|  |
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| ANZ FXIP Client Onboarding –  Dual Verify Client Setup |

# Applicable to

Australia & New Zealand only

# Description

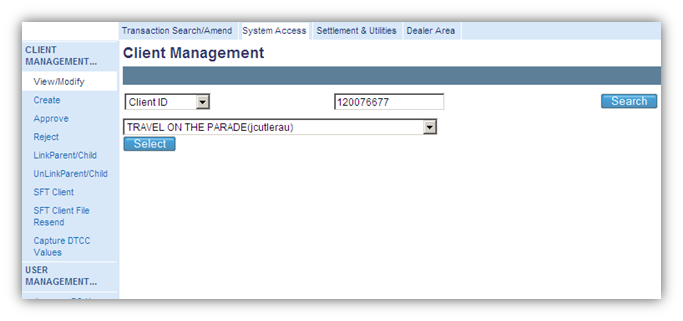
The purpose of this process is to outline the steps taken in setting up a new Client in FXOPS/GEMM – based on the information left on the Client page in Salesforce.

# Additional systems and tool

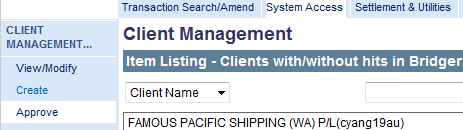
* Access to Salesforce
* Access to FXOPS/GEMM for Australia & New Zealand markets
* Access to website http://bsb.apca.com.au/ to validate bank address for settlement method
* Notes pad with notes from validation stage

# Steps

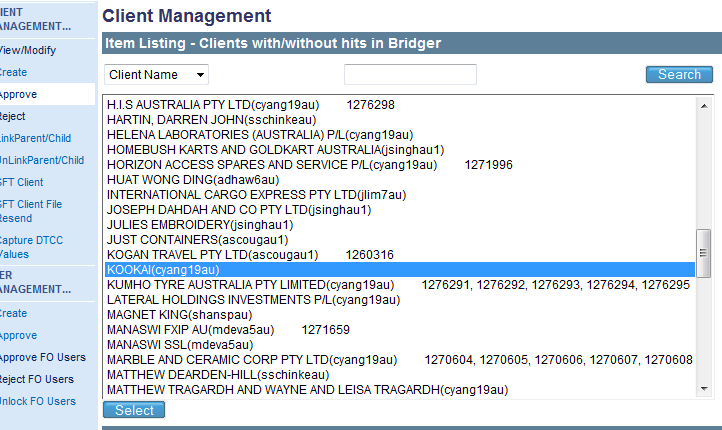
1. Log into FXOPS/ GEMM
2. Select relevant market (i.e.: AU/NZ) from dropdown menu
3. Click on System access



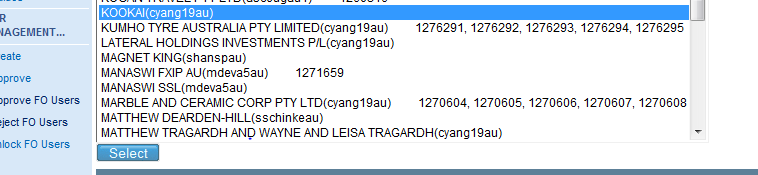
1. Click on Approve



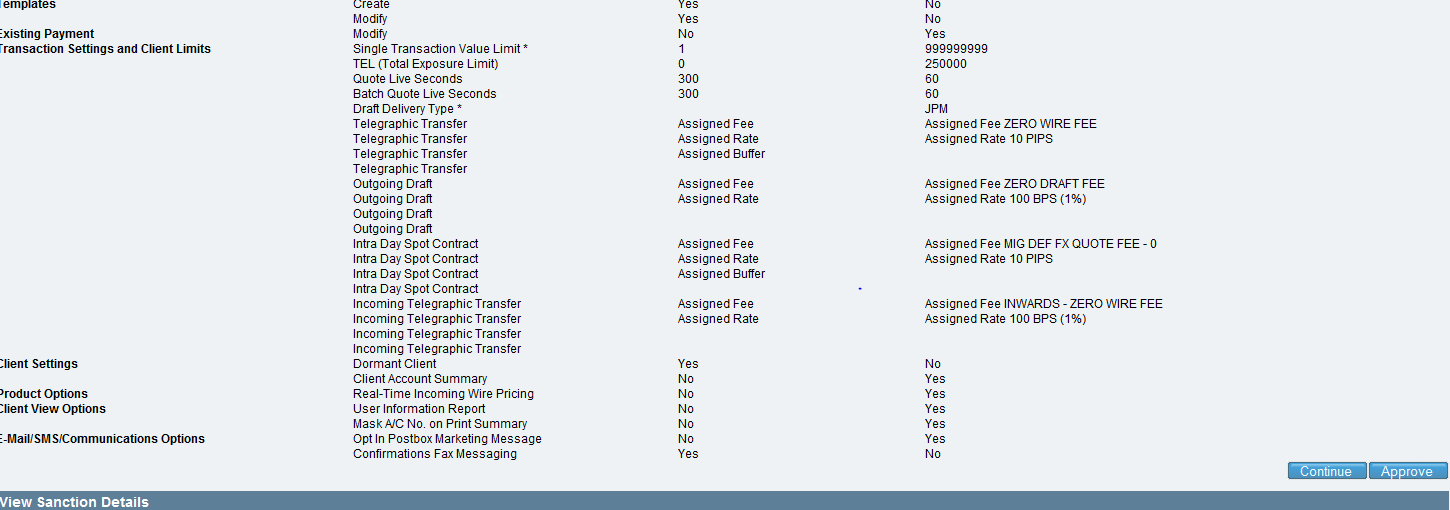
1. Locate the the Client requiring Dual Verification & Approval.

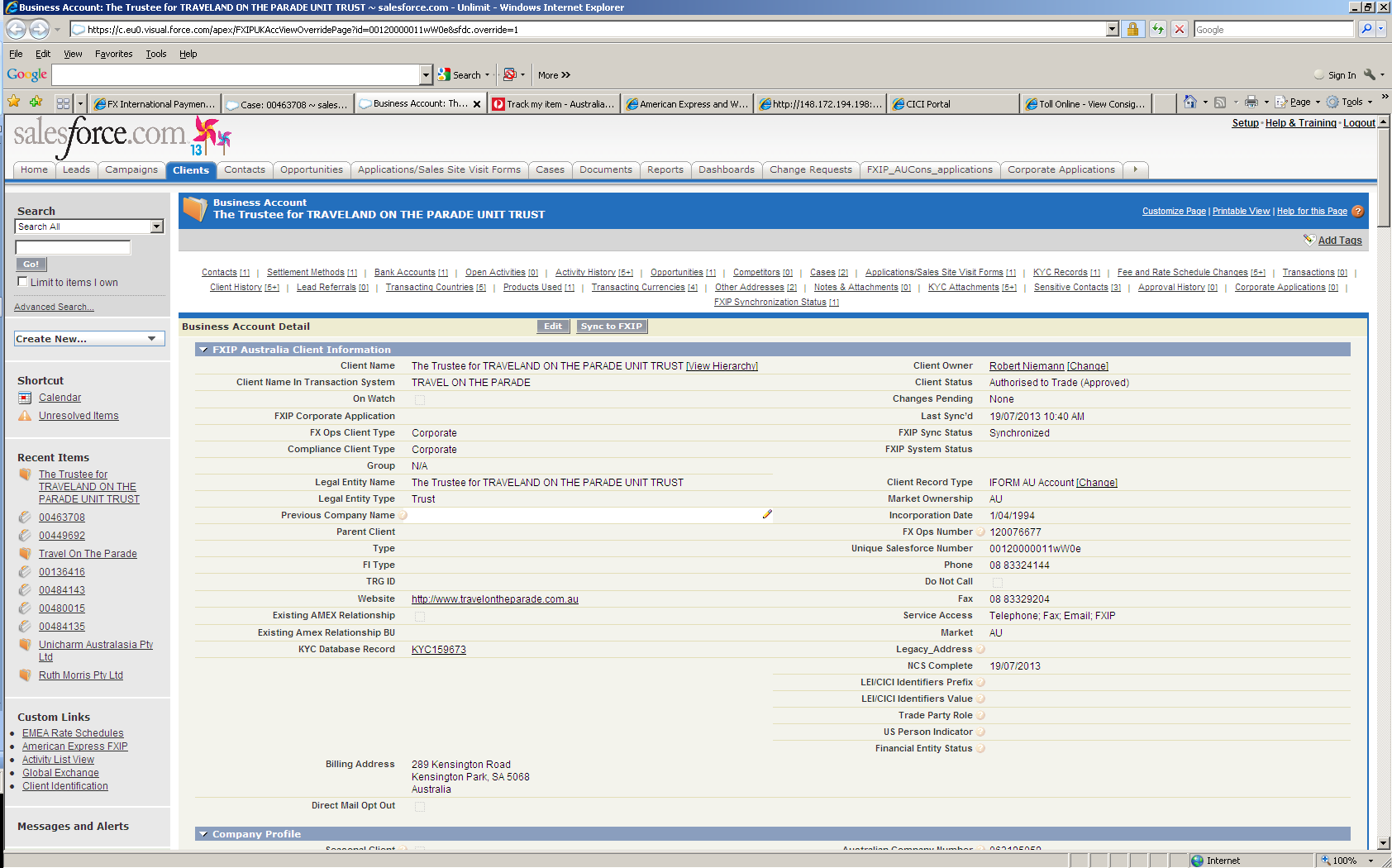


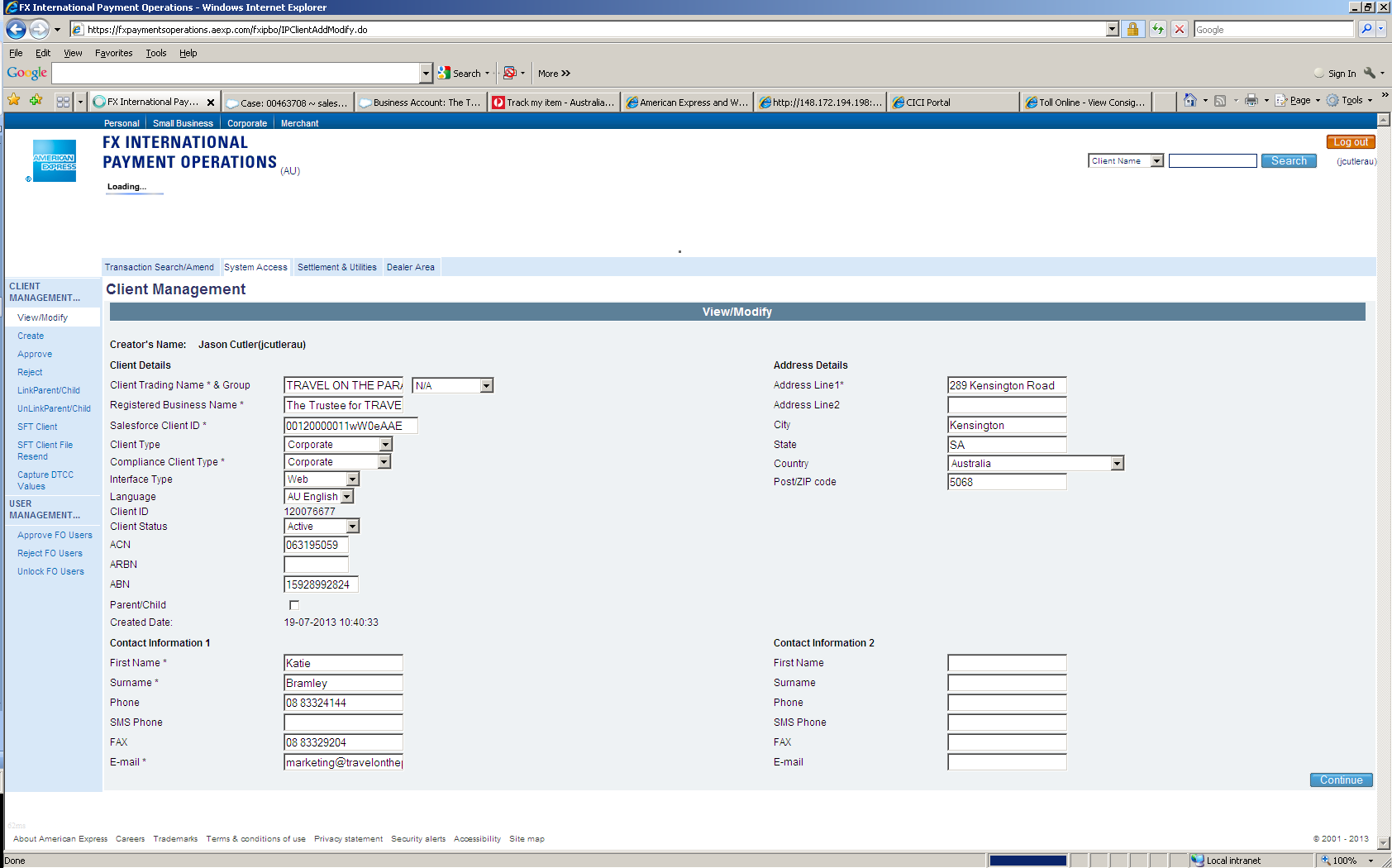
1. Click Select



1. Click Continue at the bottom of ‘Summary of Changes’ page



1. Verify the ‘Client Name in Transaction System’ in SFDC
2. Verify the same has been inputted into ‘Client Trading Name\* & Group’ in FXOPS.

**Note**:Drop down [N/A] auto populates

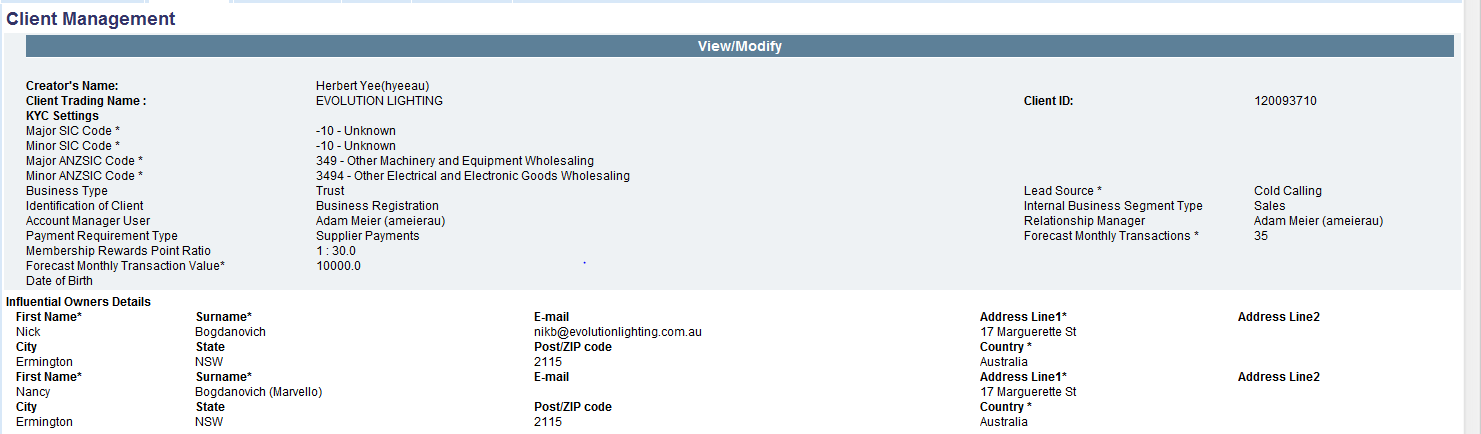
1. Verify client status

|  |  |
| --- | --- |
| If | Then |
| If call out is pending | Must have selected “deactivate” |
| If call out has been made | Must have selected “Active” |

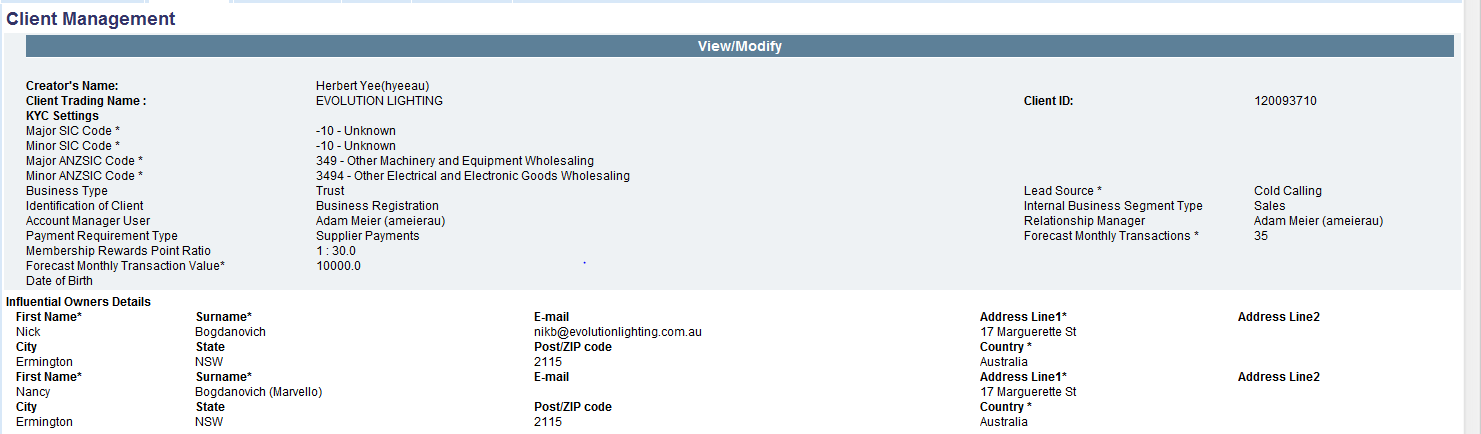
1. Move to the following page, and verify KYC Settings, except where noted\*

|  |  |
| --- | --- |
| **FIELD** | **SELECT** |
| Major SIC Code | -10-Unknown |
| Minor SIC Code | -10-Unknown |
| Major ANZIC Code | Check industry code from ANZSIC Code Detail Spreadsheet |
| Minor ANZSIC Code | Check industry code from ANZSIC Code Detail spreadsheet |
| Business Type | Check ‘Legal Entity Type’ in KYC Database Record. |
| Identification Of Client | \*Auto populates |
| Account Manager User | Check correct Account Manager has been selected, verifying from ‘Client Owner’ field on client page. |
| Payment Requirement Type | Supplier Payments |
| Membership Rewards Point Ratio | 1:30 |
| Forecast Monthly Transaction value | \*Auto populates |
| Date of Birth | \*Auto populates |
| Lead Source | Cold Calling |
| Internal Business Segment Type | Sales |
| Relationship Manager | \*Auto populates |
| Forecast Monthly Transactions | \*Auto populates ( sync) |

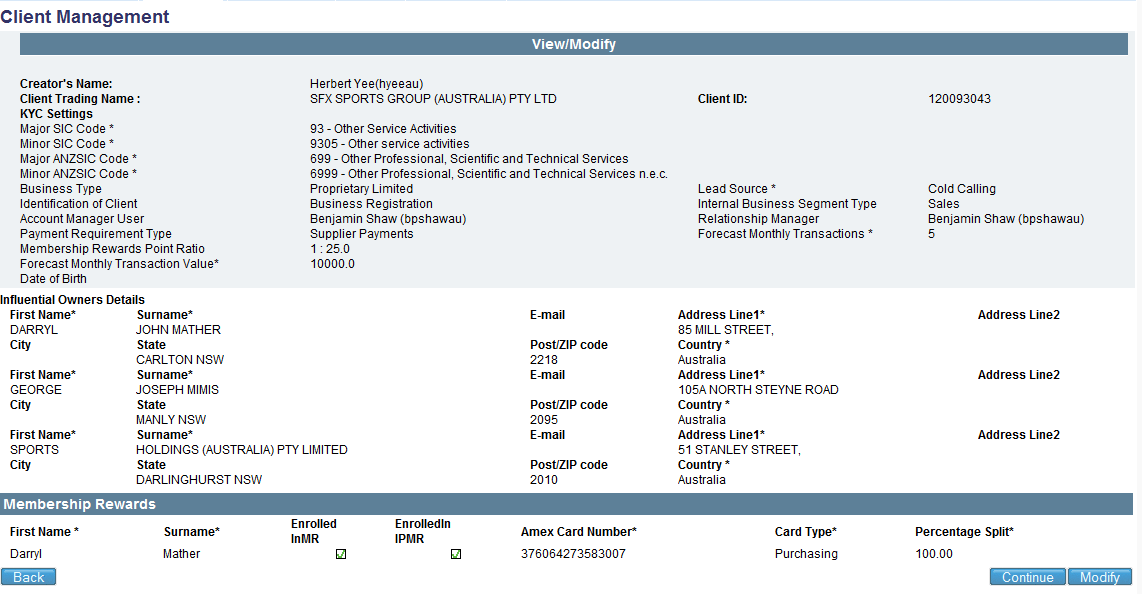
**Example:**



Note: Influential Owners Details auto populate



1. Verify Client information for MR Points

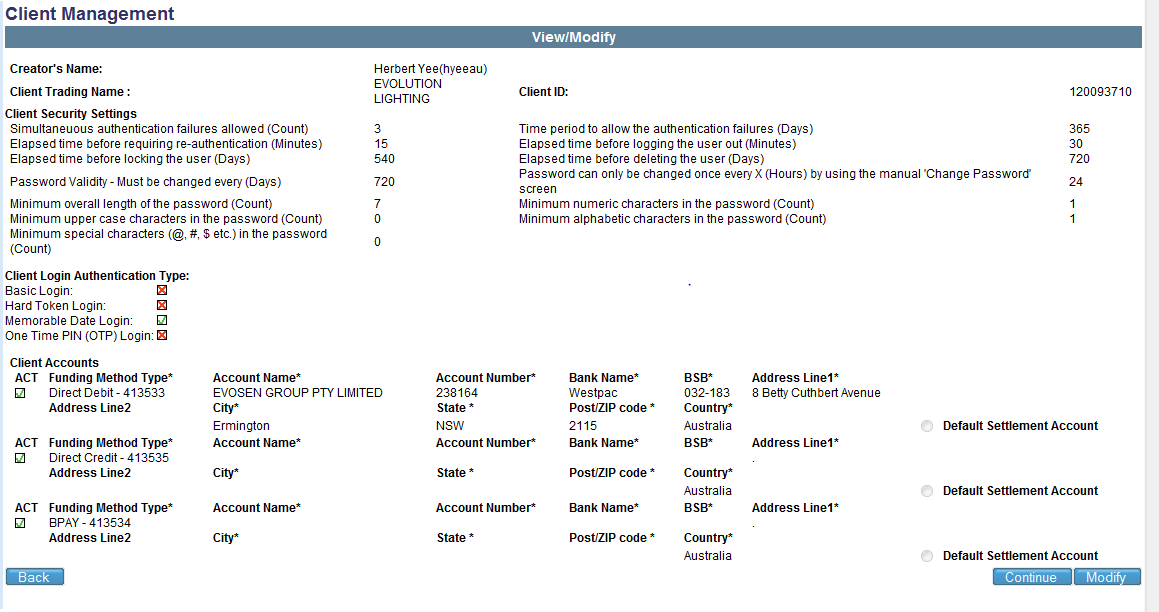


|  |  |
| --- | --- |
| **Field** | **Action** |
| First name | Verify client’s name |
| Surname | Verify client surname |
| Enroll In MR | Must be ticked |
| Enroll IP MR | Must be ticked |
| Amex Card Number | Verify against application form |
| Card Type | Corporate |
| Percentage Split | 100% – 1 card member  50% each – 2 card members (Note: click on “Add” to keep adding card members) |

1. Scroll down and verify if client has been set up for Access Line

|  |  |
| --- | --- |
| **If** | **Then** |
| Access Line has been set up | Verify set up is “Same Day Value” |
| Access Line has NOT been set up | No action required. Continue validating. |

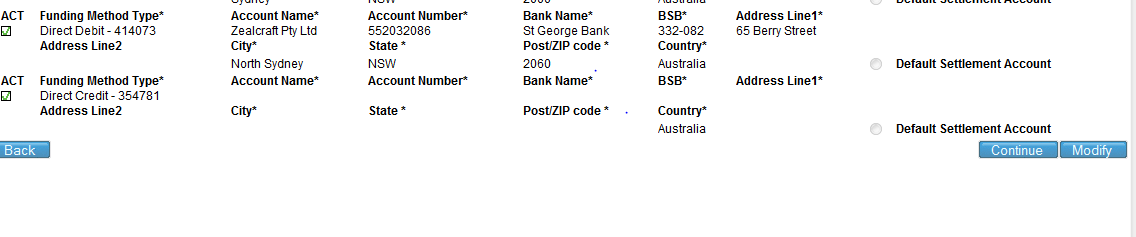
1. Client Security Settings will autopopulate.



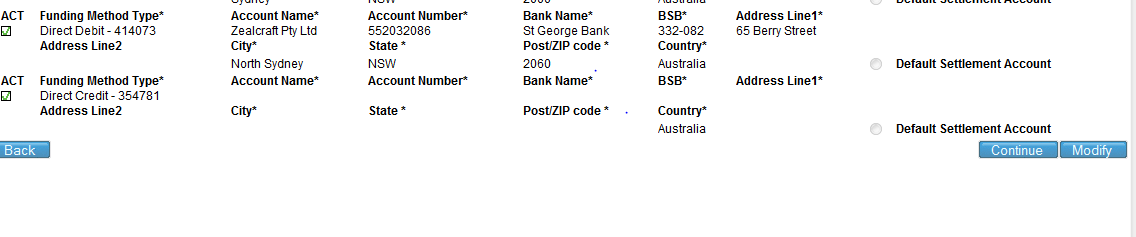
1. Verify BPAY facility has been added.

|  |  |
| --- | --- |
| BPAY | Tick ‘ACT’ option and select Bpay from drop down menu |

1. Verify Bank details if applicable. Bank details must be correct as per support in SFDC.



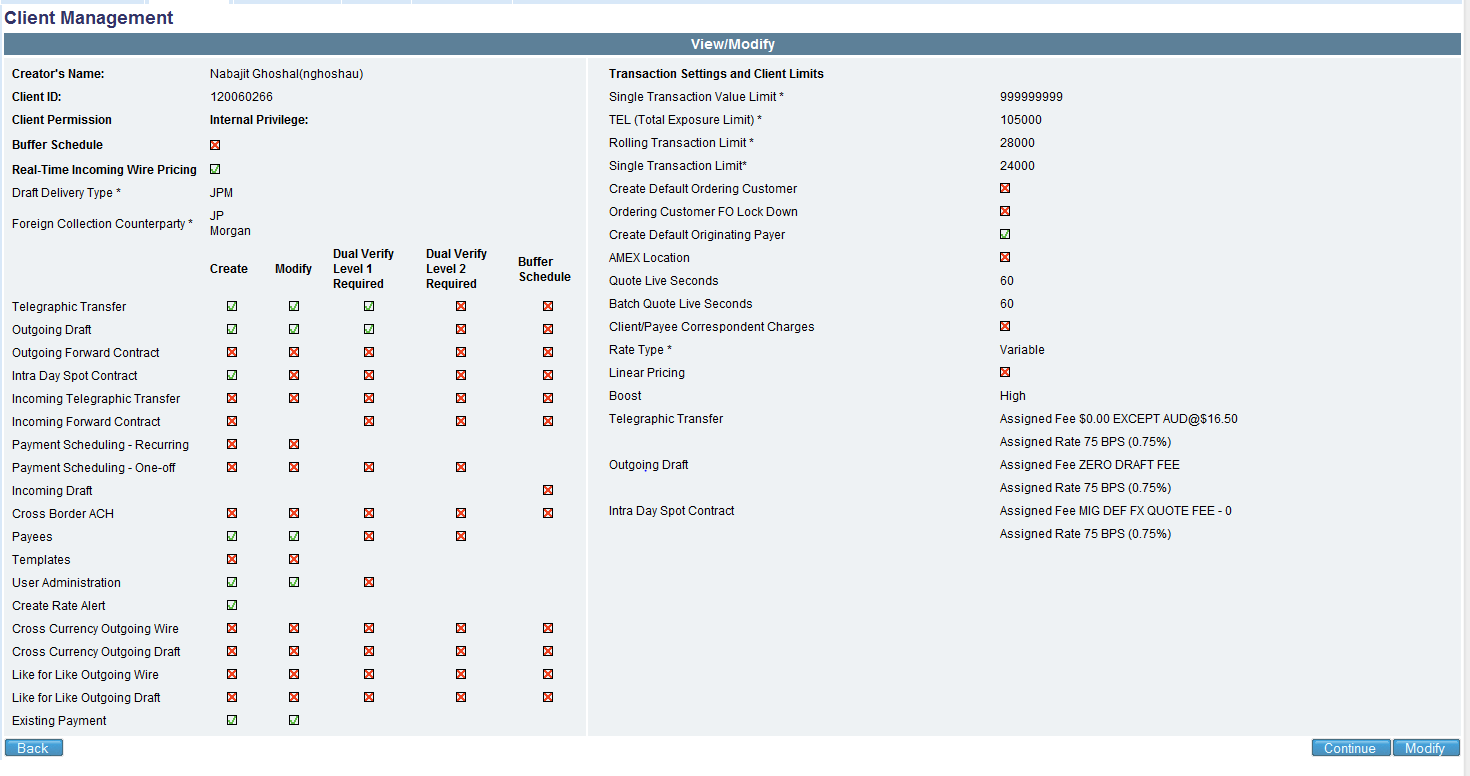
1. Click “Continue”



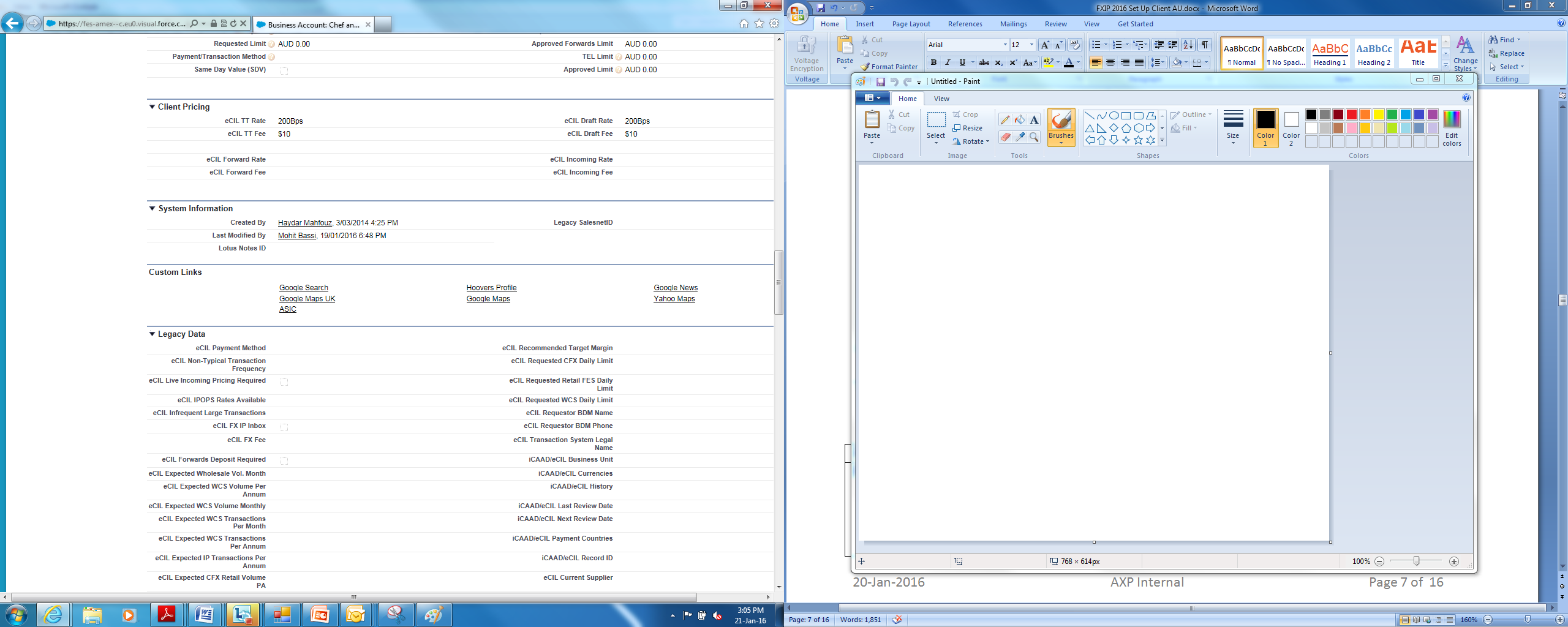
1. Verify account settings as per information on Salesforce or application:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FIELD** | **VERIFY** |  |  |  |
| Creator's Name | Auto Populates |  |  |  |
| Client ID | Auto Populates |  |  |  |
| Buffer Schedule | Auto Populates |  |  |  |
| Real Time Incoming Wire | Ticked if bank account supplied |  |  |  |
| Draft Delivery Type  (only if selected on Application) | JPM selected |  |  |  |
| Foreign Collection Counterparty | JPM selected |  |  |  |
| **FIELD** | **Create** | **Modify** | **Dual Verify**  **Level 1 required** | **Dual Verify**  **Level 2 required** |
| Telegraphic Transfer (TT) | Ticked | Ticked | Ticked if Dual Verification was selected on application form | Ticked if a Dual Verification 2 was selected on case notes or sensitive contact |
| Outgoing Draft  (only if selected on Application) | Ticked | Ticked | Ticked if Dual Verification was selected on application form | Ticked if a Dual Verification 2 was selected on case notes or sensitive contact |
| Outgoing Forward Contract (FEC) | Ticked if approved for FEC | Ticked if approved for FEC | NA | NA |
| Intra Day Spot Contract | Ticked | UNTICK | NA | NA |
| Incoming Telegraphic Transfer | Ticked if bank account supplied | NA | NA | NA |
| Incoming Forward Contract | Ticked if approved for FEC/bank account supplied | NA | NA | NA |
| Payment Scheduling | Auto populates | Auto populates | NA | NA |
| Payment Scheduling – Reoccurring | Auto populates | Auto populates |  |  |
| Incoming Draft | NA | NA | NA | NA |
| Cross Border ACH | NA | NA | NA | NA |
| Payees | Auto populates | Auto populates | NA | NA |
| Templates | NA | NA | NA | NA |
| User Administration | Ticked | Ticked | NA | NA |
| Create Rate Alert | Ticked | NA | NA | NA |
| Cross Currency Outgoing Wire | Ticked if selected | Ticked if selected | Tick if Dual Verification was selected on application form | Tick if a Dual Verification 2 was selected on case notes or sensitive contact |
| Cross Currency Outgoing Draft  (only if selected on Application) | NA | NA | NA | NA |
| Like for Like Outgoing Wire | Ticked if selected | Ticked if selected | Ticked if Dual Verification was selected on application form | Ticked if a Dual Verification 2 was selected on case notes or sensitive contact |
| Like for Like Outgoing Draft | Ticked if selected | Ticked if selected | Ticked if Dual Verification was selected on application form | Ticked if a Dual Verification 2 was selected on case notes or sensitive contact |
| Existing Payment | Ticked | Ticked | NA | NA |
| Single Transaction Value limit | Auto populates |  |  |  |
| TEL (total Exposure Limit) | Auto populates (check against case notes) |  |  |  |
| Rolling Transaction Limit | Auto populates |  |  |  |
| Single Transaction limit | Auto populates |  |  |  |
| Create Default Ordering Customer | Ticked |  |  |  |
| Ordering Customer FO Lock Down | NA |  |  |  |
| Create default Originating Payer | Ticked (if Incomings) |  |  |  |
| Amex Location | Do not tick |  |  |  |
| Quote Live Seconds | As per slab |  |  |  |
| Batch Quote Live Seconds | As per slab |  |  |  |
| Client Payee Correspondent Charges | NA |  |  |  |
| Rate Type\* | Auto populates |  |  |  |
| Linear Pricing | NA |  |  |  |
| Boost | NA |  |  |  |

**Example:**



1. Verify assigned fees in FXIP GEMM match ‘Client Pricing’ information from Salesforce.

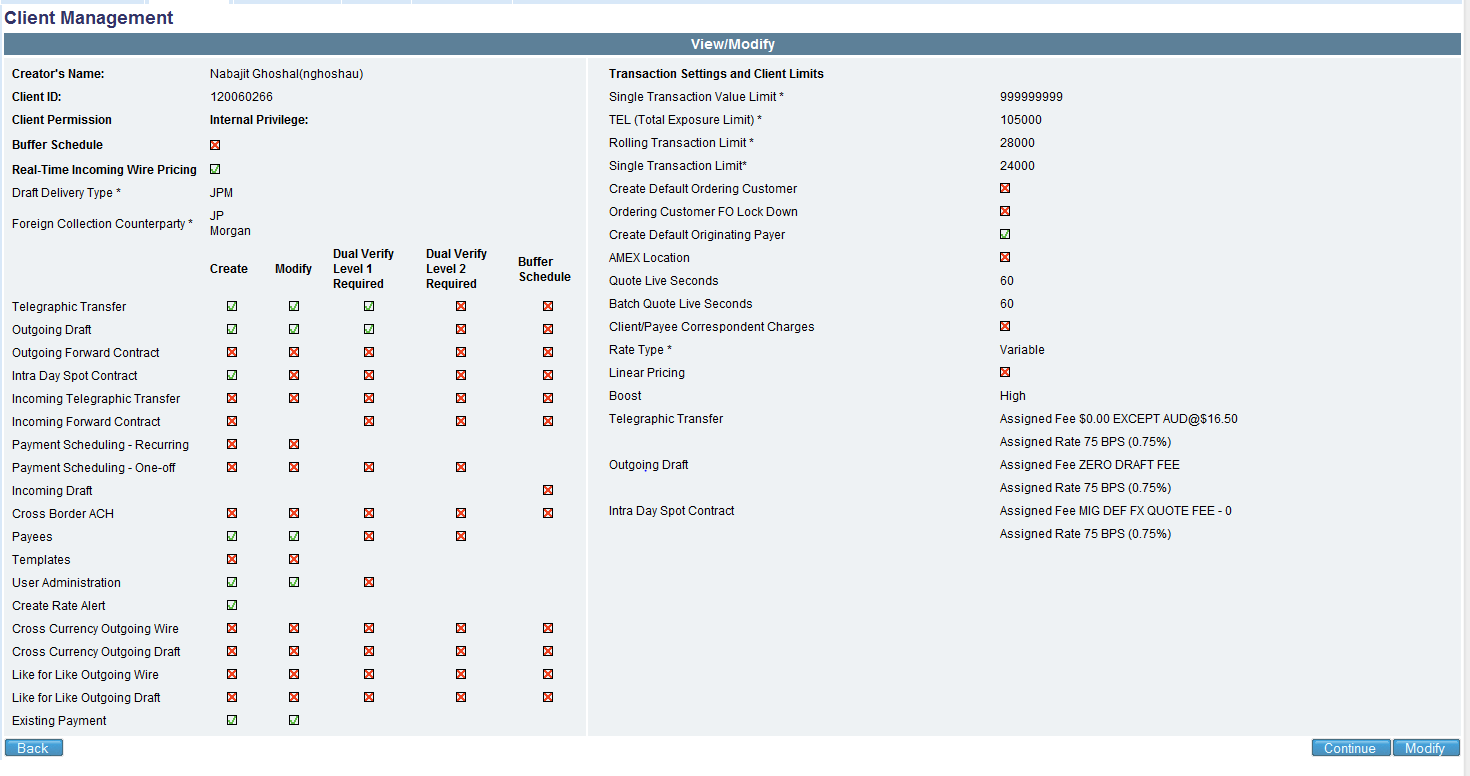


|  |  |
| --- | --- |
| **Client Pricing** | **FXIP GEMM Assigned Fee** |
| eCIL TT Rate | Telegraphic Transfer assigned rate |
| eCIL TT Fee | Telegraphic Transfer assigned fee |
| eCIL Forward Rate | Forward Exchange Contract assigned rate |
| ECIL Forward Fee | Forward Exchange Contract assigned fee |
| eCIL Draft Rate | Outgoing Draft assigned rate |
| eCIL Draft Fee | Outgoing Draft assigned fee |
| eCIL Incoming Rate | Incoming Telegraphic Transfer rate |
| eCIL Incoming Fee | Incoming Telegraphic Transfer fee |

1. For the following products, verify fees and rates against same information on ‘Client Pricing’ information from Salesforce:

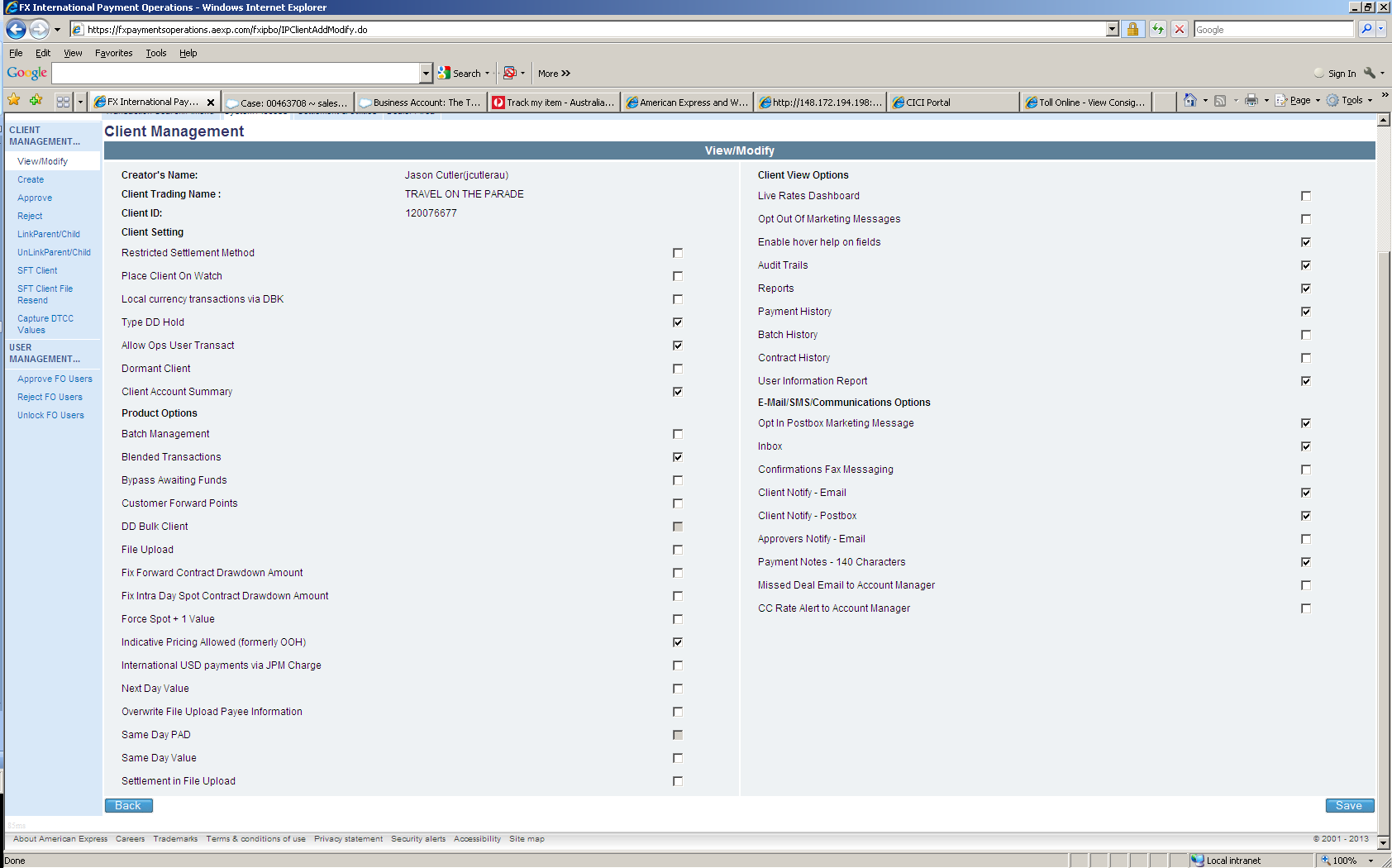
|  |  |
| --- | --- |
| **Product** | **Assign fee/rate** |
| Intra Day Spot Contract Rate | Verify against Telegraphic Transfer rate in Salesforce |
| Intra Day Spot Contract Fee | Check the following has been selected.  MIG DEF FX QUOTE-0 |
| Cross Currency Rate | Verify against Telegraphic Transfer rate |
| Cross Currency Fee | Verify against Telegraphic Transfer fee |
| Like for like Fee | Verify against Telegraphic Transfer fee |

1. 15. Once verified, click continue



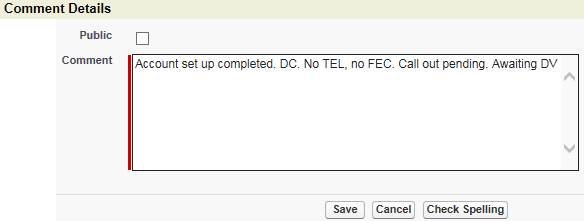
1. 16. Verify client permissions as per Salesforce

|  |  |
| --- | --- |
| **FIELD** | **SELECT** |
| Creator's Name | Auto Populates |
| Client Trading name | Auto Populates |
| Client ID | Auto Populates |
| Restricted Settlement Method | NA |
| Place client on watch | NA |
| Local currency transaction Via DBK | NA |
| TYPE DD Hold (DDH) | Ticked if specified in case notes |
| Allow Ops User Transact | 1. Check case notes to confirm if call out to verify application has been completed.  2. Ticked if completed. |
| Dormant Client | 1. Check case notes to confirm if call out to verify application has been completed.  2. Ticked if call out verification **has not** been completed. |
| Client Account Summary | Ticked |
| Batch Management | NA |
| Blended Transactions | Ticked |
| ByPass awaiting Funds | NA |
| Customer Forward Points | NA |
| DD bulk Client | NA |
| File Uploads | NA |
| Fix Forward Contract Drawdown Amount | NA |
| Fix Intra Day Spot Contract Drawdown Amount | NA |
| Force Spot + 1 Value | NA |
| Indicative Pricing Allowed (Formerly OOH) | Tick |
| International USD Payments Via JPM Charge | NA |
| Next Day Value | Ticked if client is has TEL |
| Overwrite File Upload Payee Information | NA |
| Same Day PAD | NA |
| Same Day Value | Ticked if client is Access Line approved |
| Settlement in File Upload | NA |
| Live Rates Dashboard | NA |
| Opt out of Marketing Messages | NA |
| Enable Hover Help on Fields | Tick |
| Audit Trails | Tick |
| Reports | Tick |
| Payment History | Tick |
| Batch History | NA |
| Contract History | Ticked if FEC has been approved |
| User Information Report | Ticked |
| Mask Account Number | Ticked |
| Opt In Postbox Marketing Message | Ticked |
| Inbox | Ticked |
| Confirmations Fax Messaging | NA |
| Client Notify-E-mail | Ticked |
| Client Notify-Postbox | Ticked |
| Approvers Notify-Email | Ticked **only** if set up as DV1 or DV2  ( Note: do not tick if single verification) |
| Missed Deal Email - to Account Manager | Ticked if account owner is:   * Charles Bradford * Daniel V Zumstein * Farhan Jiwani1 * Orla Waterman * Rupal Mehta |
| CC Rate Alert to Account manager | Verify that tick is deleted |

**Example**

1. Return to Salesforce, Check Case Page/ case comments have been added as follows:

“Account set up completed. (Add settlement method). (Add information on TEL, FEC). Confirm if call out is pending. Awaiting DV



1. Click ‘Approve’



1. Advise inputter of approval.