-SHIRT COTTON HERITAGE PO SHIP DATE 26 APRIL 2019 ITEM DESCRIPTION YOUTH 100 PERCENT COTTON SHORT	<input checked="" type="checkbox"/> All <input type="checkbox"/> US <input checked="" type="checkbox"/> UK <input checked="" type="checkbox"/> UAE <input checked="" type="checkbox"/> JP <input checked="" type="checkbox"/> EU <input checked="" type="checkbox"/> RU <input checked="" type="checkbox"/> DEA <input checked="" type="checkbox"/> CN <input checked="" type="checkbox"/> HR <input checked="" type="checkbox"/> PK

Goods Description 2	
STYLE # YC1040 YOUTH 100 PERCENT COTTON SHORT SLEEVE TEE IN 145 GSM COLOR: ROYAL 500 SUB TOTAL UNITS: INFANT 100 PCT COTTON SHORT	<input checked="" type="checkbox"/> All <input type="checkbox"/> US <input checked="" type="checkbox"/> UK <input checked="" type="checkbox"/> UAE <input checked="" type="checkbox"/> JP <input checked="" type="checkbox"/> EU <input checked="" type="checkbox"/> RU <input checked="" type="checkbox"/> DEA <input checked="" type="checkbox"/> CN <input checked="" type="checkbox"/> HR <input checked="" type="checkbox"/> PK

The available lists/region filters are based on S&P Global (formerly IHS Markit) Dual-Use Goods lists, as follows:

- ALL: All Lists
- JP: Japan
- CN: China
- US: United States
- EU: European Union
- HR: European Union Human Rights Regulation
- UK: United Kingdom
- RU: Russia
- PK: Pakistan
- UAE: United Arab Emirates
- DEA: INCB/DEA Controlled Substances and Regulated Chemicals

Once you have confirmed the lists you would like to check for each Goods Description, and added necessary checks, click "Confirm" and you will notice that all the Dual-Use question mark icons have been updated to checkmarks, indicating that no further review is needed. You will also notice that any added checks will be reflected here as new rows, with a checkmark in the Dual-Use column.



### Fair Price Pop-up

A Fair Price Check can be configured so that it is only required in certain scenarios, such as a mandatory check based on review of the High Risk Analysis tab. As a default, however, the Fair Price check is mandated for every unique merchandise. These criteria are configurable by your company, to allow the Fair Price check in any scenario that you define.

If a Fair Price Check is required, when you land on the Info Summary tab you will be asked to confirm whether you can determine the unit price. If you say "Yes", then the system will configure itself so that a Fair Price Check may be conducted. If you say "No", then the system will configure itself so that the Fair Price Check is bypassed, as you will need to conduct the check manually.

Figure 109109109109109: Unit Price Confirmation



Upon selecting "Yes" for Unit Price confirmation, you will be able to access the Fair Price pop-up on the Info Summary tab by clicking the "Check" button in the Fair Price column.

This pop-up is where you will identify and/or confirm each HS Codes for each Merchandise data field in the transaction. You will see all Merchandise data fields in the left-most column. Any HS Codes that have been provided in the transaction data will appear here next to the corresponding Merchandise data field. You will need to confirm this HS Code via an external lookup, adding an HS Article Description in that column if desired (note that the Article Description is not required to conduct the check).

Figure 110110110110410: Fair Price Pop-up



If the HS Code has not been provided as part of the transaction data, you will need to look it up yourself and then add it in the HS Code column. You can also add the HS Article Description in that column for reference.

If you would like to pause your HS Code verification and continue later, you can click "Save and Close" and all of your work will be saved. Otherwise, you can complete your review and click "Confirm" to return to the Info Summary, where all of the question mark icons will have turned to checkmarks, indicating that the review is complete. Note that the icons remain question marks until you have confirmed, even if you save and close, and you are not able to click "Confirm" until there is an HS Code provided for every Merchandise data field.

Once you have cleared all question mark icons and only checkmarks remain on the Info Summary tab, press "Send for Screening" and you will send all the indicated data to the appropriate APIs for screening and be brought to the next tab.

### Compliance Results Tab

On this tab you will find all the results of the screening done for all applicable Compliance Checks. Depending on your company configurations and product requirements, this tab may house tables for any of the following checks:

- Fair Price Check
- Dual-Use Goods Check
- Anti-Boycott Language Check
- Sanctions Screening
- Environmental, Social, and Governance (ESG) Scoring

#### Fair Price Check Table

Commented [JB2]: Breakdown incoterms details, trade directions, etc.

The Fair Price Check Table appears as follows:

Figure 11111111111111: Fair Price Check Table

Fair Price Check						
Merchandise	Unit Conversion	Acceptable Price Range	Transaction Price	Problem Type	System Review	User Review
1000 MTS ...	KG-MTS	\$641.26-84...	\$10500.00/...	Over Invoici...		
100 MTS O...	T-MTS	\$605.09-11...	\$507.49/MTS	Under Invoic...		
1000 MTS ...	KG-MTS	\$641.26-84...	\$10500.00/...	Over Invoici...		



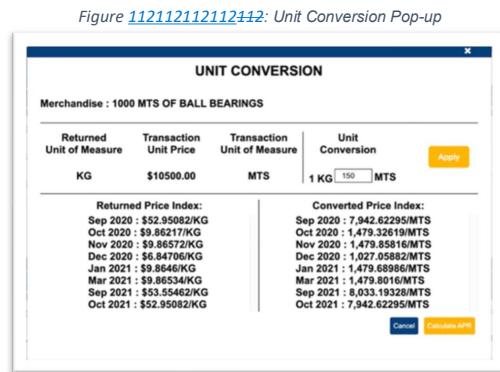
Here is how each column of this table is populated:

Column	Description
Merchandise	The applicable Merchandise data field from your transaction, for reference.
Unit Conversion	If units were converted as part of the Fair Price Check, you will see that conversion here, with the returned unit on the left and the transaction unit that it was converted to on the right.  A question mark icon indicates that manual unit conversion is required. See below for a description of that process.
Acceptable Price Range	Acceptable Price Range (APR) will appear here indicating the lowest and highest unit price that is accepted for that unit of measure. This is based on a calculation using the Price Index and a customer configurable tolerance, which can be viewed by clicking on the page icon in the "System Review" column. See below for details on how the APR is calculated.  If manual unit conversion is required, this column will be blank until after the conversion is complete.
Transaction Price	Unit price as per the transaction.
Problem Type	<b>Within Tolerance:</b> This indicates that the transaction unit price falls within the APR. <b>Over-Invoicing:</b> This indicates that the transaction unit price is above the APR. <b>Under-Invoicing:</b> This indicates that the transaction unit price is below the APR. <b>Conversion Needed:</b> APR cannot be calculated because manual unit conversion is required. Once the user applies a manual unit conversion and calculates the APR the problem type can be determined. <b>Undetermined:</b> When first landing on the Info Summary tab, you would have seen a pop-up asking if you were able to determine the Unit Price. If you selected "No" in this pop-up, and once you land on the Fair Price Check table on the Compliance Results tab, you will see "Undetermined" as the Problem Type for all Merchandise data fields in this transaction. Being unable to determine the unit price means that you will need to perform a manual Fair Price Check, and so the rest of this table will be blank. In this case you may use the notes and review icons in the "User Review" column to reflect your own manual review. <b>Missing Data:</b> This indicates that some of the information that is required to run a fair price check has not been provided in the transaction. If you click on the system notes icon in the "System Review" column you will see the specific data points that are missing. <b>No Data Available:</b> This indicates that all of the required data to run a search was provided in the transaction, but there was no reported pricing data available from the third party. Specifically, based on the issue date provided for the transaction, there was no trade information available for that HS Code between the import and export country.
System Review	TradeSun will automatically review each transaction price to determine if a Fair Price issue is present. If TradeSun determines that Over-Invoicing

Column	Description
	<p>or Under-Invoicing has taken place, the system will indicate an “Issue” with a red crossed-out circle.</p> <p>If the transaction price is within tolerance, TradeSun will indicate a “Non-Issue” with a green checkmark.</p> <p>If TradeSun was not able to perform a review due to lack of unit conversion, then TradeSun will indicate a question mark icon showing that no review has been completed.</p> <p>In this column TradeSun will also show a yellow page icon which, when clicked, displays the returned price index for reference. This is always shown in the converted Unit of Measure to reflect the Unit of Measure as per the transaction price, unless no conversion has yet occurred.</p>
User Review	<p>To complement the System Review, TradeSun requires the user to perform their own review as well. You are not required to agree with the System Review – if the system indicates an “Issue”, you may indicate a “Non-Issue”, or vice versa.</p> <p>Please refer to the section on <a href="#">Mandatory Notes Validation</a> to inform on when you must leave a note to accompany your review.</p>

### Manual Unit Conversion

If manual unit conversion is required (i.e., you see a question mark icon in the “Unit Conversion” column), click on the icon and you will see a unit conversion pop-up as follows:



You will see the returned unit of measure on the left, and the transaction unit of measure on the right. Indicate your desired unit conversion in the Unit Conversion box and click the “Apply” button. You will see that the Converted Unit Price Index below has been updated to reflect your indicated conversion. If you would like to change the conversion rate, you may update the Unit Conversion box and click “Apply” again. Once you are satisfied with your Converted Price Index click “Calculate APR” to calculate the Acceptable Price Range and complete the Fair Price Check for that Merchandise. TradeSun will then populate the Fair Price Check table with the results.

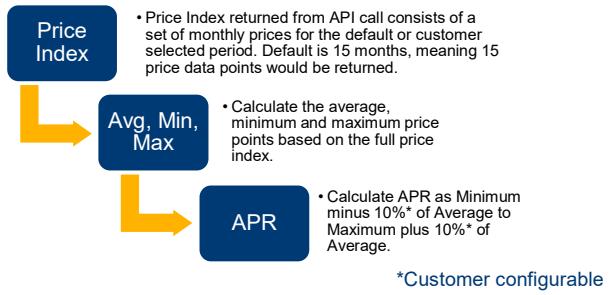
You will notice that for all manual unit conversions, there is a magnifying glass icon in the “Unit Conversion” column. If you click on this icon you are taken back to the unit conversion pop-up,



so you can see the conversion that was applied. If you would like to change the conversion rate, update the Unit Conversion box, click "Apply". Then click "Calculate APR" again and the Fair Price Check table will be updated accordingly.

### Acceptable Price Range

The Acceptable Price Range (APR) is calculated as follows:



### Dual-Use Goods Check Table

The Dual-Use Goods Check Table appears as follows:

Figure 113113113113113: Dual Use Goods Check Table

Dual Use Goods Check						
Input	Dual Use	Key Word	Reason For Match	List(s)	Confidence	Review
1000 MTS O...	YES	Ball Bearings	Ball Bearing..	BY,RU1	100%	

Here is how each column of this table is populated:

Column	Description
Input	The Description of Goods annotation that was sent for screening. This will be the full text from 46A or the Description of Goods annotation in a document, or from the "Added Check" text that was input on the Info Summary tab.
Key Word	The part of the Description of Goods data field that was identified as notable from a Dual-Use perspective.
Dual-Use	Indication of whether there was a red flag identified or not. "Yes" means there was a dual-use flag identified, and "No" means there is no dual-use flag.
Reason For Match	If a dual-use flag was identified, this column will summarize the reason for the match. You can see more details about the analysis results by clicking on the yellow page icon, which will display countries, regional codes, commodity category descriptions, commodity sources, and links to commodity source PDFs.
Lists	This is an indication of which list(s) found that keyword notable.
Confidence	This is the confidence level of the Dual-Use flag (as per the third-party provider).



Column	Description
Review	To complement the Dual-Use flag identified by the system, TradeSun requires the user to perform their own review. You are not required to agree with the Dual-Use flag – if the system indicates a Dual-Use flag, you may indicate a “Non-Issue”, or vice versa. Please refer to the section on <a href="#">Mandatory Notes Validation</a> for information on when you must leave a note to accompany your review.

#### *Anti-Boycott Language Check Table*

TradeSun performs the Anti-Boycott Language Check “in-house”, meaning that a third-party is not utilized for this check. TradeSun will analyze Description of Goods fields as well as the Additional Conditions in LC 47A to screen for the following words and/or phrases:

- Arab Boycott of Israel
- Arab League boycott committee
- Arab boycott regulations
- Arab Embargo and Boycott Regulations
- Arab Israeli Boycott Black List
- Arab League
- Arab League Boycott Committee
- Bahrain
- Bahrain Government
- Blacklist
- Boycott list
- Boycott of Israel
- Boycott Provisions
- Countries not eligible to trade
- Goods of Israeli origin
- Israel Boycott
- Israel boycott laws
- Israel boycott list
- Israel Boycott Office
- Israel Boycott Office Rules
- Israeli
- Israeli Boycott
- Israeli Boycott List
- Israeli Boycott Provisions
- Israeli capital
- Israeli material
- Israeli materials
- Israeli national
- Israeli origin
- Israeli ports
- Israeli raw materials
- Kingdom of Saudi Arabia regulations
- Kuwait import regulations
- Lebanese port
- Must not be of Israeli origin
- Originating in Israel
- Permitted to enter Arab ports
- Processed in Israel
- Royal Oman Police
- Services of any Israeli organization
- To enter Arab ports

The Anti-Boycott Language Check table on the Compliance Results tab contains only two columns, The Key Word or Phrase column, indicating which word and/or phrase from the above list was found in the transaction, and the Review column, where the user can perform all necessary review. As with the Review column in all other tables, you are required to make a note explaining any “Issue” you identify in this column. You can do this by clicking on the pencil icon. You will notice that once you make a note, a red dot will appear over the icon, indicating the presence of a new note.



### Sanctions Screening Table

Figure 114114114114114: Sanctions Screening Table

Sanctions Screening			
Description	Match Found	Case Id	User Review
Managing Di...	✗		📄 ?
seabreeze	YES	5jb6vpp5ey...	📄 ✗
brakes and ...	NO	5jb7t5a04fc...	📄 ✓
Said to Cont...	NO	5jb7ph2xkr2...	📄 ✓
NORFOLK, VA	NO	5jb6vpp5ey...	📄 ✓

If your transaction requires Sanctions Screening through Refinitiv World-Check One, a Sanctions Screening table will appear on the Compliance Results tab. The table will contain a description of the specific text that has triggered the check, and the Match Found column will be populated by a “Yes” or “No”, depending on whether a match has been found in Refinitiv, and indicating whether any mandatory action is required in the Refinitiv UI (external to TradeSun). Each data point will have a unique Case ID, generated by Refinitiv and displayed in the Case ID column. A red “X” in the Match Found column indicates that no Case ID has been generated, and that there is an issue obtaining the appropriate data from World-Check.

If there is no match found, TradeSun will automatically indicate this as a “Non-Issue” with a green checkmark in the System Review column. The system notes within that column will also indicate that no match is found, and no user action is required. TradeSun will automatically mark all “Yes” matches with a question mark icon until user review has been completed in Refinitiv. System notes for “Yes” matches will remain blank until reviewed in Refinitiv and will subsequently be auto-populated by the content indicated by the reviewer.

Once review has been completed in World-Check, the review icons in the Sanctions Screening table will appear as follows: a green checkmark for false matches (i.e., non-issues), a question mark icon for pending and unknown matches, and a red “Issue” icon (a circle with a line through it) for all true matches (i.e., issues).

The User Review column in the Sanctions Screening table may or may not be visible to you, depending on your configuration. If visible, the user will need to toggle to the appropriate review icon in TradeSun before moving forward.

Depending on your configuration, TradeSun may conduct a delta screen on any data point that has already been screened in the past rather than conducting a completely new screening. This means that TradeSun will check to see if an exact match of that data point has already been screened, and if it has, TradeSun will use the most recently reviewed CaseID to conduct a delta screen: Refinitiv will inform if there is anything new to review for that data point since it was last reviewed. If nothing new, TradeSun will replicate the most recent review outcome, showing that in the UI. So “Match Found” might be “YES” but the review icon will show “issue” or “non-issue” and the system notes will show the date and time of previous reviews.



Similarly, your configuration might also be set up to conduct re-screening on any data point that has been screened previously. This means that periodically (the default is once per day) TradeSun will delta screen all data points from any live transaction (i.e., any transaction or its related issuances/amendments for which the Document Presentation has not been approved). If any data point requires review due to re-screening the transaction status will change accordingly, and review icons in all relevant transactions will revert to a question mark, indicating review required.

### AML Tool Tab

Figure 115115115115415: AML Tool

Red Flag ID	Red Flag	Supplemental Questions	Yes	No	N/A	Rationale Behind Decision
1	<p><b>Red Flag Guidance</b></p> <p>Transactions where the structure of the transaction is so complex that it could obscure the true nature of the transaction. While trade finance transactions may take on complex structures, they should be structured appropriately to support the underlying commercial rationale.</p> <p>Characteristics to consider include the structure of the transaction, the overall use of the trade product, and anything that may be an attempt to confuse or cloud the reviewer.</p>	<p><b>Red Flag Examples</b></p> <ol style="list-style-type: none"><li>1) Requests that payment be made to a 3rd party intermediaries/trade mere/agents without commercial rationale?</li><li>2) Involvement of 3rd party intermediaries/agent in documents or transaction without commercial rationale?</li><li>3) Transport document is consigned to a 3rd party with no clear role, or to a 3rd party beneficiary?</li><li>4) Party requesting payment to a 3rd party refuses to complete an Assignment of Proceeds.</li></ol>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
		<ol style="list-style-type: none"><li>1) Does the transaction involve 3rd party intermediaries/trade mere/agents without commercial rationale?</li><li>2) Have we received requests to pay a 3rd party without a commercial rationale?</li><li>3) Does the party requesting payment to a 3rd party refuse to complete an Assignment of Proceeds?</li><li>4) Is it a letter of credit, is it being unreasonably amended, e.g. extensions, new terms, new documents, payment location, or beneficiary's name?</li><li>5) Have we received, or does the letter of credit call for a transport document consigned to (or notify) a 3rd Party with no connection to the transaction? (e.g. same a transport-forwarding company with no connection to the shipment routing?)</li><li>6) Is payment to be made for no obvious reason to an account outside of beneficiary's country?</li></ol>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

On this tab you will answer questions about your transaction, indicating Yes, No, or N/A (Not Applicable) responses. For every "Yes" or "N/A" response you must include a rationale behind your decision in the "Rationale" column.

The two buttons on the bottom right corner of the tab allow you to store or erase your responses. Pressing the "Clear" button will remove all your responses in the "Yes", "No", and "N/A" columns, as well as anything you typed in the "Rationale" column. Pressing the "Save" button will save a version of the checklist, including all your responses, which can be viewed in the Audit Trail.

You must answer all the questions before pressing "Submit". If you would like to close your transaction before answering all questions, you may save your transaction by pressing the yellow "save" button (that looks like a floppy disc) and return to it later by accessing it from the Work Queue screen.



### *Automated Answers in the AML Tool*

You may notice that some questions are automatically answered for you. When this happens, TradeSun will automatically populate the radio button, and will add notes in the Rationale column. System notes that are automatically generated will appear at the top of the cell in the Rationale column, and there is a place for you to add user notes in the bottom half of the cell. You are unable to edit system-level notes – only your own notes can be edited and changed.

Questions that are currently answered for you based on transaction data and Compliance Checks are as follows (note that all of the following questions may not appear in your UI, as the AML tool is configurable and your administrator may have chosen to omit some):

#### **Question 1.7**

If the Fair Price check is enabled in your environment, when you first land on the Info Summary tab you will have seen a pop-up asking if you were able to determine the Unit Price. If you selected “No” in this popup, this will be reflected within the AML Tool for Red Flag 1 (Structure overly complex / Involvement of 3<sup>rd</sup> parties); Supplemental Question 7: “Is there something else that you feel is obscuring the true nature of the transaction or parties involved?” You will see a system note as follows:

Undetermined Unit Price: Verified by <USERNAME>

<USERNAME> will be the system User ID for whomever clicked “No” in the pop-up asking if the user was able to determine the Unit Price.

#### **Question 8.2**

This is Red Flag 8 (Merchandise description indicates equipment for military or police organizations of foreign governments, weapons, ammunition or dual-use goods. Such merchandise may require an export license); Supplemental Question 2: “Does the transaction involve shipment of military related goods, or merchandise that could be dual-use goods?” This will be automatically answered “Yes” if a Dual-Use Goods flag has been identified. The System Notes will display the keyword from the flag, along with the “Reason for Match” from the Dual-Use Goods Check table.

#### **Question 9.2**

This is Red Flag 9 (Pricing and/or quantity of goods appear to be obviously irregular); Supplemental Question 2: “If the goods are a “High Risk” product (diamonds, clothing and textiles in particular second-hand textiles, portable or handheld electronics and auto parts or vehicles), does the pricing appear to be obviously or blatantly irregular after pricing check is conducted using open sources, where possible?” This will be automatically answered “Yes” if a High Risk Industry or a High Risk Goods red flag is accepted by the user as an issue on the High Risk Analysis tab. The System Notes will contain details about each red flag that was found.

#### **Question 12.1**

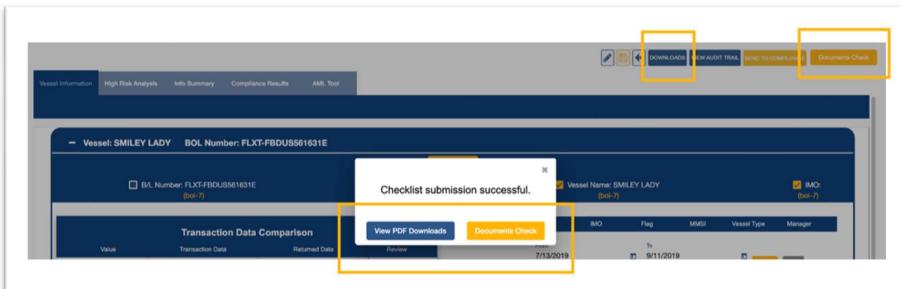
This is Red Flag 12 (Transactions involving very high risk jurisdictions); Supplemental Question 1: “Does the transaction involve two or more different Very High Risk jurisdictions, e.g. counterparty, middleman, bank, origin of goods, port of loading, port of discharge etc.?” This will be automatically answered “Yes” if the user accepts two or more High Risk Jurisdiction red flags as issues on the High Risk Analysis tab. The System Notes will contain details about each red flag that was found.



## Downloads

Once you have confirmed your Compliance review, and any time you revisit the Compliance screen, you can access downloads in three ways: by clicking on the “Downloads” button at the top of the Compliance screen, by clicking the “Submit” button (in the “Compliance Only” workflow) or the “Check Documents” button (in the “Compliance plus Doc Check” workflow), and then following the prompts in the pop-up to view Downloads. Note that if you are proceeding to Document Checking you do not need to view the Downloads. You may select “Documents Check” in this pop-up instead to carry on to the next screen.

Figure 116116116116416: Downloads or Documents Check



The Downloads screen will show you all PDF versions that have been generated for the AML tool, as well as Sanctions Data Summaries and ESG reports, depending on your configuration. On this screen you will see in the Downloads table the date and time that each download was generated, as well as the user who generated the download (i.e., the person who completed the Compliance review or pressed “Send for Screening”). Click on “download link” for the most recent submission and download it to your computer, in order to send it to the appropriate party within your company.

If you visit the Downloads screen immediately after completing your review it is possible that the download link might still be in the process of being generated. If this is the case, then it will say “generating...” in the Download column of the table rather than providing a link. This table refreshes every 15 seconds. If you feel like the link generation is taking too long, click refresh on your browser or return to the Compliance screen to press “Send for Screening,” “Submit” or “Documents Check” again to generate a new version.

Figure 117117117117417: Downloads Screen

LINK DOWNLOADS				
Date and Time Submitted	User ID	Details	PDF	Version
3/2/2023, 8:52:48 AM	srybinaMaker	sanctions	<a href="#">download link</a>	
3/2/2023, 3:14:59 AM	achesntrutt	AML Tool	<a href="#">download link</a>	1.0

If you arrived on the Downloads Screen by submitting your compliance review, once you have downloaded your document/PDF(s) you may log out or return to Work Queue where the status of your transaction will change based on your configured workflow (in the Compliance Only flow), or continue on to Documents Check (in the Doc Check plus Compliance flow).



## II. Documents Check

If your workflow requires documents checking, you will be directed to the Documents Check screen, on which you will find the K-Matrix and Transaction Data tabs. The first tab you will land on is the K-Matrix, which visually organizes transaction data for easy document examination. It allows you to compare terms in the trade documents to the Master Record (which is the Letter of Credit and its amendments for the LC Product, and the Collection Instruction for the Collections Product), and also information from document to document. The second tab, Transaction Data, allows you examine data points in greater detail, with a full view of the transaction documents for comparison and analysis. Simply click on either "K-Matrix" or "Transaction Data" to jump from one tab to another.

### K-Matrix

Figure 118118118118118: K-Matrix

The screenshot shows the K-Matrix interface. At the top, there is a navigation bar with steps: Work Queue, Documents Classification, Data Extraction, Compliance Screening, Documents Check (highlighted in yellow), and Decision Summary. Below the navigation bar is a toolbar with icons for Print, Copy, Refresh, View Audit Trail, and Schedule Review. The main area is a grid divided into several columns: Reference, Cover Letter, Draft (bill of Exchange), Invoice, Invoice, and Bill Of Lading. Each column contains various data fields, such as 'APPLICANT' and 'BENEFICIARY' names, addresses, and country codes. Some fields are outlined in blue, indicating they are children or descendants of a main annotation. The bottom of the screen displays a reference number and a copyright notice.

The K-Matrix runs a series of automatic document checks based on fields which were extracted in the previous screens. These checks are derived from the latest ISBP and UCP 600 (for Letters of Credit) or URC (for Collections) standard guidelines. Details of each rule that determines a discrepancy, and how to ensure that these checks are run can be found in the TradeSun Rules Reference Library.

On the K-Matrix tab, any cells which were deemed Non-Discrepant by the system will remain in black, and any cell which is marked as a Discrepancy will display in red.

You will find the Reference column on the far left of the K-Matrix. Each of the relevant annotations that were extracted during Data Extraction will appear here and will be compared against the information extracted from the other documents in the transaction.

Main (i.e., "parent") annotations will appear in black in the Reference column, followed by any "child," "grandchild" or "great grandchild" fields that TradeSun is using for checks. "Children" will appear outlined in blue, followed by "grandchildren" outlined in green, and then "great grandchildren" outlined in purple. This color coding and order allows you to see the main annotation and what elements have been extracted from it for each documentary check.



Figure 119119119119419: Main annotation followed by child, grandchild, and great grandchild



### User Actions

If the user hovers over any cell in the K-Matrix a tool-tip menu will appear presenting the following options:



**Waive:** You can choose to waive a discrepancy, which is essentially acknowledging that the discrepancy is legitimate, but that this cell should not prevent the transaction from moving forward in the process.



**Non-Discrepant:** You can mark the cell as Non-Discrepant if you determine a discrepancy has been incorrectly identified. The text will then appear in a green color to indicate specific action was taken to mark this as Non-Discrepant.



**Discrepant:** You can change a cell from being black (system determines there is no discrepancy) or green (if another user had marked the cell as being Non-Discrepant) to being shown in red text if you determine a discrepancy does exist.



**Notes:** Any user can make additional notes by clicking the yellow pencil icon in the upper right corner of the tool-tip menu. This will open a dialog box where you can make notes. Additionally, if the system determined there was a discrepancy on that particular cell, when you open the notes dialog box you will notice a reference to the discrepancy name and a list of ISBP and UCP 600 rules which were found to be violated.

### Refresh Rules

You may also click on the Refresh button in the top right corner of the screen, accessible from both tabs, which will re-run the rule checks for all cells other than those where you have made review changes or notes. All other cells will be refreshed to display their latest status (i.e., discrepant or non-discrepant) based on the re-running of the rules.

Figure 120120120120120: K-Matrix Refresh Button





## Transaction Data Tab

If you would like to see the extracted text being compared in a particular cell of the Documents Check screen, double-click the cell and you will be redirected to the Transaction Data tab, with a view of both the Reference Document on the left (where possible/applicable), and the comparison document on the right. This view will highlight the text being compared in blue in both documents. If your transaction has been generated via Document Upload, you will see an "E" at the top right of the document viewer. Clicking the "E" will toggle between blue-highlighted data points being compared, and a view of all data that has been extracted from the document, which will be highlighted in gray. The magnifying glass icons marked with a plus and minus allow you to zoom in or out to examine documents in greater or lesser detail.

You can navigate between documents and pages by clicking on the thumbnails above the document viewer, or by using the arrows located in the blue bar located above the thumbnails.

Figure 121121121121121: View and Compare Extracted Text

The screenshot shows the Transaction Data tab interface. It features two main document viewers side-by-side. The left viewer displays a document with several green highlighted sections. The right viewer displays a similar document with blue highlighted sections. A blue sidebar on the right lists specific discrepancies. At the bottom, there is a form for adding a new discrepancy, including fields for 'Source' and 'Description', and a prominent 'Add Discrepancy' button.

On both the K-Matrix and Transaction Data tabs, you will notice a blue sidebar on the far right of the screen. Clicking the white arrow in the middle will expand or collapse the sidebar, which allows you to add, view, edit, or review all discrepancies, including transaction-level discrepancies that are not visible on the K-Matrix (note that some discrepancies, for example those that are highlighting data that is missing from a document, will not appear on the K-Matrix and can only be viewed here and in the Decision Summary). You can also click on either the "plus" or "issue" icons to expand the sidebar, and use the white arrow to collapse.

### User-Added Discrepancies

To add a discrepancy, from either tab click on the gold "plus" icon at the top of the sidebar and simply begin typing the nature of the discrepancy in the Discrepancy Description box, or the reference document or data point in the Source box. Typing in the Discrepancy Description box will enable the "Add Discrepancy" button. Please note that discrepancies cannot be added without a description. Ensure that you indicate a description for each "Source" you have indicated.



Figure 122122122122422: Expanded User-Added Discrepancies View

### Adding A Discrepancy

Figure 123123123123423: User-Added Discrepancies Column

You can add a discrepancy in one of three ways:

- 1) By populating the Discrepancy Description box (for example, to make observations that do not relate to a specific data point)
- 2) By populating the Discrepancy Description and a Source box (for example, to make an observation about only one data point within the transaction)
- 3) By populating the Discrepancy Description and multiple Source boxes (for example, if there are multiple data points or relevant documents related to the discrepancy)

Text can be added to the Discrepancy Description box manually, and to the Source box either manually, by clicking a cell in the K-Matrix, or by using Click-to-Pick. To add a source using Click-to-Pick, click your cursor inside the Source box, then draw a blue box around the text you wish to select in the document viewer on the Data Extraction Tab. To add a source by clicking in the K-Matrix, click your cursor inside the Source box, and then click on a data point in the K-Matrix. The source box will then be auto-populated with the text from the extracted data point.



Once you have added a source, a blue “plus” icon will appear beside the Source label, which you can click to add more sources as necessary. An abbreviation of the source document name and related page number will appear at the top right of each source.

Both the Discrepancy Description and Source boxes can be expanded or collapsed by clicking on the double-arrow icon in the right corner of the box. Once you have added a description, and the “Add Discrepancy” button becomes enabled, you can click on that button to add another discrepancy. When you do so, your initial discrepancy will move down and a new, blank Discrepancy Description and Source box will appear. Discrepancies will be automatically saved when clicking the “Add Discrepancy” button or when navigating away from the Documents Check Screen. You can save as you work, using the “save” icon (the gold floppy disk), located in the toolbar on the top right of the screen between the transaction-level notes icon and the “back” navigation arrows.

To edit text of a saved discrepancy, simply click your cursor into the Discrepancy Description or Source box of any discrepancy and begin typing. You can also search for User-Added Discrepancies by using the Search bar located at the top of the column, or add discrepancy-level notes by clicking on the pencil icon beside the Discrepancy Description box.

#### *Additional Tools for User-Added Discrepancies*

Depending on your role and user entitlements, you will be able to access different tools and features within the User-Added Discrepancies column. If appropriate to your permissions, you will be able to delete a user-added discrepancy using the red trash can icon located to the right of the Discrepancy Description label. Note that to delete a source, you will need to delete the discrepancy and re-enter your information, or you can manually delete the text in the source box.

Also, depending on your entitlements, you will be able to review user-added discrepancies using the toggle review icon located to the right of the Discrepancy Description label. The toggle review allows for the same options that are described in the [User Actions](#) section above (i.e., a gray hand for “Waive”, a green checkmark for “Non-Discrepant”, and a red circle with a line through it for “Discrepant”) and the color of the text will change to reflect your review. The toggle review will appear as “Discrepant” by default. If you toggle to “Waive” or “Non-Discrepant”, you will be prompted by TradeSun to leave a mandatory note. You will not be able to exit the notes window until a note is made.

#### *System Discrepancies Review*

While the “plus” icon on the sidebar indicates User-Added Discrepancies, the “issue” icon (the red circle with a line through it) indicates the System Discrepancies list. Clicking on System Discrepancies (the “issue” icon) will expand the sidebar, and display discrepancies within the transaction that have been automatically identified by TradeSun. As with User-Added Discrepancies, you can toggle your view between the K-Matrix and Data Transaction tabs, while reviewing discrepancies on the sidebar. When you double-click on a discrepancy from the list that relates to a specific data point in the transaction, your view will automatically be shifted to the Transaction Data tab, where you can review the selected data point in the document viewer on the left side of the screen.

All tools available in the document viewer will persist when you are working in the sidebar, such as zoom functions, navigating between thumbnails, and clicking on the “E” to view all data that



has been extracted from a document, highlighted in gray. Additionally, you can use the search function in the discrepancies sidebar (in both the User-Added and System views) to look for a particular discrepancy, document, data point, or keyword.

Figure 124124124124124: Expanded System Discrepancies View

The screenshot shows the TradeSun interface with the 'Documents Check' tab selected. On the left, there are two document preview panels: 'Page 11 : Letter of Credit' and 'Page 2 : Draft (Bill of Exchange)'. The right side features a sidebar titled 'Data Type' with a dropdown menu. Under 'Amounts & Charges', it lists several items such as 'DC-001-H Amount in Figures Consistency' and 'MO-D-2-Missing Currency in Invoice'. Under 'Presentation Amount', it lists items like 'Cover Letter: Amount mismatch; UCP600 art.14(d)' and 'Draft (Bill of Exchange): Amount mismatch; UCP600 art.14(d)'. Under 'Charges', it lists 'DC-DL-H Missing Amount (Invoice)' and 'MO-D-2-Missing Amount (Invoice)'. A search bar is also present at the top of the sidebar.

#### Reviewing Discrepancies on the Sidebar

To review System Discrepancies, use the tooltip menu that appears when you hover over a discrepancy (refer to [User Actions](#) for icon descriptions). Use the “waive”, “issue”, “non-issue”, or “notes” icons as necessary for your updated review, which will then be reflected on the K-Matrix. The status of the discrepancy, reflecting any user review, will be marked by an icon next to that category as pictured below (“issue”, “non-issue”, or “waive”) and the discrepancy text color will indicate the same. When clicking on the pencil icon to make a note, you will see any previous notes made by users, as well as system notes TradeSun has made relating to that discrepancy.

Figure 125125125125425: Sidebar System Discrepancy Review and Tool-tip

The screenshot shows the TradeSun interface with the 'Documents Check' tab selected. On the left, there is a sidebar titled 'Document Type' with a dropdown menu. Under 'Transaction-Level Discrepancies', it lists three items: 'Packing List: Container Number(s) inconsistent; UCP600 14d' (marked with a green checkmark), 'Packing List: Shipping Date mismatch; UCP600 art.14(d)', and 'Bill Of Lading: Shipping Date not as per L/C; UCP600 art.14(d), ISBP h8'. A yellow box highlights the first item. A tooltip menu with icons for 'Waive', 'Issue', 'Non-issue', and 'Notes' is shown above the second item.

#### System Discrepancies Dropdown Selection

When you click on the “issue” icon to view System Discrepancies, you will see a dropdown menu in the top left corner of the window. From this menu, you can select to sort discrepancies by:

- Document Type
- Data Type
- TradeSun Rule ID

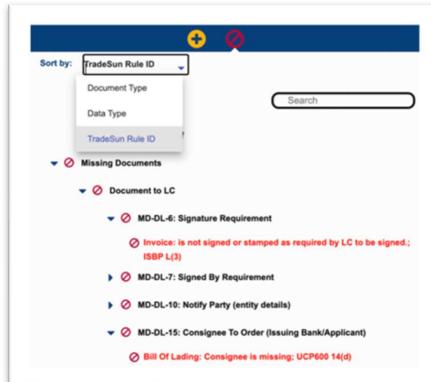


When sorting by Document Type, the discrepancies window will be populated by all of the document types contained within your transaction (for example, Letters of Credit, Cover Letters, Bills of Lading, or Packing Lists). Clicking on the arrow beside the document type will collapse or expand its details. The first line appearing in the Document Type view, labeled Transaction-Level Discrepancies, contains a list of all discrepancies found by TradeSun that show inconsistencies within the transaction, and do not necessarily correspond to one reference document that is known to be correct. If you double-click on these discrepancies you will not be taken to the Transaction Data tab, as there is no specific annotation to review.

Sorting by Data type allows you to organize your view by discrepancy theme, such as chains of custody, dates and periods, or party details. These categories contain sub-categories within them that sort discrepancies based on the rule type, as further explained below.

The rules engine that powers Documents Check is populated from the TradeSun Rules Reference Library. When sorting by TradeSun Rule ID you will notice various sub-categories, including rule classes such as Document-LC comparison, Document-Document comparison, or "Missing" rules in which information is not found within the document. Discrepancies are noted here under the Rule ID code (ex. DC-DD-1) as it appears in TradeSun's Rules Reference Library. Note that for the Collections product the Rule ID convention is similar, but Document-LC is replaced by Document-Collection Instruction.

Figure 126126126126426: System Discrepancies Dropdown Menu



Using the arrows, you can collapse or expand each of these categories to view rules related to your transaction in more detail. Once a category is expanded, you will see a line for each document type, data type, or rule ID in the order that the documents appear within the transaction. In all of these views, you can hover over the discrepancy and conduct your review as noted above. The appropriate review icon will appear to the left of the document type. If no discrepancy has been found, then no icon will be visible.

Note that only system-flagged discrepancies appear in the System Discrepancies view. To review manual discrepancies, you will need to toggle to the User-Added Discrepancies view by clicking on the plus icon.



## 12. Decision Summary

After completing all necessary review on the Documents Check screen you will move forward in the workflow to the Decision Summary screen. This screen, which summarizes all discrepancy decisions, provides you with all the details of the presentation for easy review. Discrepancies found by the system during Documents Check are listed first, followed by User-Added Discrepancies, and finally a list of all Compliance issues. Next to each issue or discrepancy listed on the Decision Summary, you will find accompanying notes and statuses to reflect the review that was made and the decisions that were taken.

### Notes and Statuses

All system- and user-added discrepancies appear first on the list and will display review status as defined by the document checker(s), as well as any notes that they made. Compliance Issues are listed at the bottom of the list and will display issue status as defined by the operations user or compliance officer depending on your workflow and entitlements.

#### *Refinitiv World-Check One Review on the Decision Summary*

In the Refinitiv workflow, the notes that are displayed are reflective of the Compliance team review in Refinitiv. Any issue in “Escalate” status still requires review. If an issue is marked as “OK” then the Compliance team did not find a true match in Refinitiv. If it is marked as “Issue,” then that means the Compliance team did find a true match, resulting in a problem with the transaction. In the case of a true match resulting in “Issue” status, the transaction will go into “Blocked by Compliance” status, and the Maker will not be able to submit to the Checker.

### Decision Summary Buttons

To proceed to the next stage in the workflow, there are buttons on the top right side of the Decision Summary screen that allow for the following, based on user role:

For Makers:

- a. The “Copy Discrepancy List” button allows you to copy a full list of discrepancies to your clipboard that you can paste directly into your email client or other messaging system
- b. The “Copy Compliance List” button allows you to copy a list of Compliance issues to your clipboard that you can paste directly into your email client or other messaging system
- c. The “Submit” button submits the documents to be reviewed by a Checker – moving the transaction to “Ready for Checker” status
- d. The “Download to Excel” button downloads the transaction details into an excel file

For Checkers (in addition to those mentioned above for the Maker):

- e. The “Reassign to Maker” button moves the transaction to the “Rejected Checker” status, allowing the Maker to revisit the transaction and make appropriate changes
- f. The “Approve Transaction” button moves the transaction to the ‘Transaction Approved’ status



Figure 127127127127427: Maker View and Checker View Combined

A screenshot of a software application window titled "Document Summary". The top navigation bar includes "Work Queue", "Documents Classification", "Data Extraction", "Compliance Screening", "Documents Check", and "Document Summary". Below the navigation is a toolbar with icons for "Download to Excel", "View Audit Trail", "Copy Nonconformance", "Copy Compliance List", "Submit Documents", "Search", and "Print". A main table lists four document types with their descriptions and status: "DOCUMENT DISCREPANCY CERTIFICATE OF ORIGIN LETTER OF CREDIT NUMBER NOT AS PER LC. UCP600 ART 14(2)" (Status: OK), "DOCUMENT DISCREPANCY COLLECTION INSTRUCTIONS APPLICANT NAME NOT AS PER LC. UCP600 ART 14(2)" (Status: DISCREPANCY), "DOCUMENT DISCREPANCY COVER LETTER APPLICANT NAME NOT AS PER LC. UCP600 ART 14(2)" (Status: OK), and "DOCUMENT DISCREPANCY SHIPMENT ADVISE CONSIGNEE NAME NOT AS PER LC. UCP600 ART 14(2)" (Status: DISCREPANCY). The bottom right corner of the window has a "DISCREPANCY" button.

Note: The “Submit” button is enabled and disabled based on transaction status. For example, a user cannot submit if a transaction is in the “Blocked by Compliance” or “Pending Compliance Review” status.

Once you submit the documents, you will be directed back to the Work Queue screen and the status of the transaction will update to the next stage in the workflow.

TradeSun, Inc.  
2196 Carmel Valley Road  
Del Mar, CA 92014  
(800) 481-3282  
[www.tradesun.com](http://www.tradesun.com)

US | CANADA | UK | SINGAPORE | AUSTRALIA | INDIA

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