

# LMEsword Operating Procedures

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THE LONDON METAL EXCHANGE

10 Finsbury Square, London EC2A 1AJ | Tel +44 (0)20 7113 8888 Registered in England no 2128666. Registered office as above.

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# **Associated Documents**

Document	Location	
LMEsword Technical Guide	Available on request from PTO	

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LME Classification: Public

# **1** Administration

#### 1.1 Procedure Administration

Business Owner: Post Trade Operations (posttradeoperations@lme.com)

#### 1.2 Objective

The Operating Procedures are directed at persons connected to the System (a "User"), to enable them to perform the functions that are expected of them as a User of the System. The Operating Procedure is intended to take a User through each LMEsword function they can perform in relation to their system access.

## 1.3 Scope

These LMEsword Operating Procedures supplement the LMEsword Regulations, which govern the use of the LMEsword system. Words and expressions defined in the LMEsword Regulations shall have the same meanings in the Operating Procedures. Regulation 13.2 of the LMEsword Regulations shall apply to the Operating Procedures in the same way as it applies to the LMEsword Regulations. In the event of a conflict between the Operating Procedures and the LMEsword Regulations, the LMEsword Regulations shall prevail.

#### 1.4 Roles and Responsibilities

Post Trade Operations is responsible for the maintenance and updating of this procedure. Changes to the LME Rules or LMEsword Regulations may result in changes to this procedure, and where that is the case, it shall be the responsibility of Post Trade Operations to undertake those changes.

#### 1.5 Electronic Warranting

The London Metal Exchange (the "LME") facilitates delivery of metals through its settlement system, LMEsword. The LME has used an external provider of depository services since the launch of LMEsword in 1999. The Depository holds the physical warrants which are allocated to Account Holders in LMEsword. The LME has listened to feedback from Members about the process of lodgement and withdrawal of warrants from the Depository, and has concluded that greater



operational efficiency and a reduction of operational risk could be achieved, whilst ensuring the continued certainty of the settlement of LME Contracts, by:

the LME performing the role of Depository;

(b) streamlining the lodgement and withdrawal processes by adopting a new electronic, volume insensitive, efficient processing model; and

(c) moving to a dematerialised (or, where required, immobilised) warrant structure, thereby eliminating the need for the lodgement and withdrawal of physical warrants from the Depository by Members, (together, "Electronic Warranting").

Under the Electronic Warranting Structure, a warrant held by the Depository will take one of two forms:

(a) dematerialised, meaning an electronic warehouse warrant issued by a Warehouse in accordance with the Warehouse Agreement and the LMEsword Regulations ("Warrants"); or

(b) paper form, meaning, where the law of the location of the relevant warehouse does not support the existence of Warrants or the corresponding legal basis for transfers, a physical warehouse warrant issued in accordance with the LMEsword Regulations and the Warehouse Agreement and in a form prescribed by the LMEsword Operating Procedures and the Warehouse Agreement from time to time ("Immobilised Warrants").

## **1.6 High-level Process Overview**

The electronic warranting lifecycle is illustrated in the process flow captured below



# 2 Joining Process

It is important to all those involved in handling Warrants that Users of LMEsword operate the System correctly, in accordance with the LMEsword Regulations. LMEsword accreditation aims to ensure that this is the case.

Accreditation is a prerequisite to an organisation becoming an LMEsword Participant and using LMEsword. Accreditation requires the organisation to:

- a. Agree to abide by the LMEsword Regulations and Operating Procedures, including signing the appropriate software and communication license agreements;
- b. When required, successfully complete the LMEsword structured tests. Structured testing is designed to ensure that;
  - i. The technical set-up is performing correctly at the Participant's Offices; and
  - ii. The LMEsword training has been understood and the prospective Users of the system are familiar with its operation.

## 2.1 London Agents

.

Any perspective London Agents will need to be appointed by the Warehouse Company and approved by the Physical Operations team at the LME. Further information about the process can be obtained from the Physical Operations team at the LME.

#### 2.2 Clearing Members

LME Clearing Members do not have to apply to join LMEsword. LMEsword is an integral part of the clearing delivery mechanism and therefore membership is included as part of LME Clearing Membership.

LME Clearing Members may elect to allow a third party to operate LMEsword on their behalf. In this instance, they are required to enter into a standard Remote Participant Agreement with the third party and lodge a copy of the executed agreement with the Exchange. The third parties must be an LMEsword Participant in their own right.

Clearing Members may operate a multitude of segregated client position accounts at the CCP (i.e. including but not limited to OSAs and ISAs). The paragraph below describes the delivery process post EMIR for Clearing Members operating several client position accounts.

The CCP determines the next day's delivery obligations for each position account. Each account's delivery obligation is net, regardless of currency.

EMIR regulations do not permit the netting of delivery obligations across position accounts, whether house or segregated client accounts. As a result, the CCP provides three separate delivery instructions to each member in LMESword

- 1. a "Net House" delivery instruction for the house position account (either giver or taker depending on whether the house account is short or long);
- 2. an aggregate "Client Giver" instruction which is the sum of all short client position accounts and;
- 3. an aggregate "Client Taker" instruction, which is the sum of all long client position accounts.

Clearing Members who only have one-client account will continue to receive a single netted Client Giver or Client Taker instruction depending on whether their client account is short or long

#### 2.3 Non-Clearing Category 4 Members

Non-Clearing Category 4 Members of the LME may apply to join LMEsword as a Participant. Participants in these categories may connect directly to LMEsword or elect to have a third party perform tasks, using the above-mentioned Remote Participant Agreement.

Each organisation must apply to the Exchange to become an LMEsword Participant. Application forms and copies of the Remote Participant Agreement can be obtained from Post Trade Operations (posttradeoperations@lme.com)

# **3** The Vetting Process

#### 3.1 Vetting of LMEsword Participants

The LME Market Access team will work with perspective Members to issue and collate the required documentation as part of the vetting process. Please contact the Market Access team directly in relation to this process (market.access@lme.com)

#### Form 1 – Authorisation of Security Officer

#### Example:

#### **LMEsword Security Officer Nomination Form**

This form must be signed by the authorised representative of the organisation accessing LMEsword to confirm that the Security Officer(s) listed below should be given Security Officer access rights to LMEsword.

Name of organisation accessing LMEsword:

The following individual(s) is/are appointed as Security Officer(s) for LMEsword by the organisation set out above. The Security Officer shall be responsible for the registration of users accessing LMEsword. The LME manages the enrolment of Security Officers using certification software licenced to the LME by Symantec.

Security	Officer	(s)

Surname, First Name	Job Title	Unique individual e-mail address
Sumame, First Name	Job Title	Unique individual e-mail address

The Security Officer(s) listed above are able to perform the following tasks:

- Register and add users to LMEsword;
- delete users of LMEsword; and
- suspend users of LMEsword.

Please take particular care to ensure that the correct details of Security Officer(s) are set out above. The LME accepts no liability whatsoever to any person for any loss or damage arising from any inaccuracy in respect of the Security Officer information that is provided above. Furthermore, the LME accepts no liability whatsbeever to any person for any loss or damage arising from any ext or omission of the Security Officer(s) or users that are given access to LMEsword by the Security Officer. By returning this LMEsword Security Officer Nomination Form, the <u>organisation</u> nominating the Security Officers above acknowledges that it is solely responsible for the lawful and appropriate access and use of LMEsword by the Security Officers set out above. Any questions in respect of Security Officer <u>accesss</u> should be addressed to: posttradeoperations@lme.com.

Please return this LMESword Security Officer Form to your contact at the LME.

The Security Officers above are nominated for and on behalf of the organisation above by:

SIGNED ON BEHALF OF THE	
ondation for	
NAME OF AUTHORISED	
SIGNATORY:	
POSITION OF AUTHORISED	
SIGNATORY:	
DATE OF SIGNATURE:	



#### 3.2 Form 2 – LMEsword External User Access Form

This form will need to be completed in order for the LME to create the Users in LMEsword and to be enrolled for a Digicert certificate. This will need to be signed by a Compliance Officer or Security Officer and sent back to Post Trade Operations

Example:



#### LMEsword External User Access Form

This form must be completed and signed by a compliance officer.

Please take this as confirmation of my/our request to set up users with the following privileges.

Organisation:

Username (first name and Surname)	Email Address	Access Level *	Reason

\*Access Level 1 - Creator User

Access	to	create	warrant	transf	ers	
Access	to	create	and auth	horise	warrant	transfers

- 2 Creator Authoriser 3 – Authorise User 4 – Read Only
- Access to authorise warrant transfers Access to view warrants and reports

LME.COM

Compliance Officer

Print Name:		
Signature:		
Date:		
Please return one comple	eted signed copy of this form to:	
LME Post Trade Operation	ons posttradeoperations@lme.	com 020 7113 8201
THE LONDON METAL EXCHANG	£	LME.COM

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#### Form 4 – LMEsword New User Certificate Form

Example:



#### LMEsword New User Certificate Form

This form must be completed and signed by a compliance officer/Security Officer.

Please take this as confirmation of my/our request to issue a 1 year certificate for the user/s below.

Organisation: -

First Name & Last Name	User Id	Email Address

Compliance Officer/Security Officer

Print Name:

Signature:

Date:

Please return one completed signed copy of this form to:

LME Post Trade Operations posttradeoperations@lme.com 020 7113 8201

#### Internal Use

Name	Date Cert Issued
	Date certificated

#### THE LONDON METAL EXCHANGE

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# 4 Initial User Registration

## 4.1 Nominated Security Officer(s)

The Security Officer is responsible for managing Users within LMEsword for the Users from their own organisation.

The Security Officer must observe the following Rules:

- a. Only create new User IDs on the authorisation of an appropriate officer of the company (who must not be the new User);
- b. Only allocate the level of privilege and access that has been authorised;
- c. Suspend User IDs of Users who are absent for extended periods;
- d. Re-instate User IDs when necessary (after appropriate procedures have been followed, according to the circumstances that preceded the original suspension of the User ID);
- e. Reset User passwords, as necessary;
- f. Securely maintain a record of all current Users and their level of privileges and access to functions;
- g. Assist the LME periodically to revalidate the current Users and their level of access to LMEsword;
- h. The Security Officer must follow secure local procedures for the creation and management of User IDs and passwords within the Participant organisation;
- i. The following basic procedures must be adapted for the circumstances of individual organisation.

In the instance whereby Post Trade Operations consider an action or activity within LMEsword to be suspicious, it will be reported to the Head of Post Trade Operations. At this point, depending on the suspicion or the severity of the activity, the incident will be referred to Market Surveillance for further investigation.

#### 4.2 LME System Operations

The Security Officer accounts will be set up by the LME. The LME Post Trade Operations Team, as needed will manage password resets for these accounts.

By design, all instructions within LMEsword require dual authorisation. One User at the participant firm will be required to propose an instruction and a second User will then be required to authorise the instruction.

# 5 How Do I Access LMEsword System?

#### 5.1 User login and certification

The LME Post Trade Operations Team upon request of a Security Officer will issue all Users with a Digicert Digital Certificate.

This certificate will be issued as an e-mail, which will invite the User to install the certificate.

Each digital certificate is unique and is issued as one per User per unique e-mail address. If a User requires access to the test environment, they can use the same certificate. Any questions in relation to this process should be directed to the LME Post Trade Operations Team (posttradeoperations@lme.com)

#### NB: The LME supports LMEsword in Microsoft Internet Explorer version 11.

After entering the LMEsword web address <u>https://lmesword.prd.lmexgw.com</u> into the browser, you may be presented with the below Alert window

A pop up may appear requesting selection of the certification to use:



If the required certificate is not displayed in the initial pop up, select the More Choices option and choose the relevant certificate to access LMESword;

More cho	ices	
		a large Star of Balance
	Issuer: THE LONDON Valid From	METAL EXCHANGE CA
×	anna 140 (1403) Iona 140 (1403) Ionairte (1403)	and the local data
	section of	
	surrice revealed	No. April March
-	Administration Applications of Applications and Applications of Applications and Applicatio	na dan 190 meta Ing Dan 1 Admin Kecampida Data
-	Administration in many legendering menselegistics - Co recorded Reserved	er lan Anton Tan Anton
	ок	Cancel

The LMEsword login window is then displayed. Enter your username and password – you will find these on your LMEsword e-mail sent to you during your account setup.

Access to this computer and network is restricted to persons and programs authorised by the London Metal Exchange. Unauthorised Access is
prohibited and is wrongful under law. Do not proceed if you are not authorised.
User Name:
Log In



#### 5.2 How to Export your Certificate

LMEsword Users may be required to export their certificate when required to switch between different PC's. In order to complete the process, the User will be required to follow the steps outlined below.

In the browser, you can either open 'Tools' and select 'Internet Options' or use the Settings icon shown below.

۶,	) -	6	2	-
Print				>
File				>
Zoom (90%)				>
Safety				>
Open with Microsoft Edge		Ctrl+	Shift+l	E
Add site to Apps				
View downloads			Ctrl+	J
Manage add-ons				
F12 Developer Tools				
Go to pinned sites				
Compatibility View settings				
Internet options				
About Internet Explorer				

In the new screen, go to the 'Content' tab and select 'Certificates'.





#### Select the certificate you want to Export and then select the EXPORT button



#### Select NEXT



## Select YES, export the private key



#### Accept the default settings as shown below

🗧 😼 Certificate Export Wizard	×
Export File Format Certificates can be exported in a variety of file formats.	
Select the format you want to use:	
O DER encoded binary X.509 (.CER)	
Base-64 encoded X.509 (.CER)	
Cryptographic Message Syntax Standard - PKCS #7 Certificates (.P7B)	
Include all certificates in the certification path if possible	
Personal Information Exchange - PKCS #12 (.PFX)	
Include all certificates in the certification path if possible	
Delete the private key if the export is successful	
Export all extended properties	
Enable certificate privacy	
Microsoft Serialised Certificate Store (.SST)	
Next Ca	ancel

You must enter a password in order to export the certificate; this will be needed when importing the certificate later.

	×
🗧 🌽 Certificate Export Wizard	
Security To maintain security, you must protect the private key using a password.	y to a security principal or by
Group or usernames (recommended)	
	Add
	Remove
Password:	1
•••••	
Confirm password:	1
••••••	
Encryption: TripleDES-SHA1 V	
	Next Cancel

Enter in the file name you wish to save the file as and click Next.

	×
🗧 😺 Certificate Export Wizard	
File to Export Specify the name of the file you want to export	
File name:	
My_Sword_Certificate Browse	
Next Canc	el



LME Classification: Public

Your certificate will now be saved into the chosen destination (default is Desktop).

#### Select FINISH

🗧 ᡒ Certificate Export Wizard		
Completing the Certific	ate Export Wizard	I
You have successfully completed the	Certificate Export wizard.	
You have specified the following setti	ngs:	
File Name	C:\Users\	Desktop My_Swor
Export Keys	Yes	
Include all certificates in the certific	ation path Yes	
File Format	Personal Inform	ation Exchange (*.pfx)
<		>
-		
		Frit



The file may appear as below in your chosen destination.



To import the file onto another PC, the destination PC must be able to access the exported certificate file.



#### 5.3 How to Import your Certificate

Ensure the destination PC can access the exported certificate file.

From your internet browser open settings followed by Internet Options



Select Content tab from the menu bar followed by Certificates

Internet Options	?	×
General Privacy Content Connections Programs		
Certificates		
Use certificates for encrypted connections	and identification	n.
Clear SSL state Certificates	Publishers	
AutoComplete		_
AutoComplete stores previous entries on webpages and suggests matches for you.	Settings	
Feeds and Web Slices		
Feeds and Web Slices provide updated content from websites that can be read in Internet Explorer and other programs.	Settings	
	ministrator	
some securigs are managed by your system ad	ministrator.	
OK Ca	ncel Ap	pply

# Select Import and follow the following Import Wizard process steps

	Other Peo	ple	Intermediate Certification Authorities	Trusted Root Cer	tification 4
Issued	То		Issued By	Expiry Date	Friendly 1
5			THE LONDON METAL EXCHANGE CA		<none></none>
			THE LONDON METAL EXCHANGE CA		<none></none>
- <b>1</b>			the second s		Admin Ce
- II.					Admin Ce
- <b>-</b>					noreply@
					<ivone></ivone>
					<ivone></ivone>
<				_	<none></none>
<	Ex	port.	Remove		<inone></inone>
<	Ex	port.	Remove	[	<none></none>
<pre>Import. Certificat Client Aut</pre>	Ex	port.	Remove		<none></none>

~	F Certificate Import Wizard	×
	Welcome to the Certificate Import Wizard	
	This wizard helps you copy certificates, certificate trust lists, and certificate revocation lists from your disk to a certificate store.	
	A certificate, which is issued by a certification authority, is a confirmation of your identity and contains information used to protect data or to establish secure network connections. A certificate store is the system area where certificates are kept.	
	To continue, click Next.	
	Next Cance	el

Select Browse and locate the certificate that you saved at the start of the process



Select the .pfx Files of Type option to find your file.







Enter the password that was initially created when certificate was being exported.

Select 2<sup>nd</sup> check box to ensure you can export the certificate again.

	Private key protection
	To maintain security, the private key was protected with a password.
_	Type the password for the private key.
	Password:
	•••••
	Display Password
	Import options:
	Enable strong private key protection. You will be prompted every time the private key is used by an application if you enable this option.
	Mark this key as exportable. This will allow you to back up or transport your keys at a later time.
	Protect private key using virtualised-based security(Non-exportable)
	Include all extended properties.

The Certificate Store should default to Personal, click Next

÷	Certificate Import Wizard	×
	Certificate Store Certificate stores are system areas where certificates are kept.	
	Windows can automatically select a certificate store, or you can specify a location for the certificate.	
	O Automatically select the certificate store based on the type of certificate	
	Place all certificates in the following store	
	Certificate store:	
	Personal Browse	
	Next Cano	el :



LME Classification: Public

#### **Click on Finish**



If should receive a pop up stating that the import was successful



#### 5.4 Change Password

From the menu bar within LMEsword Select Admin> Change Password;

6	Welcome I Settings [Log Out
	HOME WARRANT TRANSFER LODGE WITHDRAWAL FILE REPORTS ADMIN HELP Q.
	CHANGE PASSWORD
	CONFIGURE SCANNER
INDOX SENT ARCHIVE ARCHIVE MESSAGE	··· ··· ··· ··· ··· ··· ··· ··· ··

#### Enter current (old) password;

Change Password	
SAVE CLEAR CANCEL	
Old Password	
Password	
Confirm Password	

Enter new password – at least 8 characters long including at least on uppercase and one lowercase character;

Change Password	
SAVE CLEAR CANCEL	
Old Password	
Password	
Confirm Password	

#### Confirm new password and click on the save button;

Welcome    Settings   Log Out
HOME WARRANT TRANSFER LODGE WITHDRAWAL FILE REPORTS ADMIN HELP

LMEsword provides a system message on the screen confirming that the action was successful.

C LMEsword	Wexcome 15000000 15000000 15000000000000000000		
INDOX WRXX SENT ARCHIVE MASSAGE	Records 200 V		
CONFIRMATION Your preserved has successibly changed.			



#### 5.5 Password Expiry

A User defined LMEsword password will last 30 days.

A system-generated password, which is issued when a Security Officer resets a password, will only, be valid for 24 hours only.

#### 5.6 Expired Password

You will be prompted to change your expired password when logging into LMEsword, rather than having to reset your password.

You will still be required to enter eight characters alphanumeric with capitalisation, as your new password.

LMEsword has a password history of last five passwords; you will not be able to reuse one of these passwords.

Enter details on logon page;

Password expired screen will appear;

SAVE CLEAR CANCEL			
Your password has expired. Please Old Password	enter a new password and select Save.		
Password			
Confirm Password			

Enter old password;

Enter new password, and confirm new password;

Confirmation will be displayed.



#### 5.7 Resetting your Password

If you have three unsuccessful login attempts on LMEsword your User account will be locked out from any further login attempts;

You must contact your local LMEsword Security Officer who can reset your password and unlock your account;

If your password is reset you will receive an email with your new system generated password.



When you log in with this password you must change your password straightaway

A system-generated password will only be valid for 24 hours only.

#### 5.8 Logging off the System

It is common and good practise to log out of LMEsword after you have completed your tasks. After 30 minutes of inactivity, LMEsword will automatically log you out of your account.

# Messages

#### 5.9 Un-Read messages

Navigate to the inbox;

Select an unread message depicted in Bold;

Read message;

Select Back;

Return back to the inbox screen, the message will not be highlighted, and a green tick will appear under the read column.

Inbe	l inbox						
INB	XX SENT ARCHIVE ARCHIVE MESSAGE					Reco	rds 200 🔹
	Subject	Read	Processed	From	Date Time Sent	Category	Priority
	Rent Endorsement Completed			Nonstant Instally Installed	0.00310.0.000	Message Type 1	High
	Rent Endorsement			New Acad Generally Sector 14	0.0000 0.000	Message Type 1	High
	Rent Endorsement 1 Completed	⊻		International Connecting Sections 218	0.0000.000	Message Type 1	High
	Ex-cleared Transfer Instruction Authorised			Termine Terminik	0.000	Message Type 1	High

#### 5.10 Instruction Link

Navigate to the inbox;

Click on the subject of the message to open message;

Select the link Go to Instruction list;

You will now be directed to the related instruction.

	Message						
	DELETE BACK						
	From	Haatti 47 Hitmai					
)	Date Sent	CHEVEN WITH MICH.					
	Subject	Ex-cleared Transfer Instruction TIMEN COR. 84 TIMEN EX: Deleted					
	Folder	Inbox					
	Body	Ex-cleared Transfer Instruction 122411 Dec. 61 122411 Enc. Deleted					


# 6 Administration

This section in the Operating Procedure guide illustrates how an approved Security Officer would manage LMEsword on behalf of their organisation and the Users from that organisation.

6		Welcome and a line ( Lo	bg Out
LMEsword	HOME FILE REPORTS	ADMIN HELP	Q,
		CHANGE PASSWORD	
		USER ADMINISTRATION	
INDOX SENT ARCHIVE ARCHIVE ARCHIVE ARCHIVE ARCHIVE ARCHIVE ARCHIVE		CONFIGURE SCANNER	2
			1

### 6.1 View all Users in the system

Select Admin > User Administration;

View all LMEsword Users from your organisation.

-											Welco	me   Log Out
	LMEs	word								HOME FILE	REPORTS ADMIN HEL	P Q
User	r Administrati	on									1 of 16 Users	Currently Logged In
NEW	DELETE AME	ND ACTIVATE	SUSPEND RESI	ET FAILED LOGIN ATTEMPTS	RESET PASSWOR	REFRESH						Records 200 💌
	User Name	First Name	Last Name	Email	Suspended	Locked Out	Failed Login	Lock Out Date	Last Login Date	Recently Active?	Last Activity Date	Create Date
	100011-0001101	7670	il ana	annait igeannaí an	*				100000000000000000000000000000000000000		100001-10012	0.000000000
	100.05145	(Marco)	(Positivation)	and the second second					0.000203010101041000		100000000000000000000000000000000000000	10.0004/0011
		Summ	(Spinsor)	ana distanti a					0.000000110000110		100000000000000000000000000000000000000	10000000
	0813080	Continents.	(http://	and Hillington a.					0.00000001111000000		100000301111110000	(BARACOTO)
	URL DATE:	(Sec4)	Marculi	annel Meannelse.					1441013031-01-02-02-02	*	3407780118130-0	1001103000
	00.0050	(indiana)	Mager.	and internation					CONTRACTOR CONTRACTOR		100000000000000000000000000000000000000	1444553398140

### 6.2 Create a New User

Select Admin > User Administration – view all Users in the system;

Select New button;

Enter Mandatory information as a minimum in order to create a new User;

- i. User Name (format: Mnemonics; User initials and User role), i.e. AAAMPCA;
- ii. Organisation Type and Organisation are predefined by the LME;
- iii. Add extra information where appropriate to your organisation;

Select Create User button to commit the creation to the LMEsword system;

LMEsword displays system message after User created successfully;





Optional step – select the Clear button to clear all details from the screen;

Optional step – select the Cancel button to leave the new User window with nothing saved.

If you receive an error, "User already exists", ensure email address is unique from other active Users, otherwise change the User ID as this may have been previously used and deleted.

### 6.3 Delete a User Account

Select a User via the corresponding check box on the User summary page;

Select the Delete button from the main User Administration Menu bar (note that once a User is deleted, the User ID can no longer be reused);

Select Ok to confirm the deletion or select Cancel to halt deletion;

Microso	it Internet	Explorer	×
?	Are you su	re you want to de	elete?
	ок	Cancel	

Once deleted you will see the following message.



### 6.4 Amend a User Account

Select a User via the corresponding check box on the User summary page;

Select the Amend button from the main User Administration Menu bar;

Change data within the amend User screen;

Select Save - Changes now saved within the User record;

Optional step – select the Clear button to clear all details from the screen;

Optional step – select the Cancel button to leave the new User window with nothing saved.



### 6.5 Activate or Suspend a User Account(s)

The Security Officer is responsible for processing requests to Activate or Suspend a User Account. In the absence of the Security Officer, please contact the Post Trade Operations team for further guidance. Any request to the LME should be made via e-mail from an authorised person at the participant organisation. As per section 4.1 of the Operating Procedure, the Security Officer or delegate is solely responsible to ensure that Users have appropriate access to LMEsword.

Select a User via the corresponding check box on the User summary page;

Select the Activate or Suspend button from the main User Administration Menu bar;

LMEsword provides a system message confirming that the action was successful;

## CONFIRMATION User(s) ATESTER suspended successfully.

Alternative step – select User, select < Amend>, select \* 
 • Activate 
 O Suspend then < Save>;

You may see a system message indicating that LMEsword is processing your request, please be patient and wait for the action to complete;

If a User has been suspended LMEsword will indicate this in the "suspended" column.

1	User Name	First Name	Last Name	Email	Suspended	Locked Out	Failed Login	Lock Out Date	Last Login Date	Recently Active?	Last Activity Date	Create Date
	1000		10	address of	*		0					
0	100.001	30	i m	and burnes.	1		0		100.01110.000		10000-0.000	10000

### 6.6 Reset Failed Login Attempt(s)

Select a User that requires a reset via the corresponding check box on the User summary page;

Select the Reset Failed Login Attempts button from the User administration menu bar;

LMEsword provides a system message confirming that the action was successful;



The Failed Login column will reset back to '0'.



### 6.7 Reset a User Account Password

Select a User that requires a reset via the corresponding check box on the User summary page;

Select the Reset Password button from the User Administration Menu bar;

LMEsword provides a system message confirming that the action was successful;

CONFIRMATION Password Reset successfully for user(s) ATESTER.

An email is sent to the User with a system-generated password.

Reply Reply	Reply All 😋 Forward 🖓 IM
	LME Admin <lmesword@ime.com> New LMEsword Password</lmesword@ime.com>
WARNING: E	xternal email, please exercise caution.
Your new LN https://Imes	MEsword password is JCC8;*C]Ru46. Your LMEsword password will expire within 1 day. Please log onto word.prd.lmexgw.com/ to change your password.

A system-generated password will only be valid for 24 hours only.

### 6.8 Sort User Results Screen by Column Heading

Each column heading in the User Administration main screen is a link. If you select the link the table of Users will be sorted by that value in ascending or descending order – (re-click for alternative order).

### 6.9 Email User via Email address in results screen

Selecting the e-mail address in the Email column for each User will open an e-mail message window with the User e-mail address in the to: field.

# Part 1 - Member: User Specific Functions

## 6.10 Participant Types

The Clearing Member participant type will have the standard set of roles configured in line with all LMEsword participant types:

- 1. Creator
- 2. Creator-Authoriser
- 3. Authoriser
- 4. Read Only
- 5. Security Officer

# 7 Account Management

From the main menu, select Warrant followed by Account Management



### 7.1 Account – Create an Account

An account holder can create as many accounts as required to facilitate their own business as long as the accounts are created in accordance with the LMEsword Regulations. Account Holders can create, amend and delete accounts without the need for dual authorisation.

Create Account		
SAVE CANCEL CLEAR	2	
	*	
Account Code	Ŷ	
Account Name	*	
Account Type		Customer
Description		
		Ψ
Compliance Reference	*	

Go to Warrant > Account Management – Summary list of all accounts within your organisation will be displayed;

Select New and a Create Account window appears;

Enter mandatory information;

- i. Account Code;
- ii. Account Name;
- iii. Account Type Customer / House;
- iv. Compliance reference;

Enter optional information;

v. Description;

Select Save to save details and create the new account;

Optional step - Select Cancel to exit window without saving any changes;

Optional step – Select Clear to clear all data in the window.



The distinction between House and Customer Accounts is required because account holders who hold warrants for their segregated customers need to be able to hold those warrants separately from their own.

There are no facilities for creating an account hierarchy, other than between House and Customer Accounts i.e. it is only possible to create one level of Account beneath the House and Customer level.

### 7.2 Account – Delete an Account

The following restrictions apply when deleting an account.

A mandatory account cannot be deleted i.e. the Clearing House and Customer Collection accounts;

An account in which warrants are held cannot be deleted; and

An account cannot be deleted;

- i. If it is the destination account in an active warrant lodge instruction;
- ii. If it is the destination account in an active ex-cleared transfer instruction;
- iii. If it is the destination account in an active inter-account transfer instruction;

Go to warrant > Account Management – summary list of all accounts within the organisation will be displayed;

Select the account you want to delete by checking the corresponding checkbox;

Select the Delete button at the top of the screen the following window will appear;



Select Ok to confirm the deletion;

Select Cancel to halt deletion;

Once deleted you will see the following message;



## CONFIRMATION Account(s) TestA Deleted successfully.

If you attempt to delete an account with active warrants associated with it you will receive the following message;



"Accounts cannot be deleted if warrants exist in that account"

Mass account deletion; select more than one checkbox and select Delete - follow same process.

*N.B.* Once an account has been deleted, the account details i.e. name and codes will not be able to be reused.

### 7.3 Account – Amend Account Details

Go to warrant > Account Management – summary list of all accounts within the organisation will be displayed;

Select the account you want to amend by checking the corresponding checkbox;

Select the Amend button at the top of the screen, the amend account window will appear;

Make necessary changes to the account, select the Save button;

The following message will appear;

CONFIRMATION Account TESTB Updated successfully.

Error message: if you select a mandatory account for amendment you will see the following system message;



Optional step – Select Cancel to exit amend account window without saving any amendments;

Optional step – Select Delete to delete the account (possible in an amendment process).



### 7.4 Account – Mandatory Accounts

Mandatory accounts for LME Clearing Members, required for the facilitation of cleared transfers, are set up automatically by the system. The accounts are:

Clearing House House Collection Account;

Clearing House Customer Collection Account.

Accour	Account Management									
NEW A	MEND DELETE DOWNLOAD REFRESH	INTER-ACC. EXCLEAR CLEARED	WITHDRAW RENT ENDORSE							
	Account Code	No. of Warrants	Account Name	Account Type						
	CustomerCollection	<u>0</u>	CH Customer Collection Account	С						
	HouseCollection	<u>0</u>	CH House Collection Account	Н						

### 7.5 Account – Download an Account

Go to warrant > account management – summary list of all accounts within the organisation will be displayed;

Select the account you want to download by checking the corresponding checkbox;

Select the Download button at the top of the screen the following window will appear;

Select type of download required:

- i. ID only provides the User with a file with Warrant ID only;
- ii. Upload Format (coded values) this is a level 2 download which can be used by all Users as required;
- iii. Full Details this is a level 3 download which can be used by all Users as required;

User has the option to input a new Filename;

Select Download;

File management window opens;

Click on Refresh button to view download details (you may have to wait a few minutes for the page to be updated);

Select the view link for the download entry;



Depending on your browser settings, the file will be available to download.

### 7.6 Account – Rent Endorse an Account (Rent Paid)

In order to facilitate

Go to warrant > Account Management – summary list of all accounts within the organisation will be displayed;

Select the account you want to rent endorse by checking the corresponding check box;

Select the Rent Endorse button at the top of the screen the following window will appear;

	Create Rent End										
	Rent Target Date: *  Use this value (dd/mm/yyyy)  Do not set a value  CREATE CANCEL										
Deret	Forders and the										
NEW	AMEND DELETE AUTHORISE DOWNLOAD	REPORT									Records 200 💌
<ul> <li></li> </ul>	CONFIRMATION Instruction(s) Created Succe	essfully									
	Reference	ld	Status	Warrants	Rent Due (\$)	Created User	WH Agent	WH Company	Rent Expiry	Created	Completed
	TORNET, INCOMENDATION	12007	Stanificited Trails	10	3007310	000.0463	Rolly/Internal	Museum Museum LL-	0.016(0)11		
	TATION UNITED AND COMPANY	122688	Stanificited Trails	1123	1714030-20	000.004534	International T	Transmit (Mean) (1991)	0.00463045		

The rent endorsement window opens with the message "Rent endorsements created successfully)" at the top of the screen;

All the warrants are put into a rent endorsement instruction by warehouse company;

The warehouse company code is the reference for each instruction;

Choose one of the instructions and click on the Amend button, the amend rent endorsement window should be displayed – see below;

Input the target date in this format – dd/mm/yyyy and click on the Save button;



Amend Rent Endorsement	t. The second
SAVE CANCEL REPORT	
DETAILS WARRANTS (721)	COMMENTS (0)
Id	125087
Reference	<ul> <li>TONNOT_BMFINEARMESIDED</li> </ul>
Warehouse Agent	* 1041:
Warehouse Company	* Workbeide Warehouse Solutione (LC)
Target Date	* (dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for
Rent Due (\$)	738,123.75
Status	Unauthorised Create

The following message will appear;



The instruction is now ready for authorisation.

## 7.7 Fast Track Instructions from Account Management

#### 7.7.1 Inter-Account Transfer

Navigate to Account Management;

Select an account;

Select Inter-Acc;

	Account Management								
NEW	AMEND DELETE DO	WNLOAD REFRESH INTER-AG	EXCLEAR CLEARED WITHDRAW RENT ENDORSE			Records 200 -			
	Account Code	No. of Warrants	Account Name	Account Type	Description	Compliance Ref			
	Harts		Maxim Mexan	6		10000			
	16.000		/Monaches	6		100010			
	100011	(235)	AND A TRANSPORT AND AND AND A TRANSPORT	6		1.1100004			
	Acoustie		Headle (Million (Teasons), 1995)			(the estimated in File			
	104110	10	(BMPT18.4.6.6.72			1287880			
	SMARA SHE	1888	(Bash11038).cc/0421-0.0880-1		Financing/lo/holder	14880771			
	SMALL COLO		0444110403-001104000-			14882771			
	SHARE SHEET		0044110400.000100011			10000771			
	SHARE ADDRESS		000071011000.40100011	6		1000771			
	deditor of the local diversion of the		distribution in the second	6		1000771			
	946-11434815		daafraag (Franklik)	6		100077			
	Beer carr	100	(Bastronicas) (			100007			
	84942		00071001012			1107000			
	Bellingson.		(Bastroadourio)			1107000			
	the second	1848	UNIT TRADUCTION DE	6		1000771			
	BARRETTS		BATTRANCE CTTL			1207000			
	947011231		(BMPTROLETE)			(Fearman)			

### A pop up will appear;

Create Inter-Account Instruction								
Target Account for Account	the Inter-Account Instruction:							



# Select Target Account from drop down list;

Crea	te Inter-	Account Instruction	
Target	Account f	or the Inter-Account Instruction:	
Accou	int	Provinsion - Provinsion Provinsion Sector - State - S	
CLEARED	WITHDRA	Grand and a second	Not
		deal on the deal terms of the second of the	
		Handridge Frie ( Bas ( Theorem 2017)) Handridge ( 1997) - Bandridge ( 1997) Handridge ( 1997) - Bandridge ( 1997)	
		And Anno 19. Character Ball Character Ball	
		autoria en autoria en autoriale autoriales autoriales	
		and according and according to	
		Constituence - constituence	-

Select Create;

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;

Inter-ac	Inter-account Transfer Instructions										
NEW A	NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD UPLOAD Records 200										
🗸 0	CONFIRMATION Instruction(s) Created Successfully										
	Reference	Instruction Id	Warrants	Status	Target Account	Created	Released				
	88.10000.AC	1228.0		Anna Haritadi Tendir	BARTARTINGS.	66691153					
_	1998	-198671				1000 (BAD - 0.10)					

### 7.7.2 Ex-Cleared Transfer

Navigate to Account Management;

Select an Account;

Select Exclear;

Accou	unt Management					
NEW	AMEND DELETE DOV	VNLOAD REFRESH INTER-A	CC. EXCLEAR CLEARED WITHDRAW RENT ENDORSE	E		Records 200 🔻
	Account Code	No. of Warrants	Account Name	Account Type	Description	Compliance Ref
	Maama		Algorithe Alexand	6		18888
	18,17130		Alexandre	6		18875
	AMAGE CO.	1285	AND A CONTRACTOR AND AND AND A CONTRACT			12/2009/
	(Accessed)		Alexandra (Alexan Transmis) (2015)			(dependent/MPT)
	(881718)	-	(BRATTRATA) (B			1107000
	design and lotter -	1888	and medicaring to operation	6	(Reserving No. / Nobles	100077
	(And a construction		adult realized frequencies	6		100077
	design and the		1000/110000-0001000-0	6		100077
	design and the		(\$100°C) (\$100 - 100°C)	6		100077
			and made on a same			100077
	10001111-010011-		and the second sec			108077
	(8447.007		and the second sec			(1893)11
	(8471412)		(84/194/512)			1207000
	destruction.		(deal-real-core)			1107000
	(Basel Concession)	(248)	WANT ALL AND COLOMBUL	6		1.00077
	destrong three		MATTHEAST COTTO			107300
	047101223		BMPRILIER			(Berrare)

A pop up will appear;

Create Ex-	Cleared Instruction	
Enter / Select	t the following for the Ex-Cleared Instruction:	
Taker	*	
Security Reference		
Manual Release		
	CREATE CANCEL	

Use drop down menu to choose Taker;

Enter a Security Reference (if applicable);

Opt Manual Release (if applicable);

Select Create;

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;





You will now be directed to the instruction page.

Searc	earching and Sorting +										
Ex-c	leared Transfer Instructi	ons									
NEW	NEW AMEND DELETE AUTHORISE DOWINLOAD ACCEPT REJECT UNDO RELEASE UPLOAD										
✓	CONFIRMATION Instruction(s) Created Successfully										
	Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On		
	10.01.000.00	12240	1	Bulleh Ball /E	rinalgemente i Alexa Thadingi 1.4	Stauffortigel (Statio	616011-1-116	10.000			
	100	122842	1	Sector Report	Field Tease Teaching Franzi Links	Mathematic Teams	00.011124				

### 7.7.3 Cleared Transfer

Navigate to Account Management;

Select an account;

### Select Cleared;

Accou	int Management					
NEW	AMEND DELETE DOV	WNLOAD REFRESH INTER-A	CC. EXCLEAR CLEARED WITHDRAW RENT ENDORSI	E		Records 200
	Account Code	No. of Warrants	Account Name	Account Type	Description	Compliance Ref
	Hatta		Algorita History			1888
	14.11134		Months			1000100
	1000012	1235	AND A CONTRACTOR AND	6		12/2009/00/
	Accessed BT		Accelle (Alles Treasure, 1995)	6		(the estimated of the
	1041110	10	(Ball Transition)			11077000
	States and Constraints	1888	and management of the second of	6	Prosecuting the Problem	1.00077
8	design of the second second		and reading to the sense			100077
			chart makes were been			100077
			and the second of the second o	6		100077
			chad made of contracts	6		100077
	State Processor		alaaf magini in assaan i	6		100077
1	1000112001		and repairing in			100017
	(848110)2)		(0000710005112)			11077080
8	destroated in		and replacing			11077000
	and records -	(248)	and manager of the	6		100077
	1000110021711		del meneri cinto			11077000
	(BARTHELCER)		1000710-0121			(Enserver)

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;



This error will be received if the instruction contains invalid warrants

X All 2 Warrants have failed to validate. Select Export to view the failed Warrants. There is no Commitment for some of the Warrants

This error will be received if you do not have a corresponding clearing commitment.

You will now be directed to the instruction page.

Clear	eared Transfer Instructions												
NEW	NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD UPLOAD												
~	CONFIRMATION Instruction(s) Created Successfully												
	Reference	ld	Status	Warrants	Prompt	Contract	Acc.	Giver	Taker	Created	Completed		
	0010000238,528	12002	Angeliarian Frank	8	0.084311		8	AP Mage Sea	i din General (Sp.	404/01110-2			
	01100010100	12716	Analysis in the	1	6060311	74	11	AP Mage Sea	(in Gaussi in	0.06241-9-20			
	01100000000	12716	Anaphanasi Esate	18	6060911	188.	11	Physician .	100 General Ter-	(0.001) 1.2			
	0010001210	102710	Anatomic Seals	118	606011		10	(Philippe Dece	(2) Grand (3)	60601112			
	001000000000	12716	Analisma Seale	10	606011		11	/Pilinger Sea	1.00 (Depending)	006001-0-2			
	001000000.000	12008	Angelfamont Employ	10	6060311	- 10	11	/Pilinger Sea	1.01 (Depending)	6060114-2			
	3113036758	12264	Related	28	00011011	15	10	(19) Geanal Sp.	i Piloge Sea	696911-1-6	604011-0.4		

# 8 Warrant Creation

This section in the Operating Procedures guide illustrates how Member and Non-Clearing Member organisations can administer warrant creation and lodgement instructions.

HOME	WARRANT	LODGE	WITHDRAW
	CREATE &	LODGE	
	BATCH		•
	SEARCH		
	RENT END	ORSEME	ENT
	RENT CAL	CULATIO	N
	SCAN WAR	RRANT	
	CONVERT	TO PREI	MUM

Warrant Menu view dependent on your defined system access.

### 8.1 Creating Warrants & Lodgement

Warrants are created as part of the Lodgement process in a single workflow, rather than a twostage model. Up to 10,000 warrants can be created and lodged in a single instruction.

The London Agent is responsible for creating the warrants in LMEsword based on the information provided by the warehouse company. The London Agent will create the lodgement and allege it to the receiving member for their acceptance and authorisation.

### 8.2 Accept & Authorise a Lodgement

Once an Agent has authorised a lodgement instruction, the receiving member will be notified via LMEsword message that the instruction requires attention

The member will need to obtain the security code from the Agent (outside of LMEsword) to unlock the instruction to view the warrants and then assign an account.

From the main menu select Lodge > Lodge Instructions, or click on the instruction link in the notification message.

Lod	ge Instructio	ons AUTHORISE DO	WNLOAD					Records 200 💌
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
	BORGE	205939	10	Authorised Create	Folies International Ltd.		-	
	BODDie	205931	50	Completed	Folley International Ltd	051408	ACCRETE AND	(

In the Lodge Instructions screen, click on the Reference for the relevant instruction to view more details. Enter the security code as provided by the London Agent and click Save. In this example the security code is "jaqSxg"

Lodge Instruction Secu SAVE CANCEL NEXT	y Check	
DETAILS		
Instruction Id	2009	
Reference	063846	
Enter Security Code	★ jaqSxg	

If the code is entered incorrectly then an error message will be displayed and the User will be prompted to re-enter the code. However, once entered correctly, the security code is no longer required when acting on the Lodge Instruction or associated Warrants.



Back on the Lodge Instructions screen, the lodgement will now be in Security Code checked meaning that the warrant details can be viewed and checked. Click the checkbox for the relevant instruction and click Download.

ACCEPT REJECT AUTHORISE DOWNLOAD Record	ts 200 💌
Reference Instruction Id Warrante Statue     Anent Account Created Comm	
Agent Account Created Comp	eted
DELECTION 205931 50 Completed Fishing international Int dots 201310	
✓ 205939 10 Security Code Checked Faller International	

On the Download page, select the type of download, the desired filename, and then click Download. More details, including file format, structure and field details can be found in the LMEsword Technical Guide.

Download	
BACK DOWNLOAD	
Type of Download	● Id Only
	○ Upload Format (coded values)
	○ Full Details
Filename	36500 DOBRI Legendered X

From the File Management page, open the downloaded file and confirm that the warrant details are as expected, and perform the required due diligence as per each Members own operational best practice / internal goveranance. Note that the individual warrants cannot be rejected and the whole instruction will need to be resubmitted by the Agent in the event of an error.

Navigate back to the Lodge Instructions screen and click the checkbox for the relevant instruction. If the warrant details are not correct, contact the relevant London Agent and request they cancel and reinstruct. If the warrant details are correct, click Accept, and in the following screen choose the relevant Account from the dropdown list, add any comments if required, and click Save.

Vie	View Lodge Instruction											
SA	SAVE CANCEL											
DE	DETAILS WARRANTS (10) COMMENTS (1)											
Re	Reference *											
Ac	Account *											
<u>Sh</u>	Show Comments											
Lod												
ACC												
<b>~</b>	CONFIRMA	TION Lodge Inst	ruction succes	fully processed.								
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed				
	0035884	205931	50	Completed	Roley International LM	10534000						
	OC1880	205939	10	Unauthorised Accepted	Roley International LM	10134302	and the second second					

The lodgement will now be in an Unauthorised Accepted status and will need to be authorised by another User with sufficient LMEsword permissions. Click the checkbox for the relevant instruction and click Authorise. In the pop-up box, the second User will need to enter their Username, Password, and any relevant Notes. Click Authorise. If the Member is authorising a large number of warrants in a single instruction, a processing delay may occur while LMEsword completes the instruction. Please contact Post Trade Operations should you have any further questions.

If the underlying metal is stored in a jurisdiction that allows for dematerialised warrants then the instruction will move to a Completed status and the warrants will be in the nominated account immediately. However, if the underlying metal is stored in a jurisdiction that does not allow for dematerialised warrants then the instruction will move to a Pending Confirmation status and the LME Depository will need to confirm the warrants have printed successfully before the warrants are immobilised and will be available in the nominated account.

### 8.3 Authorise a Lodgement

Each Lodgement instruction will be required to pass through the dual-authorisation process.

A User from the same company and with sufficient access to perform the action must perform the authorisation.

The authorisation can be performed by a second User via the first User's LMEsword session, or alternatively it can be performed by the second User independently which the below process covers.

From the main menu, navigate to the Lodge > Lodge Instructions screen. This will display all recent lodgements performed by the Member, and in various status of the workflow.

Lod	ge Instructi EPT REJECT	ons AUTHORISE	OWNLOAD					Records 200 💌
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
	DODD0	2049-00	5	Unauthorised Accepted	Folloy International U.M.	101-04030	1000 Cold	
	DOR(B)	299809	10	Completed	Falley International Ltd.	1012-038		1010/001 110
	DOM:N	200830	50	Completed	Rolley International Ltd.	104-04034	PERSONAL PROPERTY.	

Identify the lodgement to be authorised – this will be one of the instructions in Unauthorised Accepted. Clicking on the Reference link of the relevant lodgement will open the instruction and display all pertinent details.

View Instruction	- Lodge			
BACK REFRESH				
Details				
Reference	DOM:06	Instruction Id	205946	
Account	104.142.05	Account Name	199,003	
Participant Id	1842	Status	Unauthorised Accepted	
Comments				
No Comments				
Selected Warrants				
Warrant No.	Warrant Id	Print Confirmed	Is Dematerialised	Premium Contract
10,010,1	336753		*	
803,009,0	339758		*	
102,010,0	2567138		*	
1072,0818,0	335758		×	
102,000,0	200710		*	
Request Audit				
Participant	Username	From State	To State	Date & Time
19-01			Unauthorised Create	10 00 00 00 00 00 00 00 00 00 00 00 00 0
18-01		Unauthorised Create	Authorised Create	10 million 10 million
Record pr Course	(in the second	Authorised Create	Security Code Checked	an and the second second
Readings Server	Receiption of	Security Code Checked	Unauthorised Accepted	IN MORE HEREIGHT

Check that all details are correct. The warrant details can be viewed per the process described in steps 4/5/6 in the <u>Accept and Authorise a Lodgement</u> section above. If the details match, click the BACK button which will navigate back to the Lodge Instructions screen.

Click the checkbox for the relevant instruction and then click Authorise

Lod	Lodge Instructions							
ACC	EPT REJECT	AUTHORISE D	OWNLOAD					Records 200 💌
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
~	0.020	205946	5	Unauthorised Accepted	Fille International Data	101212-0		
	0.3636	205939	10	Completed	Management of	1011-018		
	SC255a	205931	50	Completed	This phenotened use	101212-010		

This will trigger a free format text pop-up where optional notes can be added. Add notes if needed and then click Authorise.

Authorise		
Notes	These are test notes from authorising.	~
	AUTHORISE CANCEL	Ŧ

The screen will return to the Lodge Instructions view and a green banner will show confirmation.

Lodg	e Instructio	AUTHORISE DOV	WNLOAD					Records 200 💌
~	CONFIRMAT	ION 1 Instruction(	s) authorised su	ccessfully.				
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
	0.000	205946	5	Completed	Name and Address of the	100.000	10.0000	101000-001
	0.000	205939	10	Completed	Roley Merceller (19	100.000	40-80000-0001-	ACCESSION 1.18
	0.0016	205931	50	Completed	fally therefore of	-		100000000000000000000000000000000000000

### 8.4 Viewing Lodgement Instructions

Lodgement instructions can be viewed once they are in Authorised Create status, i.e. once it has been created and authorised by the London Agent.

Once logged in to LMEsword, from the main menu select Lodge> Lodge Instructions

The Lodge instructions list is displayed.

6							Welcome	Set	lings   Log O
	LME	sword	но	ME WARRANT	TRANSFER LODGE	WITHDRAWAL FIL	E REPORTS ADMIN	HELP	0
3 unr Prem	ead messages ium)	(0 Warrant, 0 Clear	ed, 0 Excleared	l, 0 Inter-account	, 3 Lodge, 0 Withdrawal,	0 Rent Endorsement,	0		+
Sear	hing and Sort	ing							+
Lod	ge Instructio	ons							
ACC	EPT REJECT	AUTHORISE DOV	WNLOAD					Records	200 💌
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed	
	0.08.000	205946	5	Completed	They interaction the	100.000	Accession from	10/10/01	10.01
	10.18.05	205939	10	Completed	Ride International Co.	in a second	second second second	-	
	10.17.02.	205931	50	Completed	Table Sciences in	1000.00000	Revenues and	10.10.00	1.11
					0				

## Clicking on any of the Reference hyperlinks will open the lodgement and display further details

6				Welcome	Settings   Log O
	word	HOME WARRANT TRANSFER	LODGE WITHDRAWAL FILE F	REPORTS ADMIN HEL	РО
3 unread messages ( Premium)	0 Warrant, 0 Cleared, 0 Ex	cleared, 0 Inter-account, 3 Lodge, 0	Withdrawal, 0 Rent Endorsement, 0	)	+
View Instruction	- Lodge				
BACK REFRESH					
Details					
Reference	Data and	Instruction Id	205946		
Account	termination of the local division of the loc	Account Name	Nexte		
Participant Id	1048	Status	Completed		
Comments					
No Comments					
Selected Warrants					
Warrant No.	Warrant Id	Print Confirmed	Is Dematerialised	Premium Contra	ct
1003.0000.0	CONTRACT.	*	*		
103,000,2	(individual and	*	*		
100,000,0	10000000	*	*		
Inclusion.	Carlos	~	~		
and states a	(rationers)	*	*		
Request Audit					
Participant	Username	From State	To State	Date & Time	
1002			Unauthorised Create	681603636 m	
(Sec.)		Unauthorised Create	Authorised Create	an and the se	
Reading Street	decised a	Authorised Create	Security Code Checked	an and the se	
No. of Concession, Name	CONTRACTOR N	Security Code Checked	Unauthorised Accepted	the statistical state	10.00
Name and Address of the Institute of the	The second second	Unauthorised Accepted	Completed	in second in	10.00

Clicking on a Warrant No. hyperlink will display the warrant details once the warrants are in an Authorised Printed status (i.e. the Lodgement is complete).

### 8.5 Reject a Lodgement

If members wish to reject an instruction from a London Agent, the LME would recommend the member contact the relevant London Agent and request the cancel and reinstruct of the lodgement instruction.

### Scenarios:

- a) Members should not reject instructions that are in an Authorised Create state, but should contact the London Agent to cancel and reinstruct the amended lodgement.
- Rejecting an instruction in Security Code Checked will send it to Unauthorised Rejected, and then to Rejected once authorised. If it is rejected from this stage, it will return to Security Code Checked.
- c) Rejecting an instruction in Unauthorised Accepted will send it back to Security Code Checked.

### 8.5.1 Rejecting an instruction in Unauthorised Accepted

From the main menu select Lodge > Lodge Instructions.

Click the checkbox for the relevant instruction and click Authorise.

Lo	dge Instruct	ions T Authorise D	OWNLOAD				R	ecords 200 💌
	CONFIRM/	ATION Lodge Instr	uction succesf	ully processed.				
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
	10.000	205951	4	Unauthorised Accepted	Kitte Merschreit im	040,0004	0.000.000	
					-			

In the pop-up box, add any notes as needed and click Reject. The instruction is now back in Security Code Checked status.

Lod	ge Instructio	AUTHORISE DO	WNLOAD				R	lecords 200 💌	
<ul> <li></li> </ul>	CONFIRMAT	ION 1 Instruction	n(s) rejected su	ccessfully.					(
	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed	
	0.005	205951	4	Security Code Checked	Killy International (u)	100.000	1000 CO		

# 9 Withdrawals

A Member will initiate the withdrawal process and create and authorise a withdrawal instruction.

The member will specify a withdrawal reason at the start of the process either for Cancellation or to Mobilise the warrants to hold them outside of the LME Depository.

Up to 10,000 warrants can be withdrawn per instruction.

LMEsword will create individual withdrawal instructions for the relevant London Agent based on the product and London Agent. If the warrants selected are in warehouses managed by different London Agents then LMEsword will automatically create multiple instructions – one per Agent per product, so that the warrants are correctly grouped and assigned.

For example:

- 3 warrants are selected for the same product and the same agent
  - This would result in a single instruction being created.
- 3 warrants are selected, one aluminium, two copper, all from the same Agent
  - This would result in 2 instructions
- 3 warrants are selected, one aluminium from one Agent, two copper from a different Agent
  - This would result in 2 instructions
- 3 warrants are selected, one aluminium from Agent 1, one copper from Agent 1 and another copper from Agent 2
  - This would result in 3 instructions

The London Agent is to then check and authorise the withdrawal within LMEsword, and print the withdrawn warrants.

### 9.1 Creating a Withdrawal Instruction

The Member generates withdrawal instructions from the Warrant Search screen.

Navigate to the Warrant > Search screen. Using the available criteria, display a list of warrants including those to be withdrawn.

N.B The LME would recommend that Members add the Create Username field to the search results (an option from the User Setting). This will capture the Username as to the creator of the warrant and the first three letters will identify the London Agent.

Warrant Search Criteria (Filtered)			-		
Saved Searches	LOAD DELETE Include Product : ZS Brand : IBIS :	SHG			
Status	INCLUDE EXCLUDE				
Lookup	INCLUDE EXCLUDE Exclude				
Range					
	INCLUDE EXCLUDE				
Maximum Number of Records SEARCH SAVE REMOVE CLEAR					
Warrants ■ Select All Results Total Warrants Sele	ected 0				
DOWNLOAD PRINT BATCH FIND BY COLLATERAL WITHDRAW RENT ENDORSE PREMIUM	ISE UNCOLL. INTER-ACC. EXCLEAR	CLEARED	/arrants 5 Records 200 💟		
Warrant No	Warrant Id	Product	Whse		
<ul> <li>INLINE.I</li> </ul>	2357141	ZS	5/18		
C HURL	2357141 2357140	ZS ZS	108		
	2357141 2357140 2357139	ZS ZS ZS	528 528 528		
<ul> <li>NUMBER</li> <li>NUMBER</li> <li>NUMBER</li> <li>NUMBER</li> </ul>	2357141 2357140 2357139 2357138	ZS ZS ZS ZS	528 528 528		

#### Select the warrants to be withdrawn by clicking the checkboxes.

Warrants 🔲 Sele	arrants ■ Select All Results Total Warrants Selected 3					
DOWNLOAD PRINT WITHDRAW RENT E	BATCH FIND BY COLLATERALISE	UNCOLL. INTER-ACC. EXCLEAR	CLEARED Wa	urrants 5 Records 200 💟		
Warrant No	W	arrant Id	Product	Whse		
	23	57141	ZS	10.0		
V	23	57140	ZS	10.0		

Click the Withdraw button from the menu, and in the pop-up box, and select the relevant Withdrawal Reason. A Create Withdrawal box will pop up, select the relevant reason for the withdrawal from the drop down;

Create Withdrawal	
Withdrawal Reason: *	For Cancellation For Mobilisation

Select "For Cancellation"

Create Withdrawal	
Withdrawal Reason: *	For Cancellation

### Select "For Mobilisation"

Create Withdrawal	
Withdrawal Reason: *	For Mobilisation       CREATE       CANCEL

Warrants being withdrawn for mobilisation for material held in the US jurisdiction will be required to complete 'Assignee' details, which should include the recipient's full legal name, and their contact details. **Once authorised, this instruction is irrevocable.** 

Create Withdrawal		
Withdrawal Reason:	*	For Mobilisation
Assignee:	*	
Assignee contact details:	*	<u>`</u>
This process is irrevocable warrant is printed by the a	e ono gent	ce authorised and must continue until the
		CREATE CANCEL

Click Create. A withdrawal instruction will be created and the Withdrawal Instructions screen will be displayed.

With	drawal Instructio	ons				
DELE	TE AUTHORISE E	AILY VIEW: OFF DOWN	LOAD UPLOAD			Records 200 🔽
	CONFIRMATION	Instruction(s) Created Su	ccessfully			
	Reference	Instruction Id	Warrants	Status	Created	Completed
	396,013	205954	3	Unauthorised Create	10-10-10-10-10-10-10-10-10-10-10-10-10-1	

This instruction will now need to be authorised by a second User from the same member with sufficient LMEsword permissions. Refer to the <u>Authorising a Withdrawal Instruction</u> section below.

### 9.2 Authorising a Withdrawal Instruction

A second User from the Member must approve withdrawal Instructions in Unauthorised Create status before they are visible to the London Agent.

Once a Withdrawal has been authorised, the relevant London Agent will be notified via an LMEsword message. They will then proceed to confirm the warrant details, accept the instruction, authorise, and then either print the cancelled warrants, or print the active warrants (for mobilisation) on the Warehouse Company's security paper.

From the main menu, navigate to the Withdrawal > Withdrawal Instructions screen.

Withd	rawal Instruction	าร				
DELET	E AUTHORISE DA	ILY VIEW: ON DOWNL	OAD UPLOAD			Records 200
	Reference	Instruction Id	Warrants	Status	Created	Completed
	396,86,3	205956	3	Unauthorised Create	0.000 0.0	
	100,014	205954	3	Unauthorised Create	10.00 Aug 10.00	
	386,64,3	205932	2	Authorised Create	0.000	

Identify the relevant instruction and click the Reference hyperlink to view more details and the associated warrants.

View Instruction - Wit	ndrawal		Ŭ	
BACK REFRESH				
Details				
Reference	1002,002	Instruction Id	205956	
Participant Id	10000	Status	Unauthorised Create	
Withdraw Reason	For Mobilisation			
Comments				
No Comments				
Selected Warrants				
Warrant No.	Warrant Id	Product	Print Confirmed	Premium Contract
Control Inc.	2357134	PB		
0.000	2357135	PB		
0,000,0	2357136	РВ		
Request Audit				
B 41		From State	To State	Date & Time
Participant	Username	From State	TO State	Date & Time

If the details are correct, click Back to return to the Warrant Instructions screen. If the details are not correct, refer to the Deleting a Withdrawal Instruction section below.

In the Withdrawal Instructions list, click the checkbox for the relevant instructions and click Authorise.

In the pop up box, add any notes if required and click Authorise. The instruction will now move to an Authorised Create status and the appropriate London Agent will be informed.

A Warrant Withdrawal Request PDF pop up will be displayed with details of the withdrawal.

If the withdrawal is For Mobilisation, this will also contain a Security Code, which is to be presented to the London Agent upon collection of the warrants.

Warra	nt \	Withdrawal Re	quest
			Date Printed :
			Time Printed : 13:27:41
LMEsword Participant Id	;	100	
Warrant Withdraw Id		156589	
Warrant Withdrawal Reference	:	Member01_156589_W	ITHD
Number of Warrants	:	1	
Number of Warrants Please withdraw the above Warra to the messenger.	: ants fro	1 om the Depository for the a	above Warrant Withdraw Id and hand
Number of Warrants Please withdraw the above Warra to the messenger. Security Code	: ants fro	1 am the Depository for the a 89539158	above Warrant Withdraw Id and hand
Number of Warrants Please withdraw the above Warri to the messenger. Security Code Depository Use Only	: ants fro	1 am the Depository for the a 89539158	above Warrant Withdraw ki and hand
Number of Warrants Please withdraw the above Warr to the messenger. Security Code Depository Use Only No. Of Warrants Withdraw	: ants fro : n:	1 om the Depository for the a 89539158	above Warrant Withdraw Id and hand
Number of Warrants Please withdraw the above Warr to the messenger. Security Code Depository Use Only No. Of Warrants Withdraw Warrants Collected by:	: ants fro : n:	1 om the Depository for the a 89539158	above Warrant Withdraw Id and hand
Number of Warrants Please withdraw the above Warr to the messenger. Security Code Depository Use Only No. Of Warrants Withdraw Warrants Collected by: Print Name	: : : n:	1 m the Depository for the a e9539158	above Warrant Withdraw Id and hand
Number of Warrants Please withdraw the above Warr to the messenger. Security Code Depository Use Only No. Of Warrants Withdraw Warrants Collected by: Print Name Signature	: : n:	1 2007 the Depository for the 2 200539158	above Warrant Withdraw Id and hand

Once generated, the report is also available to the Member via the Reports > Reports > Warrant Withdrawal Request.

### 9.3 Viewing Withdrawal Instructions

Withdrawal instructions can be viewed once they are in Unauthorised Create status, i.e. once they have been created per above process, and will show the status even as the instructions are progressed by the London Agent.

Once logged in to LMEsword, from the main menu select Withdrawal > Withdrawal Instructions

The Withdrawal instructions list is displayed.

Wit	hdrawal Instructio	ns				
DEL	ETE AUTHORISE D	AILY VIEW: ON DOWNI	OAD UPLOAD			Records 200 💌
	Reference	Instruction Id	Warrants	Status	Created	Completed
	366,85,3	205956	3	Authorised Create	0.0000000000	
	100.011	205954	3	Unauthorised Create	ALC: NOT THE OWNER WATER	
	380,00,3	205932	2	Authorised Create	Research and	

Clicking on any of the Reference hyperlinks will open the lodgement and display further details

BACK REFRESH     Details   Reference   Participant Id   Participant Id   Status   Authorised Create     Withdraw Reason   For Mobilisation     Comments   No Comments   Selected Warrants     Warrant No.   Warrant Id   Product   Print Confirmed   Premium Contract	
Details       Reference       Instruction Id       Image: Comparis to the total	
Reference     Instruction Id       Participant Id     Status       Authorised Create       Withdraw Reason     For Mobilisation         Comments       No Comments       Selected Warrants       Warrant No.     Warrant Id       Product     Print Confirmed   Premium Contract	
Participant Id     Status     Authorised Create       Withdraw Reason     For Mobilisation       Comments       No Comments       Selected Warrants       Warrant No.     Warrant Id     Product     Print Confirmed     Premium Contract	
Withdraw Reason     For Mobilisation       Comments       No Comments       Selected Warrants       Warrant No.     Warrant Id       Product     Print Confirmed       Premium Contract	
Comments No Comments Selected Warrants Warrant No. Warrant Id Product Print Confirmed Premium Contract	
No Comments Selected Warrants Warrant No. Warrant Id Product Print Confirmed Premium Contract	
Selected Warrants           Warrant No.         Warrant Id         Product         Print Confirmed         Premium Contract	
Warrant No. Warrant Id Product Print Confirmed Premium Contract	
2357134 PB	
2357135 PB	
2357136 PB	
Request Audit	
Participant Username From State To State Date & Time	
Unauthorised Create	
Unauthorised Create Authorised Create	

Monitoring the screen will show the latest status as the instructions are progressed by the London Agent.

Withdrawal Instructions	
DELETE AUTHORISE DAILY VIEW: ON DOWNLOAD UPLOAD Record	200 🔽
Reference Instruction Id Warrants Status Created Comple	ted
205956 3 Ready for Collection	
205954 3 Unauthorised Create	
205932 2 Authorised Withdrawal	

### 9.4 Deleting a Withdrawal Instruction

If the details are not correct on the Withdrawal Instruction then it will need to be deleted and the withdrawal restarted. Withdrawal instructions cannot be deleted once the instruction has reached Authorised Withdrawal state (accepted and authorised by the London Agent).

The instruction will be deleted and the associated warrants will return to the inventory to be used on another instruction.

From Withdrawal Instructions screen, click the checkbox for the relevant instruction.

Withd	rawal Instructions	Y VIEW: OFF DOWNLOA	D UPLOAD			Records 200 💌
	Reference	Instruction Id	Warrants	Status	Created	Completed
1	200,00,1	205958	2	Unauthorised Create	4010030-0-0	
	108,75,1	205956	3	Ready for Collection	0.0000000000000000000000000000000000000	
	56,0,3	205954	3	Unauthorised Create	DOUBLE DO	

Click Delete. At the pop up for confirmation, click Ok.

Message	from webpage	×
?	Are you sure you want to delete? This action cannot be undone.	
	OK Cancel	



The instruction is now removed from LMEsword and the warrants are available to use on other instructions.

Withdrawal Instructions         DELETE       AUTHORISE       DAILY VIEW: OFF       DOWNLOAD       UPLOAD       Records       200       V						
CONFIRMATION 1 Instruction(s) deleted successfully.						
	Reference	Instruction Id	Warrants	Status	Created	Completed
	300,00,0	205956	3	Ready for Collection	0.000	
	100.014	205954	3	Unauthorised Create	BARRIER HOLE	
# **10** Re-Issuing and Re-Lodging Warrants

In the event that a Re-Issue of warrants is required, this process would be managed by the London Agent. This scenario could occur when metal on warrant has been cancelled and then re-warranted. (See London Agent section 31 for process flow)

The process for Re-Lodging warrants is currently available but under review with the final operating model to be communicated to the Members in due course. In the interim, please reach out to Post Trade Operations should you have any immediate questions.

# **11** Search Functionality

# **11.1** How to make the most of your warrant search

# Status

Members can use status to find warrants that have or have not be endorsed as rent paid, suspended, collateralised, or flagged as Premium.

# Lookup

This criteria pull down menu allows multiple values to be added to the search. A User can at present choose one of each value under this list at a time to add to the search criteria.

The values available for lookup include Account, Brand, Product, Location, Warehouse, Warehouse Company.

### Range

This type of criteria allows the User to search a range of dates, weights, warrant IDs or warrant numbers.

# **11.2** Searching for a Warrant

Searching for a warrant is an integral part of LMEsword. It helps to populate a batch, produce downloads files and populate all instruction types (see general concepts for instructions sections).

Warrant Search Criteria (Fitere	id)					
Saved Searches	• LOAD	DELETE	1			
Status	• INCLUD	E EXCLUDE	d:AH			
Range	•	Exclude Exclude Ware	e house Company : FLBART			
	MCLUD	EEXCLUDE	_			
Maximum Number of Records		SEA	ACH SAVE			REMOVE CLEAR
Warrants Select All Result	s Total Warrants Selected 0					
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Warrant No	Warrant Id	Rent Due	Rent Start Date	Location	Net Wgt	Is Collateralised
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E (818)	101110	785.0	100.001	11.0	2480	
	1004110	100.00	10000000000		10000	

### The warrant search screen with all-important fields

There are three types of search criteria: Status (warrant), Lookup (e.g. Product, Location, Warehouse, Warehouse Company, Account, Brand, and Country) and finally Range (e.g. Warrant Id, Warrant No, Creation Date, Rent Start Date).

Select warrant > search;

Enter a search criteria for example, Product, select Include (search criteria appears in window in search section);

Enter a search criteria for example, Warehouse Company, select Exclude (search criteria appears in window in search section);

Select Search to run search based on the criteria – warrants appear in the bottom window;

Optional step: select particular selected criteria then select Remove to remove the selected search criteria;

Optional step: Select Clear to clear all selected criteria in the search section.



# 11.3 Saving Search Criteria

LMEsword allows up to 25 search criteria's to be saved.

Navigate to the search screen;

Enter criteria into the search screen;

Click Save;

Warrant S	earch Criteria			-
Saved Searches	•	LOAD	DELETE	Include Product: CA
Status	•	INCLUDE	EXCLUDE	
Lookup	▼ ABRA - ABRA ▼	INCLUDE	EXCLUDE	Exclude
Range	-			Brand : ABRA
		INCLUDE	EXCLUDE	
Maximum I	lumber of Records			SEARCH SAVE REMOVE CLEAR

### A pop up will appear;

Save Search Criteria	
Search Criteria Name	*

#### Enter a name;

Select Save;

A pop up will appear confirming it has been saved successfully.





# 11.4 Overwriting a saved search name

Navigate to the search screen;

Enter Criteria into the search screen;

Select Save;

A pop up will appear;

Use the drop down to select an existing named search;

Save S	earch Criteria
Search Criteria Name	New  Vew test test 2

Select overwrite;

Save Sea	h Criteria	
Search Criteria Name	lest * test	Y
	OVERWRITE CANCEL	

You will then receive a confirmation message.





### 11.5 Load saved searches

Navigate to search screen;

# Select a saved search from the drop down menu;

Warrant S	earch Criteria				
Saved Searches	▼ test	LOAD	DELETE	Include	
Status	test 2	INCLUDE	EXCLUDE		
Lookup	•	INCLUDE	EXCLUDE	Exclude	
Range	•				
		INCLUDE	EXCLUDE		
Maximum	Number of Records			SEARCH SAVE	REMOVE

# Select Load;

Warrant S	Gearch Criteria (Filtered)			· · · · · · · · · · · · · · · · · · ·
Saved Searches	test	LOAD	DELETE	Include Product : AH
Status	•	INCLUDE	EXCLUDE	
Lookup	•	INCLUDE	EXCLUDE	Exclude
Range	•	·		Location : Detroit
		INCLUDE	EXCLUDE	
Maximum	Number of Records			SEARCH SAVE CLEAR

# If the search criteria has existing data, a warning message will be displayed

Message fr	rom webpage
?	Any active Search Criteria will be lost and replaced with your saved Search Criteria. Are you sure you want to load?
	OK Cancel

Saved criteria will appear in the 'include' and 'exclude' windows;

Select Search.



# **11.6 Deleting Saved Searches**

Navigate to search screen;

Select a saved search from the drop down menu;

#### Select Delete;

Warrant S	earch Criteria (Filtered)				
Saved Searches	test	•	LOAD	DELETE	Include Downey - AH
Status		*	INCLUDE	EXCLUDE	
Lookup	•	Ŧ	INCLUDE	EXCLUDE	Exclude
Range		-			Location : Detroit
			INCLUDE	EXCLUDE	
Maximum	Number of Records				SEARCH SAVE CLEAR

### A pop up will appear asking for confirmation;



Confirmation saved search has been deleted.



# 11.7 Applying a sort order to search results

Select Settings;

	Settings   Log Out
HELP	Q



User Settings SAVE CANCEL				
Save CARCEL Select Columns for Search Resul Source Columns Amendment Date Brand Name Cancel Date Cent Of Analysis Country Of Origin Create Date Create Date Create Date Create Date	t Screen	Selected Columns Warrant No Warrant Id Product Whse Whse Co Brand Shape Creace Wet	Sort Orde	r Columns (Max Limit of 5)
Is Collateralised Is Collateralised Is Collateralised Is Suspended Issuing Member Issuing Member Name Location Old Warrant No Org Print Date Package Type		<ul> <li>Nots with the second state of the</li></ul>	© ©	

Please Note: if a column is removed from the Selected Columns list it will also be removed from the Sort Order Columns list.

Select an item(s) from 'selected columns';

Move selected into 'sort order column' using the arrow buttons;

Use the buttons under the column to move items to the desired position;

Select Save after selection is complete;

confirmation message will appear.





### **11.8 Warrant Selection Counter**

Navigate to search screen;

Enter a search criteria;

Select Search;

Select warrants;

# 'Total Warrants Selected' will display number of warrants selected.

wante	ant Search Cri	<mark>eria</mark> (Filtered)															-
Saved Searc	hes			▼ LOAE		DELETE	Include										
							Produc	t : PB									
Status				• INCLUE	DE E	XCLUDE	Dianu .	DEIG									
Looku	p	•		- INCLUE	DE E	XCLUDE	Exclude										
Range				•													
						101105											
				INCLU	)E E	XCLUDE		_									
							SEAR	CH	SAVE							REMOVE	CLEAR
Maxin	num inumber of	Records															
Warr	ants 🔳 Sele	t All Results	Total Warrants	Selected 5													
DOW	NLOAD BATC	FIND BY	COLLATERALISE	UNCOLL. IN	TER-ACC.	EXCLEAR	CLEARED	WITHD	RAW RENT E	NDORSE							ords 200 🔻
m	Warrant No	Warrant Id	Product Is	Collateralised	Whse	Whse Co	Brand	Shape	Gross Wat	Net Wat	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
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	11121	-							10000	-0.2444	Westinger	17818		Sector Contractor	Stational Commercial	-2011-020-0	100.
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# 11.9 Fast Track Instructions from Search

#### 11.9.1 Inter-Account Transfer

# Perform a search;

Select warrants;

Select Inter-Acc;

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Warr Dow	ants Sele NLOAD BATC Warrant No	ct All Results H FIND BY Warrant Id	Total Warra COLLATERA Product	ISE UNCOLL	INTER-AC	EXCLEAR Whse Co	CLEARED	WITHDR/	AW RENT EN Gross Wgt	DORSE Net Wgt	Location Name	Rent Due No	ot Endorsed	Account	Warrants 909 Reco	rds 200 V Pag	e 🗶 1 👻 Participa
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Warn Dow	ants E Sole NLOAD BATC Warrant No	ct All Results H FIND BY Warrant Id	Total Warra COLLATERA Product	ITS Selected 5	NITER-AC	EXCLEAR Whse Co	CLEARED	WITHDR/	Gross Wgt	DORSE Net Wgt	Location Name	Rent Due No	ot Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	e < 1 • Participa
Warr	ants See NLOAD BATC Warrant No	ct All Results H FIND BY U Warrant Id	Total Warra	nts Selected 5	sed Whse	Exclear Whse Co	CLEARED	WITHDRA	Gross Wgt	Net Wgt	Location Name	Rent Due No	ot Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	e < 1 • Participa
Warr	ants See NLOAD BATC Warrant No	ct All Results	Total Warra COLLATERA Product	nts Selected 5 ISE UNCOLL Is Collaterali	sed Whse	EXCLEAR Whse Co	CLEARED	WITHDR/	Gross Wgt	Net Wgt	Location Name	Rent Due K	ot Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	e < 1 Partic

### A pop up will appear;

Create Inter-/	Account Instruction
Target Account f Account	or the Inter-Account Instruction:



Select Target Account from drop down list;

Crea	te Inter-	Account Instruction		
Target	Account f	or the Inter-Account Instruction:	2	
		· ·		
Accou	int			
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		angering of a second	÷	

Select Create;

If the warrants fail to validate a warning message will appear as shown below, if no warning message please continue to the next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;





You will now be directed to the instruction page.

Inter-ac	nter-account Transfer Instructions           NEW         AMEND         DELETE         AUTHORISE         DownLOAD         UPLOAD         Records         200         •												
🗸 c	DNFIRMATION Instruction(s) Created S	Successfully											
	Reference	Instruction Id	Warrants	Status	Target Account	Created	Released						
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	388.122882.AC	12867		Standistical Contin	000100000	00100311-017							
	100.11700.A1	12264		Stauffortigal (Examp	(8411112)	10104-0010-01-0							
	188., 122883; AC	12000		Anna Anna an Anna Anna Anna Anna Anna A	000010000000	01001011-010							

# 11.9.2 Ex-Cleared Transfer

Perform a search;

Select warrants;

# Select Exclear;

	ant search ch															
Saver	l thes			▼ LOA	D	DELETE	Include									
				-	or	ENOLUDE.	Product	: CA								
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Look	ıp	•		<ul> <li>INCLU</li> </ul>	DE	EXCLUDE	Exclude									
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				INCLU	DE	EXCLUDE										
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Maxi	num Number of	Records														
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-		Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan
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V	CONSISTENCE CONSISTENCE	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan
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N N N N N N	GUINNAN GUINNAN GUINNAN GUINNAN GUINNAN	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan
	EFF MARAAR GFF MARAAR GFF MARAAR GFF MARAAR GFF MARAAR GFF MARAAR	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan
	EFF MARANE EFF MARANE EFF MARANE EFF MARANE EFF MARANE EFF MARANE	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan
		Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan
		Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	d Account	Account Name	Rent Start Date	Participan

A	pop	up	will	appear;
---	-----	----	------	---------

Create Ex	-Cleared Instruction
Enter / Selec	t the following for the Ex-Cleared Instruction:
Taker	*
Security Reference	
Manual Release	
	CREATE CANCEL

Use drop down menu to choose Taker;

Enter a Security Reference (if applicable);

Opt Manual Release (if applicable);

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;

Create Ex-0	Cleared Transfer
All 4 Warrants Warrants.	have failed to validate. Select Export to view the failed
CANCEL	EXPORT

Select Create;

You will now be directed to the instruction page.

Jour	hing and Sorting								
X-C	leared Transfer Instruc	tions							
VEW	AMEND DELETE AUTHO	RISE DOWNLOAD	ACCEPT RE	EJECT UNDO RELEASE	UPLOAD				Records 200
~	CONFIRMATION Instructi	on(s) Created Succ	essfully						
0	Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On
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#### 11.9.3 Cleared Transfer

Perform a search;

#### Select warrants;

#### Select Cleared;

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	NLOAD BATC	H FIND BY Warrant Id	COLLATERALISE UN	ICOLL. INT	Whse	EXCLEAR(	CLEARED	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	Account	Warrants 909 Reco	Rent Start Date	Participa
	Warrant No	H FIND BY Warrant Id	COLLATERALISE UN	ICOLL. INT	Whse	EXCLEAR(	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorsee	Account	Warrants 909 Reco	rds 200 • Pag	pe Participa
	Warrant No	H FIND BY Warrant Id	COLLATERALISE UN	ICOLL. INT	Whse	EXCLEAR(	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due Not Endorse	Account	Warrants 909 Reco	rds 200 • Pag	pe <b>≪</b> 1 ▼ Participa

The below pop up will appear please select if Premium Warrants should be included or leave tick box blank and select Create;

Create Cleared Instructions
On standard commitments would you like to include Premium Warrants?
Can Include Premium Warrants

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;





This error will be received if the instruction contains invalid warrants

X There is no Commitment for some of the Warrants All 4 Warrants have failed to validate. Select Export to view the failed Warrants.

This error will be received if you do not have a corresponding clearing commitment.

A new instruction has been created.

Clear NEW	ed Transfer Instructio	ns Drise downl	OAD UPLOAD								Records 200 🔻
✓	CONFIRMATION Instruct	ion(s) Created	Successfully								
	Reference	ld	Status	Warrants	Prompt	Contract	Acc.	Giver	Taker	Created	Completed
	0010000110.110	12000	Anna Russian County	8	0.064311		11	/Phisgelines	Life ( Bearing ( Tax	000001002	
	01100012100	12716	Anna Ramad County	1	6060311	1781	11	/Phage Sea	Life ( Teams 178)	0.06031-0.0	
	0110001010	12716	Annalitation County	18	0.064311	100.	11	/Phage Sea	120 Constant Con-	0.06031-0.0	
	00100001110	12715	Anna Ramad County	100	6/6/011		11	/Phige Sea	120 Constant Con-	0.06031-0.0	
	0110000000	12716	Anna Rumani Constitu	192	6/6/211		11	/Physics	120 Constant Con-	0.06031-0.0	
	0110005.00	12898	Anatomic Seale	-24	0.0642811	- 10	11	/Philippe Sea	12 FR ( Frances / Fax	0.060313-0.20	
	101000000	12284	Telescol	28	000112011	19	11	and channeling	(Filege Sec.	0000011-0-0	10110-011-014

### 11.9.4 Withdrawal

Perform a search;

#### Select warrants;

### Select Withdraw;

Save	hes			LOA	)	DELETE	Include										
o	_			-		ENCLUDE	Product	: CA									
statu	5			• INCLU	DE	EXCLUDE											
.ooki	ip	*		INCLU	DE	EXCLUDE	Exclude										
lang	e			-													
				INCLU		TYCI UDF											
				INCLU	JE	EXCLUDE		_								-	
		_					SEARC	H S	AVE							REMOVE	CLEAR
I VIGAL		Records															
	Construction of the																
Mar	ante En l																
War	rants 🔲 Sele	ct All Results	Total Warran	ts Selected 5		_		$\sim$	<b></b>								
War DOV	rants 🔳 Seler	ct All Results	Total Warran	ts Selected 5	TER-ACC.	EXCLEAR	CLEARED	WITHDR	RENTEN	DORSE					Warrants 909 Reco	ırds <mark>200 ▼</mark> Paç	je < 1 🔻
Nar Dov	rants Selev INLOAD BATCI Warrant No	ct All Results H FIND BY Warrant Id	Total Warran COLLATERALI Product	ts Selected 5 SE UNCOLL. IN Is Collateralised	TER-ACC. Whse	EXCLEAR Whse Co	CLEARED	WITHDR/ Shape	RENT EN Gross Wgt	DORSE Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rrds 200 🔹 Pag	ge <mark>&lt; 1 ▼</mark> Participa
Var Dov	rants Selection	t All Results	Total Warran COLLATERALI Product	ts Selected 5 SE UNCOLL. IN Is Collateralised	TER-ACC. Whse	EXCLEAR Whse Co	CLEARED	WITHDR/ Shape	Gross Wgt	DORSE Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 V Pag	Participa
Dov	rants 🖃 Selev NLOAD BATCI Warrant No	H FIND BY	Total Warran	ts Selected 5 SE UNCOLL. IN Is Collateralised	TER-ACC. Whse	EXCLEAR Whse Co	CLEARED	WITHDR/ Shape	Gross Wgt	DORSE Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 V Pac	Participa
Var Dov	rants Select NLOAD BATCI Warrant No	Ct All Results	Total Warran	ts Selected 5 SE UNCOLL. IN Is Collateralised	TER-ACC. Whse	EXCLEAR Whse Co	CLEARED	Shape	Gross Wgt	DORSE Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 V Pag	Participa
Dov Dov Z	rants Selev NLOAD BATCI Warrant No	tt All Results	Total Warran	ts Selected 5 SE UNCOLL. IN	Whse	EXCLEAR Whse Co	CLEARED	Shape	Gross Wgt	DORSE Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	Participa
Var Dov	rants Selev NLOAD BATCI Warrant No	ct All Results H FIND BY D Warrant Id	Total Warran	ts Selected 5	TER-ACC. Whse	EXCLEAR Whse Co	Brand	Shape	Gross Wgt	DORSE Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rrds 200 • Pag	pe <b>&lt; 1 •</b> Participa
War Dov	ants Selection	t All Results	Total Warran COLLATERALI Product	ts Selected 5 SE UNCOLL IN Is Collateralised	Whse	EXCLEAR Whse Co	CLEARED	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	Participa
Var Dov	ants Selection	t All Results	Total Warran	ts Selected 5 SE UNCOLL IN Is Collateralised	Whse	EXCLEAR Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	pe <b>≪</b> 1 <b>▼</b> Participa
	rants Selection	t All Results	Total Warran	ts Selected 5 SE UNCOLL. IN Is Collateralised	Whse	EXCLEAR Whse Co	CLEARED	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	pe <b>₹</b> 1.▼ Participa
	rants Selection	t All Results	Total Warran	ts Selected 5 SE UNCOLL. IN Is Collateralised	Whse	EXCLEAR Whee Co	CLEARED	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Warrants 909 Reco	rds 200 • Pag	pe < 1 -

A Create Withdrawal box will pop up, select the relevant reason for the withdrawal from the drop down;

Create Withdrawal	I
Withdrawal Reason: *	For Cancellation

### Select "For Cancellation"

Create Withdrawal	
Withdrawal Reason: *	For Cancellation

### Select "For Mobilisation"

Create Withdrawal	
Withdrawal Reason: *	For Mobilisation

Warrants being withdrawn for mobilisation for material held in the US jurisdiction will be required to complete 'Assignee' details. <u>Once authorised, this instruction is irrevocable.</u>

Create Withdrawal		
Withdrawal Reason:	*	For Mobilisation
Assignee:	*	
Assignee contact details:	*	
This process is irrevocable warrant is printed by the a	e ond gent	e authorised and must continue until the
		CREATE CANCEL

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;





You will now be directed to the instruction page.

Withdrawal Instructions											
DELETE AUTINORISE DALYVEN: OFF DOWNLOAD UPLOAD											
Course											
CONFIRM	MATION Instruction(s) created successibility										
	Reference	Instruction Id	Warrants	Status	Created	Completed					
	AL 101 A 10				10 10 10 10 10 10 10 10 10 10 10 10 10 1						

Dual Authorisation will be required, select the withdrawal instruction and select Authorise and a pop up box will appear to prompt secondry authorisation ;

Withdrawal	Withdrawal Instructions											
DELETE AUTHORIE DALY VIEW OF DOWNLOAD UPLOAD												
🗸 CONFIF	RMATION Instruction(s) Created Successfully											
	Reference	Instruction Id	Warrants	Status	Created	Completed						
	And a second design	10000	1	PURCH 100	100 CONT 10.00							
2	AND DESCRIPTION	100-00	1	Statistics Cash	401-000-400							
	AND ADDRESS DATES.	1754.00	1	Collector Task	and seen in the							
	And a second second	100.00		CONTRACTOR OF A DECISION OF A DECISIONO OF A	10.0 × 10.00 × 10.01							

Authorise		
Username	*	
Password	*	
Notes		
		~
	AUTHORISE	CANCEL
	AUTHORISE	CANCEL



Once dual authorisation is complete and you select Authorise the below Warrant Withdrawal Request sheet will appear as a pop up which acts as confirmation of the withdrawal instruction;

War	rant \	Withdrawal Reque	est		
			Date Printed : 10:3	19:55	
LMEsword Participant Id	:	-			
Warrant Withdrawal Referen	10e : :	1.00			
Please provide the selected V	Vamants fi	or the above Warrant Withdraw i	d to the messenger.		
Security Code	:	NA			
Agent Use Only No. Of Warrants Withdr Warrants Collected by:	awn:				
Print Name Signature					
Date					

#### 11.9.5 Rent Endorsement (Rent Paid)

Perform a search

Select warrants;

												JPMAACA   Sett	ngs   L
DL	MEswo	ord					HOME WARRANT	TRANSFER	LODGE WITHDR	AWAL FILE RE	PORTS ADMIN	HELP	
Varrant Sea	arch Criteria												
aved earches		14	LOAD	DELETE	Include								
atus			INCLUDE	EXCLUDE									
okup		•	INCLUDE	EXCLUDE	Exclude								
ange													
aximum Nu	umber of Record									SEAR	CH SAVE	REMOVE	CLE
aximum Nu 'arrants IOWNLOAD	umber of Records	Results Total Warrants S	elected 3	ACC. EXCLEAR	CLEARED WITHDRAW	RENT ENDORSE				SEAR Warrants 18742	CH SAVE	REMOVE	CLE/
arrants OWNLOAD Warr No	Select All BATCH FIND rant Warra	Results Total Warrants S IBY COLLATERALISE UNC Nt Account Name	elected 3	ACC. EXCLEAR	CLEARED WITHDRAW	RENT ENDORSE Brand Name	Location Name	Net Wgt	Shape Name	SEAR Warrants 18742 Whse Name	CH SAVE Records 200 Rent Start Date	REMOVE	1 V
arrants DWNLOAD Warr No	Umber of Records	Results Total Warrants S BY COLLATERALISE UNC nt Account Name	elected 3	ACC. EXCLEAR Pro	CLEARED WITHDRAW	RENT ENDORSE Brand Name	Location Name	Net Wgt	Shape Name	SEAR Warrants 18742 Whee Name	CH SAVE Records 200 Rent Start Date	REMOVE Page Co	CLE 1 V
ximum Nu arrants DWNLOAD Warr No	Select All	Results Total Warrants S BY COLLATERALISE UNC nt Account Name	olocted 3	ACC. EXCLEAR Pro	CLEARED WITHORAW	RENT ENDORSE Brand Name	Location Name	Net Wgt	Shape Name	SEAR Warrants 18742 Whse Name	CH SAVE Records 200 Rent Start Date	Page Vinse Co	1 V
aximum Nu arrants ownLOAD Warr No 1	Imber of Records	Results Total Warrants S BBY COLLATERALISE UNC nt Account Name	elected 3 COLL INTER-	ACC. EXCLEAR	CLEARED WITHORAW	RENT ENDORSE Brand Name	Location Name	Net Wgt	Shape Name	SEAR Warrants 18742 Whse Name	Cti SAVE Records 200 Rent Start Date	REMOVE Page C	CLE 1 V

Select Rent Endorse button at the top of the screen the following window will appear;

Create Rent En	do	rsements	
Rent Target Date:	*	<ul><li>● Use this value</li><li>○ Do not set a value</li></ul>	(dd/mm/yyyy)
		CREATE	

In the Rent Target Date field, enter the date you wish to pay the rent up until and including to.

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;





You will now be directed to the instruction page.

Rent Endorsement List         Records         200           NEW         AMEND         DELETE         AUTHORISE         DOWNLOAD         Report         Records         200											
CONFIRMATION Instruction(s) Created Successfully											
	Reference	ld	Status	Warrants	Rent Due (\$)	Created User	WH Agent	WH Company	Rent Expiry	Created	Completed
	TORRET, INFORMATIC CONT.	12087	Manifestine(Sealty	100	30077818	08.0463	Rilly/Harral	Montheater Montheater Taballana 412	0.04663140		
	INCLUME INCLUMENTS	12088	Stauffortiget (States	1123	174536-20	ORCOMES.	Herseline 15	(Harrison   Harrison   1959) (1917)	0.046010		

rent endorsement window opens with the message "Rent endorsements created successfully)" at the top of the screen;

All the warrants are put into a rent endorsement instruction by warehouse company;

The warehouse company code is the reference for each instruction;

If you wish to amend an instruction, tick the instructions and click on the Amend button, the amend rent endorsement window should be displayed – see below;

Input the target date in this format – **dd/mm/yyyy** and click on the Save button;

Ĭ	Amend Rent Endorsemen SAVE CANCEL REPORT	nt
	DETAILS WARRANTS (721)	COMMENTS (0)
	ld	125087
	Reference	<ul> <li>(NUMBER   BARBARAN BARBARAN</li> </ul>
Ì	Warehouse Agent	*
	Warehouse Company	* The last and the second seco
	Target Date	(dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for
	Rent Due (\$)	738,123.75
	Status	Unauthorised Create
1		-

a. The following message will appear;

CONFIRMATION Rent Endorsement updated successfully.

The instruction is now ready for authorisation

# 12 Batch

# 12.1 Creating a Warrant Batch

Select warrants > Search;

Select search criteria: Status;

Select warrant(s) for batch;

Select Batch;

$( \cap$																	Welcome	Settings   Log O
	) LME	sword	b							HOME WA	RANT TRA	NSFER LO	DGE WITHDF	AWAL F	ILE REPORTS	ADMIN	HELP	0.
1 unre	ead message (	) Warrant, 0 Cl	leared, 1 Ex	cleared, (	) Inter-accour	nt, 0 Lodge, I	0 Withdrav	val)										+
Warra	int Search Crit	eria (Filtered)																
Saved Search	nes			٠	LOAD	DELE	TE	nclude										
Status				•	INCLUDE	EXCLU	JDE	Product : AH Location : Det	roit									
Looku	p	¥		•	INCLUDE	EXCLU	JDE	Exclude										
Range				•														
Maxim	um Number of	Records						SEARCH	SAVE								REMOVE	CLEAR
			T-1-1-1-1-		1014-00													
DOW		t All Results	Total Warra	nts Selec ISE UN	ted 3 COLL. INTE	R-ACC. EX	CLEAR C	LEARED WITI	IDRAW R	ENT ENDORSE					Warrant	s 6108 Re	ecords 200 • P	ige < 1 🔹 🔊
Dow	NLOAD BATCH	FIND BY C	Total Warra OLLATERAL Product	nts Selec ISE UN Whse	ted 3 COLL. INTE Whse Co	R-ACC. EX	CLEAR C Shape	Gross Wgt	HDRAW R	ENT ENDORSE	Rent Due	Not Endor	sed Account	Account	Warrant	s 6108 Re	ecords 200 • P	e Participant
	NLOAD BATCH	FIND BY C	Total Warra COLLATERAL Product	nts Selec ISE UN Whse	tted 3 COLL. INTE Whse Co	R-ACC. EX	CLEAR C Shape	LEARED WITH Gross Wgt	HDRAW R	ENT ENDORSE	Rent Due	Not Endor	sed Account	Account	Warrant	:s 6108 Re	ecords 200 V P	ege <b>&lt; 1 - &gt;</b> Participant
DOW	NLOAD BATCH	FIND BY C	Total Warra COLLATERAL Product	nts Selec ISE UN Whse	ted 3 COLL. INTE Whse Co	R-ACC. EX	CLEAR C Shape	LEARED WITH Gross Wgt	HDRAW R	ENT ENDORSE	Rent Due	Not Endor	ed Account	Account	Warrant	s 6108 Re	ecords 200 • P Rent Start Dat	e Participant
	NLOAD BATCI	FIND BY C	Total Warra COLLATERAL Product	nts Selec ISE UN Whse	ted 3 COLL INTE Whse Co	R-ACC. EX	CLEAR C	LEARED WITH Gross Wgt	HDRAW RI	ENT ENDORSE	Rent Due	Not Endor	sed Account	Account	Warrant	:s 6108 Re	Rent Start Dat	e Participant
	Warrant No	FIND BY C	Total Warra	nts Selec JSE UN Whse	ted 3 COLL. INTE Whse Co	R-ACC. EXC	CLEAR C	Gross Wgt	HDRAW R	ENT ENDORSE	Rent Due	Not Endor	sed Account	Account	Warrant Name	:s 6108 Re	Rent Start Dat	e Participant
	Warrant No	FIND BY C	Total Warra COLLATERAL Product	nts Selec JSE UN Whse	tied 3 COLL. INTE Whse Co	R-ACC. EXC Brand	Shape	Gross Wgt	HDRAW RI	ENT ENDORSE	Rent Due	Not Endor	ed Account	Account	Warrant	:: 6108 Re	ecords 200 • P	nge < 1 🔹 🗲

Save Batch	
Batch Batch Name	×
	SAVE CANCEL

Enter a name in the mandatory field;

A confirmation message will appear;



Select warrants > batch and view warrants;

User is able to clear/delete listed warrants; rent endorse; authorise; amend; re-issue; cancel; remove and download from and upload into the batch from a file and also find other warrants to add to the batch using the 'find by' utility;

```
      Warrant Batch - Test1
      Process all in Batch
      Total Warrants Selected 0

      DELETE
      CLEAR
      DOWNLOAD
      UPLOAD
      FIND BY
      COLLATERALISE
      UNCOLL.
      INTER-ACC.
      EXCLEAR
      CLEARED
      WITHDRAW
      RENT ENDORSE
```

Find by allows the User to find warrants by;

- Warrant ID copy and paste a list of warrant IDs;
- Scanning scan into the window;
- Warrant Number enter number, Warehouse Company and location.

Find By	
Search By Warrant ID	
Search using Scanner	
Search By Warrant Number	
Warrant ID/Number List	*
FIND CANCEL	Ŧ

# 12.2 Adding to an existing Batch

Warrants > Search;

Select search criteria: Status;

Select warrant(s) for batch;

Select Batch;

A pop will appear;

Select an existing saved batch from the drop down menu;

Save Batch		
Batch	NEW -	
Batch Name	NEW 1 2	*
	SAVE CANCEL	

Select Overwrite or Append (Overwrite will remove and replace the existing warrants with the new selection, append will add to the warrants in batch);



Save Batch	
Batch Batch Name	<b>1</b> ▼ 1 ★
	OVERWRITE APPEND CANCEL

A confirmation message will appear.

CONFIRMATION Batch Name: test2 containing 6 Warrant(s) saved successfully.

# **12.3** Viewing Batches

When you hover your mouse over the batch option you will see a list of your saved batches for you to select.



# 12.4 Removing Warrants from a saved Batch

Navigate to batch screen;

Select warrants to be removed from batch;

	sword			Webcome Statings   Log Out												
6 unread messager	Jummad messages (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 2 Lodge, 4 Withdrawal, 0 Rent Endorsement, 0 Premium)															+
Warrant Batch - DELETE CLEAR	Artank Blach - 1 🖩 Process af a Bach - Told Warnel Benscha 1 Zeller CELAR   Downedo   Paur   UPLON   Paur   UPLON   Paur   UPLON   RETRICK, EXCLAN   CLARED   WITHOM   RETENDORE   PREMON															
U Warrant No	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	11040	-		878	Initia)	400	1044	1980	1983	Table	1005-04	-	investation in the	Contracts Statebas Auroset	1004(210)	and .
O MARTIN	10000	.88		1110	No. of Concession, Name	ALC: N	mag	10011	10011	1993	170.00	10	Constanting of Constant	International Address Address	1008000	170

Select Delete;

A pop up will appear to confirm removing the warrants from batch.

A confirmation message will appear



## 12.5 Fast Track Instructions from Batch

#### 12.5.1 Inter-Account Transfer

Navigate to a batch;

Select warrants;

Select inter-Acc;

War	Warrant Batch - 3 Process all in Batch iii Total Warrants Selected 5															
DELETE CLEAR DOWNLOAD UPLOAD HND BY COLLATERALISE UNCOLL INTERACC EXCLEAR CLEARED WITHDRAW RENT ENDORSE Warrants 17 Record														ords 200 🔻		
	Warrant No	Warrant Id	Product Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	1116680	(716276)	15	1788	100/078	-	165	2126	121240	Weakinger	1005100		dest inclusion	and the second states	10111110111	1986
	1114880	(716271)	10	10.000	101/078	-	165	(2136)	12124	Wearinger	14518		der minter-		100110014	100.
	111485	(714575)	15	1110	101/03	-	165	201940	(2198)	Weatiget	145.00		ded to other		00000000	100.
	111488	(714030)	10	1110	101/078	-	165	(2468)	(2148)	Wearinger	14518		der menter-		0000100146	100.
	111483	(714030)	10	1110	101/078	-	16	101346	(2138)	Weatiget	14518		der menter-		0000100144	100.
	11148	(716738)	10	1020	189,073	-	16	101741	(8174)	Weatiget	34518		der some		0000100146	100.
	111488	(714732)	10	1020	101/070	-	NE .	(2116)	(2146)	Weatiget	14518		-		0000100146	1000
	11146	114115	10	10281	101/078	-	NE .	(2142)	(2142)	Weatiget	141.00		der som		10001100141	1000
	111465	(714710)	10	10281	101/078	-	86	(2014)	(2116)	Wearinger	14516		der minter-		100103014	1000
	111460	(714710)	15	1020	101/078	-	165	2080	(1198)	Weatiget	145.00		der menter-		10111-00141	1000
	1114140	(716887)	10	1020	1844/078	-	165	34131	(111)	Weatiget	10001100		destroyed.	and the second second second	000010014	100.
	111380	(716077)	10	1780	101/078	-	165	3440	(2145)	Wearinger	14518		der minter-		000010014	100.
	111348	(11198)	15	1180	1885978	-	165	28419	(8418)	Wassiger.	14110		and many	AND MARKED STREET.	000000046	100.
	(11386)	(71/788)	15	1780	1889/07281	-	165	10000	399	Westigen	1005100		dent the state of	and the factor of the local division of the	0000100146	100.

# A pop up will appear;

Create Inter-A	ccount Instruction
Target Account for Account	the Inter-Account Instruction:

Select Target Account from drop down list;

Crea	ate Inter-4	Account Instruction	
Targe	t Account fo	or the Inter-Account Instruction:	
Accou	unt	<ul> <li>Marchael, Alfred M., Marchaelle,</li> <li>Marchael, Alfred M., Marchaelle,</li> <li>Marchael, A., Marchael, A., Marchaelle, and Marchaelle, and Alfred Marchaelle, and Alfred Marchaelle, and Alfred Marchaelle, 2000.</li> <li>Marchaelle, Marchaelle, and Alfred Marchaelle, 2000.</li> </ul>	E
Brand	Shape	W Andrew	Not
		Search Control State Control C	
		And a second strategy of the second strategy	
		<ul> <li>AppleTTratement TTrate</li> <li>AppleTTratement TTratement TTratement TTratement</li> </ul>	
		Andread Product of Annal ( Marcana and Annal Product of Annal An	
		Constant Content of Content Content of Conte	
		And and the second se	
		States	
		Constitution - Tioks ( District Open - Tioks) (Ball	
		Constant That and you and a standard That and you and	-

Select Create;

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen.

Create Inter-Account Transfer									
All 4 Warrants h Warrants.	ave failed to validate. Select Export to view the failed								

Inter-ad	Inter-account Transfer Instructions												
NEW	NEW AMEND DELETE AUTHORISE DOWILOAD UPLOAD UPLOAD												
🗸 0	CONFIRMATION Instruction(s) Created Successfully												
	Reference	Instruction Id	Warrants	Status	Target Account	Created	Released						
	08.12203.AC	12283		AlaseRiscond Frank	(BAFTERT LURIS)	0.000311-0.30							
	386.112802.JAC	12087		StepHistod/ English	10001101010	00100311-017							
	386.117308.IAT	12261		Angeliterized Freder	100071012	0.00031011010							
	08.107803.AC	12282		StepHistori Static	10000100000	00100311-010							

#### 12.5.2 Ex-Cleared Transfer

Navigate to a batch;

Select warrants;

Select Exclear;

LETE	CLEAR D	IOWNLOAD	JPLOAD F	IND BY COLLATERA	USE UNCOLL INTERACC EXCLEAR CLEARED WITHDRAW REHTENDORSE										Warrants 17 Records 200		
- vv	/arrant No	Warrant Id	Product	Is Collateralised	Whee	Whee Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	10.101	10000000000	(1992)		10000	-1040-01010-0	1000000	10000			1. This is in factorized	100000-000		100407110100000000	100001010-01010101000000000000000000000	100000-0000-00	10080
	1.0.000	10000000000				100000000	-	-			Contract of the game of					CONTRACTOR OF ALL	100000-
ei 👘 📖	1446	1000462200				( index of the late)		-	100000		CONTRACTOR DE LA CONTRACTÓRIO DE LA	100000000000000000000000000000000000000				100000000000000000000000000000000000000	1000
21	1446						-	-			(All successive and s				stands in a second second second	calculate a state of the	10000
	10000	111440.000	1000			-mencelon-	CREEKAN.	-			- With a stranger					100000-0000-0-0	100800
1 188	1.8.650	10000000			1000	100.000000	-	-	100000	10000	College and against	10000				CONTRACTOR NO.	10000
1 188	1.4.440	1000400000	1000		1000	100000000000000000000000000000000000000	-	-			Contractor of the second se					100000000000000000000000000000000000000	1000
10.0	1.000				1000	100000000	-	1000	100000		(Alternative general				stream in the second state of the second state.		control .
10.00	19460	100400-0400			1000	1000000000	10000000	1000	1000000		" of the second suggests to	100000000000000000000000000000000000000				100000000000000000000000000000000000000	10080
3 160	1.000000				1000	11000						100000-0000				CONTRACTOR NO.	100000
10.0	14480	100444400				10000000		-			Contractor and the second second						
C 188	1.000	11100000000					-	-	100000	(0.000)				- manufic transmission of	stream in the second second second		(1998).
1 183	1. Canada C	100400000	1000		10000		-merson.	-			- This is in a general					100000-0000-000	- 100800
23 188	10.000				10000						(Wheeler and a grant of				Street " Science of the second		100000

A pop up will appear;

Create Ex-	Cleared Instruction
Enter / Selec	t the following for the Ex-Cleared Instruction:
Taker	· · ·
Security Reference	
Manual Release	V
	CREATE CANCEL

Use drop down menu to choose Taker;

Enter a Security Reference (if applicable);

Opt Manual Release (if applicable);

Select Create;

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;





You will now be directed to the instruction page.

Sear	ching and Sorting								
Ex-o	leared Transfer Instruc	tions							
NEV	AMEND DELETE AUTHO	RISE DOWNLOAD	ACCEPT RE	EJECT UNDO RELEASE	UPLOAD				Records 200
~	CONFIRMATION Instructi	on(s) Created Succ	essfully						
6	Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On
E	101.111.11200.1005	12280	3	Butterin Batt. 16	Analyzment Heat Posting Ltd	Manufiction Contest	00000311-01002	100.0003	
	848	12244	1	Summing Same and	Conff Reason Recoffice (Burget Limited)	Automati Sealar	0.000/011-01004		
1	HAR. MA. (1244). (14)	1024470	(65)	Renings (Reninfly	Enstative Basil (HE	Research	0000001-0-0-0		101101-0-0.0
	HARLAN, STRATEGIC	122440	(224)	Renings (Renin Th	Englishe Ball, ME	(Ballaged)	10051011-0-114		1001011-0-0-0
	(Annaly)	122462	-	Summer Report	Thisses Philippin Law	(Annual)	400000-0-0-0-0		And And And And And

# 12.5.3 Cleared Transfer

Navigate to a batch;

Select warrants;

Select Cleared;

War	ant Batch - 3	3 Process a	ll in Batch: 🔲 🛛 To	tal Warrants	Selected	5											
DELL	TE CLEAR E	OWNLOAD	UPLOAD FIND BY	COLLATERAL	ISE UN	ICOLL. INTI	ER-ACC.	EXCLEAR	CLEARED	WITHDRAW	RENT ENDORSE						ords 200 -
	Warrant No	Warrant Id	Product Is Coll	ateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	(11668)	(716276)	195		1788	10010728	-	16	101206	10136	Weatinger.	100110		- Internation	antimatic and	1011110111	100.
	1114881	114671	18		1110	101022	-	16	101040	3196	Westigen	34118		dept to a state of		101111011	100.
	111483	(114575)	15		10.000	101022	-	110	101390	3198	(Fairiger	34118		destruction of the		10001120141	10.
	111488	114030	195		1110	101022	-	16	(2468)	2448	Waargen	34118		dest in a state		1011110111	-
V	11443	114030	195		10.000	101022	-	16	2036	2138	Westigen	341(8)		- ANTI- MARKET		1011112014	100.
	11148	114110	195		18281	101072	-	110	2074	2019	Weathger	1001100		Service and the		0.000	100.
	111488	(714712)	195		18281	1010228	-	16	(2116)	2146	Wearinger	34118		- Service - Serv		10111-0014-	100.
	11146	114110	195		18281	101022	-	16	(2142)	3148	Weatinger	34118		- Service - Service -		10001120141	100.
	111461	1716710	15		1998	101022	-	16	(2116)	2116	Wearinger	34118		depresentation -		100112014	100.
	111460	114110	18		18281	101072	-	16	2080	2188	Weatigen	34118		dept to a state of		10101120141	100.
10	1114480	114685	195		18241	1010228	-	16	(111)	1413	Wearinger	34118		- Service - Service -	-	1010110014	100.
	111388	116637	195		1788	1010728	-	16	2446	2440	Weatiget	34118		- Service - Service -	-	1010110014	100.
	111348	(111783)	199		1788	100,075	-	10	28410	(8418)	Wastiger.	341(8)		- Service - House -	and the second second	10101100141	100.
	(11384)	1111980	195		1788	101022	-	110	181110	300	Weathper	34118		- Service - Serv		1011110111	100.



The below pop up will appear please select if Premium Warrants should be included or leave tick box blank and select Create;

Create Cleared Instructions
On standard commitments would you like to include Premium Warrants?
CREATE CANCEL

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;

Create Cleared Transfer								
All 4 Warrants have failed to validate. Select Export to view the failed Warrants.								
CANCEL EXPORT								

This error will be received if the instruction contains invalid warrants

X All 2 Warrants have failed to validate. Select Export to view the failed Warrants. There is no Commitment for some of the Warrants

This error will be received if you do not have a corresponding clearing commitment.



### A new instruction has been created.

Clear	ed Transfer Instructio	ORISE DOWNL	OAD UPLOAD								Perorts 200 -
~	CONFIRMATION Instruct	tion(s) Created	Successfully								TACCOLD .
E	Reference	ld	Status	Warrants	Prompt	Contract	Acc.	Giver	Taker	Created	Completed
V	00100002100.010	122000	Annal Annal Commo		(6/(6/011)	10	18	APMinger Sten	1.000 Constant (Tip)	000001102	
	(01)346(2189)	1527140	Angelinities		606001	1761	181	197 Milliogen (Berry	1.000 Constraint Con-	0010031-01-01	
	0113461644	182716	AlexaNteries/Country	188	6060911	180.	181	197 Milliogen Glenn	1.000 Constrain Time	000407031-01-01	
	00100002710	1827131	Almantitutional Examp	1100	6060911	-	181	101 Minger Genn	LEAST COMPANY OF THE	0000000110100	
	0110001000	102770	Alexandriania Commo	192	6060911		181	101 Mager Genn	LEAST COMPANY OF THE	00000001101-01-01	
	0010000.00	122030	Almantitument (Trains	124	0.0001011	124	181	107 Milliogen Chevro	LET CONTRACTOR	000000110100	
	1011010001100	122841	Released	28	40103011	10	10	(124 (Ensemble Sp.	117 Magazi (Secol)	00000110-0-0	001001011-0140

### 12.5.4 Withdrawal

### Navigate to a batch;

### Select warrants;

# Select WITHDRAW;

Wa	rant Batch -																
DEL	ETE CLEAR I	OOWNLOAD	UPLOAD F	IND BY COLLATERA	LISE	ICOLL. INT	ER-ACC.	EXCLEAR	CLEARED (	WITHDRAW	RENT ENDORSE						ords 200 🔻
	Warrant No	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	111656	(716278)	115		1086	1003078	-	165	101041	101386	Wearinger	34118		and managers		10111-0014-	1985
V	1114681	(116211)	18		1110	1997678	-	100	10100	2196	Westiger	1005100		and mainter-		1011110111	100.
	111480	(116210)	195		11101	1887678	-	165	(0.000	3198	Weatiget	341(8)		deel months		00000000	100.
	111488	(14630)	195		1110	1889/078	-	165	(2448)	3148	Waarigen	341(8)		deel income-	-	00000000	100.
	111483	(114228)	198		1110	100,073	-	165	101346	(1134)	Waatiget	341(8)		dest in case		0.000	100.
	111488	(116119)	195		18281	101073	-	WE -	101710	(8178)	Waarogen	1883-181		-		1010110014	100.
	111468	(114112)	195		10281	1010778	-	10.5	(2110)	2146	Wearinger	10051101		-	-	10110-0014	100.
	11146	114111	195		10281	101/071	-	100	(2142)	(2142)	Wessiger	1865(18)		And income-	-	1000000000	100.
	(11465)	(116110)	15		10281	1001073	-	165	(2116)	(8116)	Wearinger.	1865(18)		And inclusion		1000000004	100.
	111460	(114110)	15		18281	101073	-	165	2120	121380	Weatiger	1865100		dest in case		1010112014	100.
	1114180	(14685)	15		18281	1997/078	-	10.5	34130	3458	Weakinger	1005100				10110-0014	100.
	111100	114637	195		1180	1889878	-	165	10446	3440	Weatiget	341(8)		der l'accesso	-	00000000	100.
	111348	(11/103)	195		1188	199741	-	100	3915	3448	Weatiger	1005100		-bert manager-		1011112014	100.
	(11344)	(11/98)	18		1788	1007078	-	115	10110	300	Westiger.	10451100		dest internet		10111-0014	100.

A Create Withdrawal box will pop up, select the relevant reason for the withdrawal from the drop down;



#### Select "For Cancellation"

Create Withdrawal	
Withdrawal Reason: *	For Cancellation

### Select "For Mobilisation"

Create Withdrawal	
Withdrawal Reason: *	For Mobilisation

Warrants being withdrawn for mobilisation for material held in the US jurisdiction will be required to complete 'Assignee' details. **Once authorised, this instruction is irrevocable.** 

Create Withdrawal			
Withdrawal Reason:	*	For Mobilisation	~
Assignee:	*		
Assignee contact details:	*		<
This process is irrevocable warrant is printed by the a	e ono gent	ce authorised and must continue until the	_
		CREATE CANCEL	

If the warrants fail to validate you will see the warning message below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;



Create Withdrawal Transfer
All 4 Warrants have failed to validate. Select Export to view the failed Warrants.
CANCEL EXPORT

You will now be directed to the instruction page.

Withdrawal Instructions										
NEW AMEND DELETE AUTHORISE DOWINLOAD UPLOAD UPLOAD										
🗸 (	CONFIRMATION Instruction(s) Created Successfully									
	Reference	Instruction Id	Warrants	Returns	Rejects	Status	Created	Completed		
	100.112000.201100	1220001				Annalitation ( Trails	10110-0311-11-11			

Dual Authorisation will be required, select the withdrawal instruction and select Authorise and a pop up box will appear to prompt secondry authorisation ;

Withdrawal Instructions  EILET CUTORD DALYWENOF DOWNLOAD URLOAD Records  Process								
CONFERENTION Instruction(s) Created Successfully								
	Reference	Instruction Id	Warrants	Status	Created	Completed		
	25 (2010) All (2	10000	1	PUBLIC UNIT	10/1 (10/2) (10/2)			
	AND COMPANY AND CO.	100.00		Dealering Deale	491-002-48.0			
	49.4900 NO.4	1991		Collector Tank	107 1000 TE 17			
	25 JULY 101	10000	1	20080-000-0000	104 1080 18 D			

Authorise		
Username	*	
Password	*	
Notes		~
		~
	AUTHORISE CANC	EL

Once dual authorisation is complete and you select Authorise the below Warrant Withdrawal Request sheet will appear as a pop up which acts as confirmation of the withdrawal instruction;

Wa	rrant	Withdrawal Reque	est		
			Date Printed :		
			Time Printed : 10:3	9:55	
LMEsword Participant Id	:				
Warrant Withdraw Id	:				
Warrant Withdrawal Refere	nce :	100 C			
Number of Warrants	-				
Please provide the selected	Warrants f	or the above Warrant Withdraw	id to the messenger.		
Security Code	:	NA			
Agent Use Only					
No. Of Warrants Withd	rawn:				
Warrants Collected by:					
Print Name					
Signature					
Date					
				-	

۴.

LME Classification: Public

#### 12.5.5 Rent Endorsement (Rent Paid)

Navigate to a batch

Select warrants

Select Rent Endorse button at the top of the screen the following window will appear;

Create Rent Endorsements								
Rent Target Date:	*	<ul> <li>Use this value</li> <li>Do not set a value</li> </ul>	(dd/mm/yyyy)					
		CREATE CANCEL						

In the Rent Target Date field, enter the date you wish to pay the rent up until and including to.

If the warrants fail to validate you will see the warning messgae below, if you do not get a warning message please continue to next step;

Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;



You will now be directed to the instruction page.

Rent Endorsement List											
NEW AMEND DELETE AUTHORISE DOWNLOAD REPORT Records											Records 200 💌
CONFIRMATION Instruction(s) Created Successfully											
	Reference	ld	Status	Warrants	Rent Due (\$)	Created User	WH Agent	WH Company	Rent Expiry	Created	Completed
	TOWNER, DUNCTION OF THE OWNER.	12007	Standisting (Stade)	120	300778180	OR OWNER.	Rolly/Internal	Westmann Westmann: Talastan 1447	0.046814		
	INCLUSION CONTRACTOR	12008	Stauffortige (Statio	1020	1714030-20	OR OWNER.	International T.	Record Magn (1994) (117	0.046816		



The rent endorsement window opens with the message *"Rent endorsements created successfully"* at the top of the screen;

All the warrants are put into a rent endorsement instruction by warehouse company;

The warehouse company code is the reference for each instruction;

If you wish to amend an instruction, tick the instruction and click on the Amend button, the amend rent endorsement window should be displayed – see below

Input the target date in this format – **dd/mm/yyyy** and click on Save button;

	Amend Rent Endorsemen SAVE CANCEL REPORT	t	
	DETAILS WARRANTS (721)	COMMENTS (0)	
>	Id Reference Warehouse Agent Warehouse Company Target Date Rent Due (\$) Status	125087 * • • • • • • • • • • • • • • • • • • •	c
		0	

The following message will appear;

CONFIRMATION Rent Endorsement updated successfully.

The instruction is now ready for authorisation.
# **13** Transfers and Endorsements

LMEsword has been designed to be intuitive and in order to achieve this; common formats and methods have been adopted over many areas of the system. All types of Transfers and Rent Payments have been referred to as Instructions in LMEsword and all instructions have been presented in a generic format to help simplify the use of the system. This section provides an overview of the generic format and how it would relate to the different instructions.

## 13.1 Types of Instruction

## **Ex-Cleared Transfer Instruction**

Allows the member to transfer warrants to another member without the need of any clearing activities. This instruction type will also be used to transfer warrants to the LMEClear Pledge Account for collateral purposes.

## **Cleared Transfer Instruction**

Generated automatically by the Clearing House clearing function; can also be manually generated by the member as long as there is a corresponding clearing commitment. This will allow the transferring of warrants from a Giver to the Clearing House then from the Clearing House to the Taker member via the Clearing House clearing system. Cleared Transfer instructions must be populated/created and authorised by 11am of the delivery commitment day.

## Inter-Account Transfer Instruction

This allows the simple transfer of warrants between accounts held or managed on behalf of other customers by the same member.

## Rent Endorsement Instruction (Rent Paid)

This allows a warrant to be endorsed i.e. rent paid on the warrant.

## Lodge Instruction

This allows a member to lodge warrants at the LME Depository against a House or Customer account.

## Withdrawal Instruction

This allows the member to withdraw the warrant from the LME Depository. This can be withdrawn for one of two reasons.

- i. Mobilisation of warrant, whereby the warrant is held outside of LMEsword.
- ii. Cancellation, whereby the warrant is withdrawn and cancelled by the London Agent.



## 13.2 Creating an Instruction

Each instruction is presented in three parts.

#### **Details Tab**

Allows the User to select unique reference and specific information for the instruction such as number of warrants, product, target account, target member, security information.

#### Warrants Tab

Allows the User to add and validate warrants for the instruction.

#### **Comments Tab**

The User is able to add private or public comments for the instruction.

## 13.3 Adding Details to an Instruction

#### **Ex-Cleared Instruction**

The Ex-Cleared instruction will require a unique reference, the product that the warrants will be associated with, the Taker who will be recipient of the transfer, the number of warrants being transferred, a security reference which is optional as well as the option to release manually. A manual release may be used if the Giver wants to monitor the transfer more closely.

DETAILS WARRANTS	S (0) COMMENTS (0)
Reference	*
Product	*
Taker	*
Number of Warrants	*
Security Reference	
Manual Release	

#### **Cleared Instruction**

The Cleared instruction will also require a unique reference. The prompt date will appear for the commitment for that business day. N.B. You will not be able to create a cleared instruction if you do not have a commitment for that day. The commitment field will specify which contracts you have commitments for and the final input field will ask you to specify how many warrants you are nominating for delivery.

DETAILS WARRANTS (0) C(	
Reference	*
Prompt Date	676-10026
Commitment	*
Giver	- Transport descentes and
Taker	LME Clear Operations
Number of Warrants	*
Can Include Premium Warrants	
	0

#### Inter-Account Instruction

The Inter-Account instruction is a simpler format and asks two fields to be populated. The unique Reference, which is a mandatory field and the Target Account for the transfer.

DETAILS	WARRANTS (0)	COMME	TS (0)		
Reference Target Acc	count	*			]
				EEEALOLUWITEE HALL HALL HALL HALL HALL HALL HALL HA	-

#### Rent Endorsement Instruction

The Rent Endorsement instruction details tab will require a unique Reference, the London Agent and Warehouse Company associated with the warrants about to be endorsed and the Target Date of the rent period. When you enter the warrants in the warrant tab LMEsword will calculate the total rent and display the figure in the rent due field on the details tab.

DETAILS	WARRANTS (0)	COMMENTS (0)
Reference		*
Warehouse	Agent	*
Warehouse	e Company	*
Target Date	9	* (dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for
Rent Due (	\$)	
Status		

## 13.4 Adding Warrants to an Instruction



## Using the "From Search" Utility

This utility will display the warrant search window, which anyone who searches for warrants will be familiar with.

Once the results are shown, the User is able to select the warrants via the checkboxes either one at a time or the whole page if required. The User then selects the 'Transfer' button to add the warrants to the warrant tab.

#### Using the Batch Utility

The batch utility will populate the warrant tab with warrants that have been selected to be used for instructions and downloads.

Available in all warrant tab areas excluding Lodge instructions as the warrants are yet to be added to an account.

## Using the Upload Utility

The upload utility will allow the User to upload warrant ID Level 1 file (WRTID) files.



#### Using the Find by Search Utility

The find by search utility allows the User to add via warrant ID or warrant No, warehouse company code and location code, or by scanning; dependent on the instruction.

## 13.5 Validating Warrants in an Instruction

Create E	cleared Transfer I	nstruction					
SAVE CA	NCEL REMOVE REM	OVE INVALID REVALI	DATE FROM S	EARCH FROM B	ATCH UPLOAD FIND BY		
DETAILS	WARRANTS (33) C	OMMENTS (0)					
	Warrant No.	Warrant Id	Notes	Product	Source Account	Rent Due	Net Weight
	100,001	1011000			(buffielden)	10.00	199800
	100,001	10.0 0.0000		694	dell'institution	15.8	37000
	108.00	10.0 0.000		68.	deal months.	10.00	(2000)
		1007530		181	10.0	11.00	10000
		10175281		186	deal reprint of the	11.00	20000

A User may at times add a warrant to an instruction that the system will recognise and alert as invalid.

Reasons a warrant may be invalid:

- i. Warrant has been selected from mandatory account;
- ii. Product in warrant is not valid;
- iii. Warrant is not with warehouse company;
- iv. Warrant is already in an active instruction;
- v. Rent has not been paid.

When a User is faced with invalid warrants, there are two options:

- i. Remove manually removes warrants selected by the User;
- ii. Remove Invalid uses system validation to systematically remove all invalid warrants from the instruction.

At times, the warrants may be correct but the details in the details tab may have been entered incorrectly. In this situation change, details in the details tab and then select the 'Revalidate' button in the warrants tab. The warrants should now be recognised as valid.



## 13.6 Amending an Instruction

All amendable instructions are amended via the 'Amend" button on the main instruction screen.

An amendment can only occur if the instruction is in an unauthorised create status.

User selects the instruction via the corresponding checkbox and then selects the 'Amend' button;

User is taken to the amendable view of the instruction;

User makes changes and select save again;

Status is unchanged – Unauthorised create.

## 13.7 Search for an Instruction

Each instruction screen will display a search and sort section at the top of the screen.

This allows you to manage your instructions more effectively using an instruction specific set of search criteria.

Select criteria from far left pull down menu;

Enter value or range (dependent on criteria selected);

Select Add to add criteria to criteria window (far right);

To remove 1 criteria select from far right box then select Remove;

To clear complete selection of criteria select Clear.

Searching and Sorting		
Sort Order : Requested On (descending), Released On (descending), Status		Reset Sort Order
Reference Value	ADD	
	CLEAR	



## **13.8** Sorting the Instruction in the display

As with the warrants results screen sorting of any list of instructions is performed by selecting the column heading. Select the column again to switch from ascending to descending.

Ex-c	eared Transfer	Instructions							
NEW	AMEND DELET	AUTHORISE DO	OWNLOAD ACCE	PT REJECT UNDO RELEASE UPL	OAD				Records 200 💌
	Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On
		100000		CONTRACTOR CONTRACTOR	The stage chain office	Multilument Property	10.000101000101111000000		
	740001103	120220		Soldinae (Sachu International	(Intriduction) (Inter-	(holosof)	Annaly (1011) 1 - 1 - 10 - 10		000000000000000000000000000000000000000
	761000033	10120		Estimate Sector International	The Opp (These Pic	"Address of "	4000001001100011000		0000001100-0.00
	244000000	120228		Solition Surfactional	Service Automatic	"Internet"	denotes de la desta de		000000110000
	76807388	102114		Subbox (Selis (Herselized)	(Service / Service Tra-	(Retirement)	0000100110010		2010/07/2011 11:02:081-02
		1221120		Soldings (Salita (International	Harristop (Harris Physics	(Antonio)	0000010001000000000		3000030010-0023030
	10.0011034	100110		Estimate Teacher Hermational	Statistics (Rest) (Re	(Released)	000000000000000000		100000000000000000000000000000000000000
	(202012008)	1521520		Galiton Salis (Menalized)	Heritage (Barts (Fig.	(Reduced)	344773871-8148111		20070311010100

## 13.9 Downloading an Instruction

Any type of instruction can be downloaded into a text file and used to provide a template for an upload file or to be sent to another party.

From the instruction main screen select the download button;

System directs you to the download screen where you can choose your type of download;

After the type of download is selected, click the download button;

System directs you to the File Management screen where your download task is being processed (will be at the top of the list of files);

Select the refresh button and monitor the status of your file.

SER VIEW: ON	DELETE	UPLOAD RESTART REFRESH SEARCH								Recents 200
Log File	File	Туре	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
<	View.	Static Data Download - Brand	BRAND20130806.bxt	Completed	Finished Processing		Statistics and	States and	18.814	
	View	Static Data Download - LMEsword Participant Accounts	ACCNT20130806 br	Completed	Finished Processing		second in the	and the second second	10.00	-
	View	Download Warrant (level 2)	4_WarrantDownload.txt	Completed	Finished Processing		-	And in case of	10000	-
View.	View	Upload Warrant Id (level 1)	5_WarrantDownload.txt	Faled	Finished Processing	*	-	-	10000	
-	View	State Data Download - Brand	BRAND20130806.txt	Completed	Finished Processing		B	Acres 100 100 100	180.001	
	View	Download Warrant Full Details (level 3)	COUNTER 194.54	Completed	Finished Processing		Bernetting of the	Sectors 1. States	Conception of	-
	View	Download Warrant Id (level 1)	3 WarrantDownload bit	Completed	Finished Processing		And in case	And in case of the local division of the loc	and the second	the second second second

If file downloads successfully you will see a status of completed and your file will be available to view from the File column via the view link.



Dependant on browser setting, the file will be available to download.

The following types of file will be available to download

- i. Warrant Id (level 1) (file name: Your choice of filename.txt);
- ii. Inter-Account Transfer File (file name: Your choice of filename.txt);
- iii. Ex-Cleared Transfer File (file name: Your choice of filename.txt);
- iv. Cleared Transfer File (file name: Your choice of filename.txt);
- v. Lodge Instruction File (file name: Your choice of filename.txt);
- vi. Withdrawal Instruction File (file name: Your choice of filename.txt);
- vii. Rent Endorsement Instruction File (file name: Your choice of filename.txt).

The User can save the file using any filename of their choice.

If the download failed you will see a status of failed and will have access to the log file that will explain why the failure occurred.

#### 13.10 Uploading an Instruction

The upload of instructions occurs from the File > View screen and is triggered by the Upload button.

Select the Upload button and the system will direct you to an upload file screen;

Upload File	•	
CANCEL UP	PLOAD	
Type of File to Upload	* Upload Excleared Transfer File	
File	*	Browse



You will choose your type of upload; the default will refer to the location you select the upload function from and will provide you with 5 options to upload different types of files;

CANCEL U	PLOAD	)		
Type of File to Upload File	*	Upload Warrant Id (level 1) Upload Inter Account Transfer File Upload Excleared Transfer File Upload Cleared Transfer File Upload Withdrawal Transactions	rowse	

You will then select your file from your directory system using the Browse button;

Once file selected select the Upload button;

System directs you to the file view screen where your upload task is being processed (will be at the top of the list of files);

Select the refresh button and monitor the status of your file;

If file uploads successfully you will see a status of completed and your file will be available to view from the file column via the view link;

Your file will also be available via the instruction screen and will be listed as an unauthorised create status file;

If the upload failed you will see a status of failed and will have access to the uploaded file and a log file that will explain why the failure occurred.

#### 13.11 Adding comments to an instruction

The adding comment functionality is once again a generic concept that applies to all types of instructions with the exception of Withdrawals and Lodgements

User must select the 3<sup>rd</sup> tab known as the comments tab;

The User must then select new to add a new comment;

The User can decide within the comment window if the comment is to be public or private. Any User within the same company can view a private comment. A public comment can also be seen by the taker.

Create Excleared Transfer Instruction	
NEW AMEND SAVE CANCEL	
DETAILS WARRANTS (0) COMMENTS (0) There are no comments for this Instruction. Please add comments to the	list by clicking New.
Comment	
▼ Is Public	
OK CANCEL	

## 13.12 Authorising an Instruction

#### 13.12.1 Authorising as a Creating User

User authorises instructions

User selects corresponding checkbox to select instruction from list;

User selects Authorise button – authorisation window appears;

window requests authoriser User to authorise with;

Authoriser User enters details and selects Authorise;

Window closes and system message appears Instruction(s) authorised successfully;

Authorise					
Username	*				
Password	*	[			٣
Notes					*
					-
		AUTHORISE	REJECT	CANCEL	]

End Status: Authorised Created.

#### 13.12.2 Authorising as an Authorising User

Account – User authorises instruction.

User selects corresponding checkbox to select instruction from list.

User selects Authorise button – authorisation window appears;

Window requests authoriser User to authorise instruction;

Authoriser User enters details in notes section and select authorise;

window closes and system message appears Instruction(s) authorised successfully;

End Status: Authorised Created.

Authorise	
Notes	
	AUTIORISE REJECT CANCEL

# 14 File Management

#### 14.1 Downloads

All downloads can be viewed and managed from the File > View.

L	FILE REPORTS ADMIN HELP	
	VIEW	
	COSTS DOWNLOAD	_
	END OF DAY RECONCILIATION	▶ 20
n	STATIC DATA DOWNLOAD	

File Managem	File Management													
USER VIEW: OFF	DELETE	UPLOAD RESTART REFRESH SEARCH								Records 200 🔽				
🔲 Log File	File	Тупе	File Name	Status	Message	Unload	Started On	Completed On	Created By	Created On				
Logino	110			o da la la	message	opiouu	Started on	completed on	citated by	citated on				
	View	Download Warrant (level 2)	5_WarrantDownload.txt	Completed	Finished Processing		WHITE AN AD AD AD AD	WHITE IS IN THE PARTY	100.000-0	With the second second				
	View	Download Warrant Id (level 1)	21_WarrantDownload.txt	Completed	Finished Processing		810.01	800.011-1-10	10.000	80.00.001-1-010				
	<u>View</u>	Static Data Download - Brand	BRAND20130806.txt	Completed	Finished Processing		808031-1-1-7	800.011117	10.10	800.011118				
	View	Download Warrant Full Details (level 3)	COUNTER_194.txt	Completed	Finished Processing		800011117	800011112	10.1	806911111				
	View	Download Warrant Id (level 1)	3_WarrantDownload.txt	Completed	Finished Processing		1000111111	4444111117	10.1.1	10031-1-14				

For Members – there are two End of Day Reconciliation downloads; Warrants In/Out and Warrants by Accounts.

The Warrants In/Out download can now be run at any time of the day.



	LMEs	word		HOME WARRANT TRANSI	FER LODGE WITHDRAWAL	W	alomin HELP Q				
6 unread messages (0 Warrad, 0 Cleared, 0 Excloared, 0 Inter-account, 2 Lodge, 4 Withdrawd, 0 Rent Endorsement, 0 Prentium)											
File I USEF	Tile Management USERINGROOD DELETE URLAND RESTART) REFRESH SEARCH Receive 200								Records 200 💌		
	Log File	File	Туре	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
		View	Download End of Day Reconciliation - Warrants In and Warrants Out Totals	RECI020201113.bt	Completed	Finished Processing		101000-0010	121203000000000000000000000000000000000	attace of	teremental to

RECIO20	0201113.txt	- Notepad			-		$\times$
File Edit	Format \	/iew Help					
RECIO 2	20201111	L	35				^
*CLIENT (	0	0	0	0			
*HOUSE (	0	0	0	0			
*OFFICE (	0	0	0	0			
*OFFICE-	FM	0	0	0	0		
*PHAL (	0	0	0	0			
*PHYS (	0	0	0	0			
A11227 (	0	0	0	0			
A32103 (	0	0	0	0			
A32574 (	0	0	0	0			
A35118 (	0	0	0	0			
A38844 (	0	0	0	0			
A66701 (	0	0	0	0			
A80606	0	0	0	0			
A84301 (	0	0	0	0			
A91665 (	0	0	0	0			
A92707 (	0	0	0	0			
A94285 (	0	0	0	0			
A99358 (	0	0	0	0			
Customer	Collecti	on	0	0	0	0	
EXCESS (	0	0	0	0			
F&O NONSI	EG	0	0	0	0		
FIN 07174	4	0	0	0	0		
FIN 0717	5	0	0	0	0		
HouseCol:	lection	0	0	0	0		
HOUSE-VE	С	0	0	0	0		
M17604 (	0	0	0	0			
M27313 (	0	0	0	0			
M27625 (	0	0	0	0			
NEW (	0	0	0	0			
TMP-HOLD		0	0	0	0		
VULCSPV1	-C	0	0	0	0		~
<							>
				Windows (	Ln 1, Col 1	100%	

## 14.2 Individual User View

Files you have uploaded or downloaded can now be viewed individually, as compared to what the whole organisation has downloaded or uploaded.

Perform a search;

Select warrants;

Select Download;

Choose any level of download;

Ask a colleague to perform a search and download;

Navigate to File Management;

Toggle between User View On and User View Off to view the files you have downloaded and the files your colleague has downloaded.

File Management										
USER VIEW: ON	DELETE	UPLOAD	RESTART	REFRESH	SEARCH					
File Management										
USER VIEW: OFF	DELETE	UPLOAD	RESTAR	T REFRES	H SEARCH					

# 15 Transfers

Inter-Account transfers, Ex-Cleared transfers and Cleared transfers are all treated as instructions by LMEsword.

## 15.1 Ex-Cleared Transfer

There are a number of functions that are specific to Ex-Cleared instructions that are detailed in this section.

```
ACCEPT REJECT UNDO RELEASE UPLOAD
```

#### Accept – function performed by the taker member;

Select corresponding checkbox;

Select Accept;

View details;

Select Accept;

Status changed to Unauthorised Accepted;

Select Authorise and authorise;

Message appears:



Status changes to Authorised Accepted;

<u>Release</u> – performed by the giver member after the taker has *authorised accepted;* 

Select corresponding checkbox;

Select release Release;

Release window opens;

Release Ex-cleared Transfer Instructions										
RELEASE CANCEL										
CONFIRMATION The listed Ex-cleared transfers have been selected for release.										
Reference	Request Id	Warrants	Giver	Taker						
(Tana)	100381		Bullet's Ball 45	UP Magan Geouillia (14)						

Review and select Release;



#### System message appears;

CONFIRMATION Ex-cleared Transfers Instructions released successfully.

Status changed to released;

<u>**Reject**</u> – function performed by the taker member;

Select corresponding checkbox;

Select Reject;

View details;

Select Reject;

Status changed to Unauthorised Rejected;

**<u>Undo</u>** – function performed by the taker member;

Select corresponding checkbox;

Ensure status is unauthorised accepted / unauthorised rejected;

Select Undo;

Status reverts to Authorised Created.



## **15.2** Cleared Transfer

There are a number of functions that are specific to cleared instructions that are detailed in this section.

<u>Amend</u> automatically generated cleared transfer;

Select required cleared transfer checkbox;

Select Amend;

Select Warrants tab;

Select warrants to fulfil delivery commitment;

Create new cleared transfer;

Select New;

In details screen select commitment (Cleared transfer can only be created if a commitment exists);

Select Warrants tab;

Select warrants fulfilling delivery commitment.

# 16 Premium Warrant Contract

## 16.1 How to convert to a premium

Members are required to create separate Premium instructions for each warehouse company, as per the warehouse company codes (This can be found under the static data download section). The London Agent will reject premium instructions with a mixture of warehouse company codes.

Please contact the warehouse company prior to premium conversion to confirm if the warehouse company requires the standard rent to be paid up.

#### 16.1.1 From Search

Perform a search

Select warrants

Select Premium

Warrant Search Criteria (Filtered)	Warrant Search Criteria (Fitered)										
Saved Searches	LOAD DELETE Include     Prod	e uct:AH									
Status											
Lookup	INCLUDE EXCLUDE Exclude	e									
Range											
	INCLUDE										
Maximum Number of Records SEARCH SAVE REMOVE CLEAR											
Maximum Number of Records				SEARCH SAVE REMOVE CLEAR							
Warrants Select All Results Total	Warrants Selected 3		<u> </u>	SEARCH SAVE REMOVE CLEAR							
Maximum Number of Records Warrants Select All Results Total DOWNLOAD BATCH FIND BY COLLAT	Warrants Selected 3 ERALISE UNCOLL, INTER-ACC. EXCLEAR	CLEARED WITHDRAW RENT ENDORS	REMIUM	Warrants 4865 Records 200 V Page < 1 V							
Maximum Number of Records Warrants Select All Results Total DOWNLOAD BATCH FIND BY COLLAT Warrant No	Warrants Selected 3 ERALISE UNCOLL INTERACC, EXCLEAR Warrant Id	CLEARED WITHDRAW RENT ENDORS	REMIUM	Warrants 4865 Records 200 V Page < 1 V							
Maximum Number of Records Warrants Scleet All Results Total DOWNLOAD BATCH FIND BY COLLAT Warrant No	Warrants Solected 3 ERALISE UNCOLL INTERACC. EXCLEAR Warrant Id 2213040	CLEARED WITHDRAW RENT ENDORS	REMIUM Whse 8298	Warrants 4865 Records 200 V Page K 1 V							
Maximum Number of Records Warrants Select All Results Total DOWNLOAD BATCH FIND BY COLLAT Warrant No	Warrants Selected 3 ERALISE UNCOLL INTERACC. EXCLEAR Warrant Id 2213340 221334	CLEARED WITHDRAW RENT ENDORS	<b>Whse</b> 8298	Warrants 4865 Records 200 V Page K 1 V							

You will now be directed to the instruction page

٢	6					~	Welcome Bills, THICA   Settings   Log (			
4							HOME WARRANT TRANSFER LODGE	WITHDRAWAL FILE REPORTS A	DMIN HELP	Q.
	Search	ning and Sorting								+
2	Premium Warrant Instruction List									
	<ul> <li>•</li> </ul>	CONFIRMATION Inst	ruction(s) Created Sur	cessfully	_			_	Hereites	
		Reference	ld	Status	Warrants	User	WH Agent	Created	Completed	
			204870	Unauthorised Create	3	DBLTHCA	2 hearing the factor of			

NB The instruction has been 'unauthorised created'



Authorise	
Username	* dbimoca
Password	* •••••
Notes	
	AUTHORISE CANCEL
CONFIRM	TION 1 Premium Warrant Instruction(s) Authorised successfully.

Another User with the correct permissions will need to authorise the instruction

The Warehouse Agent will then review the instruction, accept and then authorise.

When the status is 'Completed' the warrants are Premium

Premium Warrant Instruction List											
NEW AMEND DELETE AUTHORISE Records 200											
	Reference	ld	Status	Warrants	User	WH Agent	Created	Completed			
В	1000	204872	Completed	5	DBLTHCA	1 Non-point of	INTERNAL CONTRACTOR	research service			

When the status is 'Completed', the warrants are Premium. Please be aware this may not be the same day as submitting the premium instruction to the London Agent, as this is dependent on confirmation received from Warehouse Companies in different time zones to London.

## 16.1.2 From Account Management

Navigate to Account Management

Select an account

Select Premium

You will now be directed to the instruction page



Premis	Premium Warrant Instruction List           NEW AMEND DELETE AUTHORISE         Records         200 •										
<ul> <li></li> </ul>	CONFIRMATION Instruction(s) Created Successfully										
	Reference	Id	Status	Warrants	User	WH Agent	Created	Completed			
	10.00	204870	Unauthorised Create	3	DBLTHCA	Contraction and the					

NB The instruction has been 'unauthorised created'

Another User with the correct permissions will need to authorise the instruction

Authorise	
Username * Password * Notes	
CONFIRMA	TION 1 Premium Warrant Instruction(s) Authorised successfully.

The London Agent will then review the instruction, accept and then authorise.

When the status is 'Completed' the warrants are Premium

When the status is 'Completed', the warrants are Premium. Please be aware this may not be the same day as submitting the premium instruction to the London Agent, as this is dependent on confirmation received from Warehouse Companies in different time zones to London.

#### 16.1.3 From Batch

Navigate to a batch

Select warrants

Select Premium

You will now be directed to the instruction page

Prem	ium Warrant Instru	ction List						
NEW	AMEND DELETE AU	THORISE						Records 200 💌
	CONFIRMATION	hand a Dara ta A Dara						
×	CONFIRMATION Inst	ruction(s) Created Suc	essiuly					
	Reference	ld	Status	Warrants	User	WH Agent	Created	Completed
		204870	Unauthorised Create	3	DBLTHCA	1. Description of the		

NB The instruction has been 'unauthorised created'

Another User with the correct permissions will need to authorise the instruction

Authorise		
Username	*	dimera
Password	*	••••••
Notes		
		AUTHORISE CANCEL



The London Agent will then review the instruction, accept and then authorise.

When the status is 'Completed' the warrants are Premium

When the status is 'Completed', the warrants are Premium. Please be aware this may not be the same day as submitting the premium instruction to the London Agent, as this is dependent on confirmation received from Warehouse Companies in different time zones to London.



## 16.2 Convert to Premium Instruction

Converting warrants to premium can be found under the warrants tab > Convert to Premium.

HOME	WARRANT	TRANSFER	LODGE
	BATCH		•
	SEARCH		
	ACCOUNT	MANAGEME	NT
	RENT ENI	ORSEMENT	
	RENT CAL	CULATION	
	CONVERT	TO PREMIU	۸

## 16.2.1 New instruction

Select New

Complete the details tab

LMEswo	rd	
unread message (0 Warran	0 Cleared, 0 Excleared, 0 Inter-account, 0 Lod	lge, 0 Withdrawal, 0 Rent Endorsement, 1 F
Create Premium Warrar SAVE CANCEL DETAILS WARRANTS (0)	COMMENTS (0)	
Reference Warehouse Agent	*	

Populate the instruction with warrants, using either FROM SEARCH FROM BATCH UPLOAD FIND BY

Save the instruction

	6					0		Wei	come [REL THE A   Setting	a   Log Out
(	Ð	MEswo	rd				HOME WARRANT TRANSFER LODGE W	ITHDRAWAL FILE REPORTS AL	MIN HELP	Q
	Searchin	g and Sorting								+
1	Premiur	m Warrant Instru	ction List							
)	NEW A	MEND DELETE AU	JTHORISE						Records 20	.0
	🗸 0	ONFIRMATION Ins	truction(s) Created Suc	cessfully						
		Reference	Id	Status	Warrants	User	WH Agent	Created	Completed	
		100	204870	Unauthorised Create	3	DBLTHCA	- Antonio (Sector)			

NB The instruction has been 'unauthorised created'



Authorise	
Username Password	* dhimata * •••••••
Notes	
	AUTHORISE CANCEL
CONFI	RMATION 1 Premium Warrant Instruction(s) Authorised successfully.

#### Another User with the correct permissions will need to authorise the instruction

The London Agent will then review the instruction, accept and then authorise.

When the status is 'Completed', the warrants are Premium. Please be aware this may not be the same day as submitting the premium instruction to the London Agent, as this is dependent on confirmation received from Warehouse Companies in different time zones to London.

#### 16.2.2 Amend an Instruction

The instruction will need to be in an 'Unauthorised Create' status.

Select the instruction

Select Amend

Searchi	ng and Sorting							+
Premis	um Warrant Inst	ruction List						
NEW	AMEND DELETE	AUTHORISE						Records 200
	Reference	ld	Status	Warrants	User	WH Agent	Created	Completed
	-	204873	Unauthorised Create	4	DBLTHCA	1 Second states of		
	-	204872	Completed	5	DBLTHCA	1000		1000 CT

# 1 unread message (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 0 Lodge, 0 Withdrawal, 0 Rent Endorsement, 1 Prender Amend Premium Warrant Instruction SAVE CANCEL DETAILS WARRANTS (4) COMMENTS (0) Id Reference \* 10141 Warehouse Agent

#### You will then be able to make changes to the details tab and warrants

Save the instruction

Another User with the correct permissions will need to authorise the instruction

#### 16.2.3 Delete an Instruction

You will only be able to delete an instruction in the follow status

- Unauthorised Created
- Authorised Created
- Unauthorised Accepted

## 16.3 How to search for a premium warrant

Navigate to search screen, the premium contract can be found on the 'Look Up' list.

10 unread	MESWORD	ed, 0 Inter-accou	nt, 0 Lodge, 0	HOME WARRANT TRANSFER LODGE WITHDRAWAL FILE REPORTS ADMIN HELP	C +
Warrant S Saved Searches Status	Search Criteria	LOAD INCLUDE	DELETE	Include	-
Lookup Range	Premium Contract AE AE AN AS AW	INCLUDE	EXCLUDE	Exclude	
Maximum Warrant	Number of Records	Selected 0			AR

You may need to add Premium warrants to your search results screen.

## Navigate to 'Settings'



Add 'Premium Contract' & 'Premium Start Date' to the selected column.

User Settings					
SAVE CANCEL					
Colort Columna for Consult Docult Co					
Select Columns for Search Result Scr Source Columns	reen	Selected Columns		Sort Order Columns (Max Limit of 5)	
Print Date Print No Producer Name Product Name Product Wgt Product Wgt Quantity Remove Date Remove Reason Rent Due Rent Start Date Shape Shape Name Specification Specification Name Status Unauth Create Date Warehouse Arrival Date Warehouse Arrival Date	<ul> <li>▲</li> <li>▲</li></ul>	Warrant No Warrant Id Product Whse Premium Contract Premium Start Date	<ul> <li>3</li> <li>3</li> <li>3</li> <li>4</li> <li>4</li></ul>		

ł					0	)	(
	Warr	ants 🔲 Select All Results 🛛 Tot					
	DOW	NLOAD BATCH FIND BY COLLA	TERALISE UNCOLL. INTER-ACC	EXCLEAR CLEARE	D WITHDRAW RENT END	RSE PREMIUM	Warrants 280 Records 200 💽 Page < 1 💽 🔰
Ľ						$\bigcirc$	
		Warrant No	Warrant Id	Product	Whse	Premium Contract	Premium Start Date
		AA050568	962568	AH	2630	AW	A STOCK
5		A4055528	855528	AH	2630	AW	
		AA073274	878274	AH	2630	AW	1000 C
		AA870990	870990	AH	2630	AW	
		A4073036	679636	AH	2630	AW	0.000
		AA060715	960715	AH	2630		
		AA2950.15	996816	AH	2630		
Ц	17	A4005306	995306	AH	2630	)	

#### Select Save and return to your search screen

#### 16.4 How to transfer Premium Warrants

#### 16.4.1 Ex-cleared Transfers

Create an ex-cleared transfer from, either Search, Account Management, Batch or Ex-Cleared screen. Complete the details and warrant selection as per normal.

You will notice on the warrants tab, has extra columns

reate E	xcleared Trans	fer Instructi	on						
SAVE CA	ANCEL REMOVE	REMOVE INVA	LID RE	VALIDATE	FROM SEARCH	FROM BATCH	JPLOAD FIND BY		
DETAILS	WARRANTS (5)	COMMENTS (	0)						
	Warrant No.	Warrant Id	Notes	Product	Source Acco	unt Rent Du	ue Net Weight	Is Premium	Premium Contract
	AA3993395	999306		AH	1.00	994.50	24992		
	AA366565	966565		AH	100.00	994.50	25016		
	AA367633	967693		AH	1000	994.50	24916		
	AA350568	960568		AH	5.000	998.00	25147	1	AW
	AA855528	855528		AH		998.00	25110	×	AW

## 16.4.2 Cleared Transfers

There will be an automated Premium instruction created separate from the standard contract.

Cleared Transfer Instructions           NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD         UPLOAD         Records												Records 200 💌
	Reference	Id	Status	Warrants	Prompt	Contract	Is Premium	Acc.	Giver	Taker	Created	Completed
	201500034/85	204875	Unauthorised Create	3		AH		н	Deutsche Bark A.	LME Clear Opera		
	20150803AHC	204876	Unauthorised Create	5	-	AH		С	Deutsche Bank A.	LME Clear Opera	and the second second	
	20150003AEC	204878	Unauthorised Create	25	and the second s	AE	×	С	Deutsche Bank A.	LME Clear Opera		

Deliveries -	- Summary													
REFRESH														
Prompt Date	03/08/2015	<ul> <li>Contract</li> </ul>	- Searc	h										
Member	Sub Account	Contract	Starting Commitment	Adjusted Commitment	Unauthorised Nominated	Authorised Nominated	Collected	Starting Entitlement	Adjusted t Entitlement	Total Allocated	To Be Allocated	Partially Delivered	Delivered Warrants	
CRN.	с	AE	25			0	0	0						
CHEN.	н	AH	1	1		0	0	0						
CRN.	С	AH	6			0	0	0						
CRN.	С	CA							25		0	0	0	0
CREN.	н	AE							15		0	0	0	0
CREN.	С	AE							10		0	0	0	0
Total			33	1		0	0	0	50		0	0	0	0



#### 16.4.3 Inter-account Transfer

Create an inter-account transfer from, either Search, Account Management, Batch or Ex-Cleared screen. Complete the details and warrant selection as per normal.

You will notice on the warrants tab, has extra columns

unread m	essage (0 Warrant	t, 0 Cleared, 0 Exclea	ared, 0 Inter-acc	ount, 0 Lodge, 0 V	Withdrawal, 0 Rent Endorsem	ent, 1 Premium)		
reate In	ter-account Tr	ansfer Instructio	on					
SAVE CA	NCEL REMOVE	REMOVE INVALID	REVALIDATE	FROM SEARCH	FROM BATCH UPLOAD F	IND BY		
DETAILS	WARRANTS (4)	COMMENTS (0)						
	Warrant No.	Warrant Id	Notes	Product	Source Account	Is Premium	Premium Contract	
	AASSOSS	964064648		AH	\$16323	*	AW	
	AA3993085	999306		AH	\$16323			
	AA3666565	94545154515		AH	\$16323			
	AAB5552B	855528		AH	516323	~	AW	

## 16.5 Rent endorse Premium warrants

The process for rent endorsements will remain the same; there are extra columns on the warrant tab to highlight the premium warrants. The premium rent rate will start from the day after conversion is accepted and authorised by the London Agent.

Ĩ	Amend	I Rent Endo	rsement										
	SAVE	CANCEL REP	NOVEREN	OVE INV	ALID REV	ALIDATE FROM SEA	ARCH FROM	BATCH UP		BY REPORT			
	DETAIL	s WARRAN	TS (2) C(	OMMENTS	(0)								
		Warrant No.	Warrant Id	Notes	Product	Warehouse Company	Location	Rent From	Not Endorsed	Rent to Target (\$)	Is Premium	Premium Contract	
		AA878274	878274		AH	1. Notices Spectra and an	Rotterdam	1-9-004		5,856.75	*	AW	
		AA870990	870990		AH	L Montes	Rotterdam	10.00		5,856.75	<ul> <li>Image: A start of the start of</li></ul>	AW	

## 16.6 Uploads and Downloads

The format for files will remain the same, no changes.

The premium contract will be displayed as per the below;

Level 1 – No change

File Edit Form	at View Help		
WRTID	A REAL PROPERTY AND INCOME.	4	
AA878274	CSTHAN	ROTT	878274
AA950568	CSTHAN	ROTT	950568
AA960715	CSTHAN	ROTT	960715
AA967693	CSTHAN	ROTT	967693

Level 2 – Upload format

The premium warrants will have the underlying product code

4_WarrantDow	nload.txt - Notep	oad		14			of the local division of	-			
File Edit Forma	t View Help										
WRTPD AA950568 AA960715 AA996816 AA855528	(3)ee (3)ee (3)ee (3)ee	4 ROTT ROTT ROTT ROTT	950568 AH 960715 AH 996816 AH 855528 AH	SADALC SADALC SADALC RUSALB	ING ING ING TBAR	20150521 20150521 20150521 20150521 20150521	1014.25 USD 1007.25 USD 1007.25 USD 1014.25 USD	25147 25073 25110 25110	25147 25073 25110 25110	KG KG KG	

Level 3 – Full details

The premium warrants will have the underlying product code

4. Warrant Download bit - Note	pad		-			1997 AND						- Ö 🕺
File Edit Format View Help	)											
WRTFD AA950568 AA960715 AA996816 AA855528	4 ROTT ROTT ROTT ROTT	950568 AH 960715 AH 996816 AH 855528 AH	SADALC SADALC SADALC RUSALB	ING ING ING TBAR	20150521 20150521 20150521 20150521 20150521	1014.25 USD 1007.25 USD 1007.25 USD 1007.25 USD 1014.25 USD	25147 25073 25110 25110	25147 25073 25110 25110	KG KG KG	BR BR BR RU	2630 2630 2630 2630	91744( 91744) 91744( 82753;

## 16.7 Removing a Premium warrant

The premium warrants will need to be withdrawn from the depository and returned to the London Agent.

## 16.8 Rent endorse Premium warrants

The process for rent endorsements will remain the same; there are extra columns on the warrant tab to highlight the premium warrants.

Amen	d Rent Endo	rsement										
SAVE	CANCEL REM	NOVE REM	OVE INV	ALID REV	ALIDATE FROM SEA	ARCH FROM	BATCH UPL	OAD FIND B	Y REPORT			
DETAIL	S WARRAN	TS (2) CC	OMMENTS	(0)								
	Warrant No.	Warrant Id	Notes	Product	Warehouse Company	Location	Rent From	Not Endorsed	Rent to Target (\$)	Is Premium	Premium Contract	
	AA070274	878274		AH	1. Nacional Territoria del International	Rotterdam	(Hereiter)		5,856.75	*	AW	
	AA870990	870990		AH	C. Bellowing	Rotterdam	new and		5,856.75	<ul> <li>Image: A start of the start of</li></ul>	AW	
1						0						

## **16.9 Uploads and Downloads**

The format for files will remain the same, no changes.

The premium contract will be displayed as per the below;

Level 1 – No change

File Edit Form	nat View Help	
WRTID	4	
AA878274	RO	TT 878274
AA950568	RO RO	TT 950568
AA960715	RO	TT 960715
AA967693	RO'	TT 967693

Level 2 – Upload format

The premium warrants will have the underlying product code

4_WarrantDov	wnload.txt - Notep	ad					A DECK DOCUMENT	-			
File Edit Form	nat View Help										
WRTPD AA950568 AA960715 AA996816	See Const Const	4 ROTT ROTT ROTT	950568 AH 960715 AH 996816 AH	SAOALC SAOALC SAOALC	ING ING ING	20150521 20150521 20150521	1014.25 USD 1007.25 USD 1007.25 USD	25147 25073 25110	25147 25073 25110	KG KG KG	
AA855528	(Sline)	ROTT	855528 AH	RUSALB	TBAR	20150521	1014.25 USD	25110	25110	KG	



#### Level 3 – Full details

#### The premium warrants will have the underlying product code

4_WarrantDownload.txt - No	epad	-				-	-					_ 0 <mark>_ X</mark>
File Edit Format View Hel	p											
WRTFD AA950568 AA960715 AA996816 AA855528	4 ROTT ROTT ROTT ROTT	950568 AH 960715 AH 996816 AH 855528 AH	SAOALC SAOALC SAOALC RUSALB	ING ING ING TBAR	20150521 20150521 20150521 20150521 20150521	1014.25 USD 1007.25 USD 1007.25 USD 1014.25 USD	25147 25073 25110 25110	25147 25073 25110 25110	KG KG KG KG	BR BR BR RU	2630 2630 2630 2630	917441 917441 917441 827533

## 16.10 Removing a Premium Warrant

The premium warrants will need to be withdrawn from the depository and returned to the London Agent, for cancelling for re-issue or product take up.

## **16.11** Cancelling Premium Warrant files

#### 16.11.1 Creating separate Batches

Search for Premium warrants

Select warrants > Select Batch

Choose to Overwrite or Append

Search for Standard Aluminium

Select warrants > Select Batch

Create a different batch to the premium batch; maximum of four batches can be created.

HOME	WARRANT FIL	E REPORTS	ADMIN HELP	
	CREATE			
	BATCH	•	AE	
	SEARCH		AH	
	RENT ENDOR	SEMENT	BATCH 1	
	RENT CALCUI	ATION	L4	
	SCAN WARRA	NT		
	CONVERT TO	PREMIUM		

Cancel the warrants from within the batch screens



Wa	rrant Ba LETE CLI	AR DOWN		s all in Batch THORISE	Total Wa	erants Selecter	13 EL RE	MOVE P	RINT U	PLOAD FIND B	RENTER	DORSE	Ĩ										
9	Warrant	Warrant Id	Product	Whse Co	Location	Whse Name	Whse	Brand	Shape	Specification	Quantity	Net Wgt	Gross Wgt	Rent Start Date	Country Of Origin	Old Warrant No	Status	ls Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	ls Suspe
)	1220611	2363099	AH	1000	BUSA	Sec.		BBY	TBAR		adsfsdfv	25000	25000		AU		Authorised Printed						
	1220611	2363098	AH	-	BUSA	The second	-	BBY	TBAR		adsfsdfv	25000	25000		AU		Authorised Printed					-	
V	1226613	2353097	AH	() dece	BUSA	12000	-	BBY	TBAR		adsfsdfv	25000	25000		AU		Authorised Printed					10.00	

	arrant Ba	AR DOWN	Proces	s all in Batch	Total Wa		NCEL RE	MOVE	RINTU	PLOAD FIND B	Y RENTE	NDORSE	)								
5	Warrant No	Warrant Id	Product	Whse Co	Location	Whse Name	Whse	Brand	Shape	Specification	Quantity	Net Wgt	Gross Wgt	Rent Start Date	Country Of Origin	Old Warrant No	Status	ls Lodged	Cancel Date	Remove Date	
6	16.62	2354629	AH	(1894)	BUSA	-	-	ALMA	TBAR		12	25000	25000	10	CA		Authorised Printed				
5	tical i	2354628	AH		BUSA	12	-	ALMA	TBAR		12	25000	25000	-	CA		Authorised Printed				
6	5 56.62	2354627	AH	-	BUSA	1		ALMA	TBAR		12	25000	25000	1	CA		Authorised Printed				

Once the cancellations have been authorised / completed, navigate to the batch screen and download the .txt files separately one for premium cancellations, one for standard Aluminium.

DE	ITTANT I	Batch	DOWN		s at in Batch THORISE	Total Wa	ISSUE CAN	13 EL REI	MOVE	RINT U	PLOAD FIND B	RENTER	IDORSE											
-	<ul> <li>cor</li> </ul>	NFIRM	ATION	Warrants a	uthorised so	ccessfully.																		
2	Warr No	ant )	Warrant Id	Product	Whee Co	Location	Whse Name	Whee	Brand	Shape	Specification	Quantity	Net Wgt	Gross Wgt	Rent Start Date	Country Of Origin	Old Warrant No	Status	ls Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	is Su(
2	10.00	-	111000	AH	-	BUSA	-	-	BBY	TBAR		adsfsdfv	25000	25000	-	AU		Authorised Cancelled		1.15			1.1.8	
2	11.00			AH		BUSA	-	-	BBY	TBAR		adsfsdlv	25000	25000	-	AU		Authorised Cancelled		111			NT.	
2	108	1	-	AH		BUSA	-	-	BBY	TBAR		adsfsdfv	25000	25000	-	AU		Authorised Cancelled		100.000				

100	DEL	rant Bate	ar Down	Proces	s all in Batch THORISE	Total Wa	Irrants Selecte	d 3 CEL REI	MOVE	RINTU	PLOAD FIND B	Y RENTER	NDORSE								
	<b>~</b>	CONFIR	MATION	Warrants a	uthorised su	ccessfully.															
2	2	Warrant No	Warrant Id	Product	Whse Co	Location	Whse Name	Whse	Brand	Shape	Specification	Quantity	Net Wgt	Gross Wgt	Rent Start Date	Country Of Origin	Old Warrant No	Status	ls Lodged	Cancel Date	Remove Date (
		16.62	2354629	AH	1.000	BUSA	linian Ka	-	ALMA	TBAR		12	25000	25000	-	CA		Authorised Cancelled		1.17	
	1	16.40	2354628	AH	-	BUSA	instants NG	-	ALMA	TBAR		12	25000	25000	-	CA		Authorised Cancelled		1.00	
	7	8:42	2354627	AH	(clas))	BUSA	1000	-	ALMA	TBAR		12	25000	25000	-	CA		Authorised Cancelled		Test P	

## 16.11.2 Download Files

Perform a warrant cancellation with various products, including premium warrants.

Authorised cancellation as normal.



Cancel Warr	rant							
BACK CLEAF	R SAVE							
I INFORM	ATION The following V	Varrants have been selected	I for cancelling. Optionally enter some Notes below a	nd then click on the Save button.				
Warrant Id	Product Code	Warrant Number	Warehouse Company	Warehouse Location	Brand Status	Status	Premium	Premium Contract
101114	AH	12200141	THE CONTRACTOR OF A	Busan		Authorised Printed		AE
01110	AH	12286141	101100-0010-000	Busan		Authorised Printed	*	AE
00100	AH	1220014		Busan		Authorised Printed	*	AE
10933	AH	matter.	the location sector and	Busan		Authorised Printed		
00740	AH	10.010	The Income States (Sector Sector)	Busan		Authorised Printed		
101230	AH	10.071	CARL CONTRACTOR CONTRACTOR	Busan		Authorised Printed		
Notes			^					
			v					

## Navigate to search enter the criteria with Cancellation Date and exclude Premium AE

ived larches				~	LOAD	DELETE	Cancel	Date From	m	1000	1											
atus				~	CLUDE	EXCLUDE																
okup.		~		-	CLUDE	EXCLUDE	Exclude															
inge				~			Premiu	m Contract	t AE													
					CLUDE	EXCLUDE																
																		-			C. Constant	21
anion on Muse	they of Revice	rde.																STRANC-III	SAVE	REMOVE	CLEAR	
aximum Num 'arrants 💊	iber of Recor	nds	Total Warra	nta Seincleo	0													SEARCH	SAVE	REMOVE	CLEAR	
arrants arrants arrant Warrant No	t Warrant	HORESE D Product	Total Warran	END Plun Location	0 T CANCE Whise Name	L REMOVE	RE-ISS Brand	UE BATC	5H FIND BY F	RENT ENDO	RSE Net Wgt	Gross Wgt	Rent Start Date	Country Of Origin	Old Warrant No	Status	ls Lodged	Cancel Date	Remove	Remove Reason	Unsuth Create Date	is s
Arrants C Warrant Warrant No	t Warrant Id 2368236	Product AH	Total Warra KLETE AM Whee Co	Location BUSA	0 T CANCE Whse Name	L REMOVE	Brand ALEA	DE BATC	H FIND BY T	Quantity 25	Net Wgt 25000	Gross Wgt 25000	Rent Start Date	Country Of Origin EH	Old Warrant No	Status Authorised Cancelled	la Lodged	Cancel Date	Remove	Remove Reason	Unsuth Create Date	15
Arrants Cown	Warrant Id 206226 206226	Product AH	Total Warna REETE AM	Location BUSA	0 T CANCE Whise Name	Whee	Brand ALBA ALBA	NG ING	Specification	Quantity 25 25	Net Wgt 25000	Gross Wgt 25000 25000	Rent Start Date	Country Of Origin BH BH	Old Warrant No	Status Authorised Cancelled Cancelled	ls Lodged	Cancel Date	Remove	Remove Reason	Unsuth Create Date	in S

## Download the file

## Navigate to search with Cancellation Date and include premium AE

-											-									Welcom	0	Settings   Lo
D	)LM	Esw	ord														HOME WA	RRANT F	ILE REPORT	S ADMIN	HELP	
Warr	ant Search	h Criteria (F	itered)																			
Save	d thes				~	LOAD	DELETE	Include	m Contra	et AF												
Statu	•					NCLUDE	EXCLUDE	Cancel	Date : Fr	om												
.ook	AP		~		<b>V</b>	NCLUDE	EXCLUDE	Exclude														
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						NCLUDE	EXCLUDE															
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Maxir Mari	num Numb	Belect Al	ds Results	Total Warran	nts Selected	16														SHIT	HLMO H	
Maxin Marri NEW	num Numb rants COWNLO Warrant No	Select Al OAD AUT Warrant	ds Results HORISE Product	Total Warran DELETE AM	nts Selecter END PRIN Location	T CANC	EL REMOV	E RE-ISS Brand	UE BAT Shape	CH FIND BY I	RENT ENDO Quantity	RSE Net Wgt	Gross Wgt	Rent Start Date	Country Of Origin	Old Warrant No	Status	ls Lodged	Cancel	Remove	Remove Reason	Unauth Create Date
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Download the file

# 17 Rent

This section illustrates how a rent endorsement would be processed using the new proposed method. The section also details how the rent calculator would be use.

## 17.1 Rent Endorsement Process (Rent Paid)

#### Overview

The Rent Endorsement Instruction details tab will ask for unique reference, the London Agent and Warehouse Company associated with the warrants about to be endorsed and the end date of the rent period. When you enter the warrants in the Warrant Tab LMEsword will calculate the total rent and display the figure in the Total Rent field on the Details tab.

Member creates rent endorsement on the LMEsword system;

DETAILS WARRANTS (0)	COMMENTS (0)
Reference	*
Warehouse Agent	*
Warehouse Company	*
Target Date	* (dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for
Rent Due (\$)	
Status	

Member finds and adds warrants to the endorsement;



Member saves and authorises the endorsement;

Authorised Rent Endorsement is now visible to the London Agent;

London Agent accepts or rejects the rent endorsement;

Endorsement system process is complete.

#### Using the "From Search" Utility

This utility will display the warrant search window that anyone who searches for warrants will be familiar with. Once the results are shown, the User is able to select the warrants via the checkboxes either one at a time or the whole page if required. The User then selects the **Transfer** button to add the warrants to the warrants tab.



#### Using the 'From Batch' Utility

The batch utility will populate the warrant tab with warrants that have been selected to be used for instructions and downloads.

Available in all warrant tab areas excluding Lodge Instructions as the warrants are yet to be added to an account.

#### Using the Upload Utility

The upload utility will allow the User to upload warrant ID Level 1 file (WRTID).

#### Using the Find by Search Utility

The find by search utility allows the User to add via warrant ID or via Warrant No, Warehouse Company Code and Location Code, or by scanning; dependent on the instruction.

## 17.2 Rent Calculation Process

Overview:

User selects warrant > Rent Calculation;

User enters target date for Rent Calculation in details tab;

Rent Calculation		
REPORT		
DETAILS WARRANTS (0)		
Target Date Total Rent <b>(\$)</b>	* (dd/mm/yyy)	The date, up to and including, that the rent payment amount is to be calculated for The amount of rent due for the selected Warrants, up to and including the target date

User enters warrants in the warrant tab;

CONFIRMATION W	/arrants revalidated		(
Target Date Total Rent (\$)	* (dd/mm/yyyy)	The date, up to and including, that the rent payment amount is to be calculated for The amount of rent due for the selected Warrants, up to and including the target date	


Rent total amount is visible on the details tab;

User selects the Reports button to run reports by account and/or by agent.

Select Report Type	
<ul> <li>Rent Calculation By Account</li> <li>Rent Calculation By Agent</li> </ul>	
	REPORT CANCEL

#### 17.3 Rent Calculation Process via the Rent Endorse Window

Choose one of the instructions and click on the Amend button; the Amend Rent Endorsement window should be displayed;

User enters Target Date for Rent Calculation in Details Tab;

User clicks on the Report button to run reports by account and/or by agent.

Amend Rent Endorseme	ent
SAVE CANCEL REPORT	
$\sim$	
DETAILS WARRANTS (5)	COMMENTS (0)
ld	125266
Reference	* BEV/MAR1
Warehouse Agent	
Warehouse Company	* Flating-Decay Decis 1. Da HD
Target Date	* (dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for
Rent Due (\$)	33,415.00
Status	Unauthorised Create

The select report type box should pop up – see below;

Select Report Type Rent Calculation By Account Rent Calculation By Agent REPORT CANCEL

## Below is an example of the Rent Due by Agent Report

Reports - Windows I	Internet Explore	r					X					
() https://10.138.246.5	4/LMEsword/Re	porting/DialogReport	tViewer.aspx			😵 Certifi	cate error					
14 4 1 of	f1 Þ Þi	4 100%	•	Find   Next	<b>B</b> • 🔅 🌲		^					
LMEsword		Rent D	ue By Agent		Date Printe	0.00.040						
International Commodity Services Ltd Time Printed												
Volen Groep	Grith & G	o #G										
Copper												
Warrant Number	Warrant Id	Rent From Date	Rent End Date	Duration (days)	Rent Rate (\$)	Rent Due (\$)						
10,00	1819602	946-945	310000	652	0.4100	6683.0000						
10,00	1819603	stand proce	29,00,004	652	0.4100	6683.0000						
20 M	1819604	10-04-0070	107-008-0010-	652	0.4100	6683.0000						
10.00	1819609	10-00-0000	38-58-554	652	0.4100	6683.0000						
10 M	1819610	10.000.0000	10.00.0048	652	0.4100	6683.0000						
					Product Total	33415.0000						
					Location Total	33415.0000						
				Warehous	se Company Total	33415.0000						
				Warel	nouse Agent Total	33415.0000						
			-				-					

~

#### 17.4 Rent Endorsement via Search

Define search criteria and select the warrants from the results returned.

Select the rent endorse button as shown above, this will then direct you to the rent endorsement page where the selected warrants will be endorsed. If the selected warrants are across different Warehouse Companies, there will be more than one instruction created, as the instructions are created per Warehouse Company.

The reference field will automatically populate with the Warehouse Company name, this can be changed by amending the instruction.

Select the instruction that has been created and amend the reference field under the details tab.

# **18 Cleared Delivery Process**

This section will detail the functionality available to support the deliveries process. The section will cover what the Clearing House would perform to start the process and what each member participant must do to perform their obligation.

Clearing House initiate delivery settlement process. Giver nominates Warrants to deliver. Clearing House may amend Giver authorises Cleared Giver's delivery commitment. Transfer Instructions Clearing House may recalculate Taker's delivery entitlement. Clearing House initiate Warrant Collection process. Giver informed that Warrants Late Delivery Report provided transferred. to Compliance. Clearing House initiate Basic Allocation process. Clearing House may amend Basic Allocation result. Clearing House initiate System calculates rent Warrant Allocation and accrued and weight Delivery process. adjustments.

The overall delivery process is shown in the diagram below:

#### **Normal Process**

The positions are created by the Clearing House Clearing System;

A list of all market positions for a specific day are sent to the LME the day before delivery by 4.30pm;

The Clearing House trigger the process in LMEsword and all members who are nominated to deliver or receive cleared instructions, this process is automated;

The members fulfil their short commitments and complete their cleared instructions;

The Clearing House collect all warrants;

The Clearing House initiate the Basic Allocation Process;



Additional: The Clearing House can amend the Basic Allocation;

The Clearing House initiate the warrant Allocation and Delivery Process;

Warrants are moved from the Giver Clearing House collection accounts to the Taker collection accounts.

#### Late Delivery or Default Process

The Giver member must fulfil the delivery and authorises their cleared instructions before 11am;

The LMEsword application produces a Late Delivery Report. This is easily accessible for LME Compliance to view anyone whose cleared instructions was authorised after 11am.

#### 18.1 Delivery Summary Screen

Both Members and the Clearing House will have access to the Delivery Summary Screen,

This screen will display data per prompt date, it will list:

- Contracts that have positions for delivery;
- Target Sub-Accounts;
- Commitments;
- Nominated Warrants;
- Collected;
- Entitlements;
- Delivered.

# **19 Collaterising Warrants**

LME compliance expects warrants to be marked as collateralised as soon as the financing deal has taken place.

Warrants marked as collateralised will not be validated for cleared instructions.

## 19.1 Adding the Collateralised Column

Select Settings;



Select 'Is Collateralised' from the source column;

User Settings		
SAVE CANCEL		

#### Select Columns for Search Result Screen

Source Columns	Selected Columns		Sort Order Columns (Max Limit of 5)
Amendment Date Brand Name Cancel Date Cert Of Analysis Country Of Origin Create Date Create Username Creation Type FTZ No Is Collateralised Is Lodged Is Suspended Issuing Member Issuing Member Susing Member Name Location Old Warrant No Org Print Date Package Type	Warrant No Warrant Id Product Whse Whse Co Brand Shape Gross Wgt Net Wgt Location Name Rent Due Not Endorsed Account Account Name Rent Start Date Participant	<ul> <li>&gt;</li> <li>&gt;&lt;</li></ul>	
	TOP UP DOWN BOTTOM		TOP UP DOWN BOTTOM

Please Note: if a column is removed from the Selected Columns list it will also be removed from the Sort Order Columns list.



LME Classification: Public

en	Selected Columns		Sort Order Columns (Max Limit of 5)
	Warrant No Warrant Id Product Is Collateralised Whse Whse Co Brand Shape Gross Wgt Net Wgt Location Name Rent Due Not Endorsed Account Account Name Rent Start Date Participant	) () () () ()	
	en E S S C C C C	Selected Columns Warrant No Warrant Id Product Is Collateralised Whse Whse Co Brand Shape Gross Wgt Net Wgt Location Name Rent Due Not Endorsed Account Name Rent Due Not Endorsed Account Name Rent Due Not Endorsed Account Name Rent Due Nate Name Rent Due Not Endorsed Account Name Rent Due Participant	en Selected Columns Warrant No Warrant Id Product Is Collateralised Whse Whse Whse Co Brand Shape Gross Wgt Net Wgt Location Name Rent Due Not Endorsed Account Name Rent Start Date Participant

Move selection to Seleted Column using arrows;

# Select Save;

Navigate to search page, you will now see the column.

Warr	ant Search C	riteria															
Saved Searc	hes			-	LOAD	DELETE	Includ	le									
Statu Looku	р		•	•	INCLUDE	EXCLUD	E E Exclu	de									
Rang	num Number (	of Records			INCLUDE	EXCLUD	E SE/	ARCH	SAVE							REMOVE	CLEAR
Warr	ants 🗖 Se NLOAD BAT	lect All Result	s Total Wa	rrants Selected RALISE UNCO	i O LL. INTER-#	ICC. EXCL	EAR CLEAR	ed with	IDRAW F	RENT ENDOR:	Ē				Warrants 39866 Records	: 200 ▼ Page	< 1 ·
	Warrant No	Warrant Id	Product	ls Collateralise	ed Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	12842	1798348	/81		685	ami	4.000	100	386	386	(Secol)	467.75		4445.0		0000000	-
	1225.66	(78)390	10		1875	10705	4,016	10.000	3475	3475	(seal)	-162-75		100513	ANALIA CONCINE ANNERSE.S	800.011	10.
	12848	1794238	10		1071	which is	4,000	10.00		2440	Dete:	162.75		100513	ANALITZARIAN AMERIKAN AMERIK	8052311	-
	11448	194397	101		1075	arric	4,014	-	1004		(sear	-182178		1050	ANALII CLARGER AMARALII AMARALI	0000000	100.

# **19.2** Marking Warrants as Collateralised from Search

Navigate to search screen;

## Perform a search;

Select warrants;

#### Select Collateralise;

Warrant Search Criteria (Filtered)						-
Saved -	LOAD DELETE					
	Product : CA	1				
Status	INCLUDE EXCLUDE					
Lookup	Citeria (Filterat)					
Range	arch Citeria ( Filema)					
	INCLUDE					
Maximum Number of Records	SEARCH	SAVE				REMOVE
Warrants Select All Results Total Warrants Selected						
DOWNLOAD BATCH FIND BY COLLATERALISE UNCOL	LL. INTER-ACC. EXCLEAR CLEARED WIT	THDRAW RENT EN	DORSE		Warrants 909 Rec	cords 200 🔻 Page < 1 🔹 🔰
DOWNLOAD BATCH FIND BY COLLATERALISE UNCOL	INTER-ACC. EXCLEAR CLEARED WIT	THDRAW RENT EN	Net Wgt Brand	Shape Rent Start Date	Warrants 909 Rec Rent Due Specification Not Endorsed	Quantity Production Date
DOWNILOAD         BATCH         FIND BY         COLLATERALISE         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           71417         1784498         Met	INTER-ACC. EXCLEAR CLEARED WITH The Constant of the services (UK) Ltd BUS BUS	THDRAW RENT EN Cation Product SA CA	Net Wgt Brand 25421 REC	Shape         Rent Start Date           CATH         01/01/2014	Warrants 909 Rec Rent Due Specification Not Endorsed -3392.75	cords     200     Page     1     >       Quantity     Production Date       13 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           71417         1784498         Met           71416         1784497         Met	LL         INTER-ACC.         EXCLEAR         CLEARED         WMT           International Trade Services (UK) Ltd         BUS           International Trade Services (UK) Ltd         BUS	THDRAW         RENT EN           cation         Product           SA         CA           SA         CA	Net Wgt         Brand           25421         REC           24582         REC	Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014	Warrants 909 Rec Rent Due Specification Not Endorsed -3392.75 -3392.75	cords     200     Page     1       Quantity     Production Date       13 Bundles       12 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           71417         1784498         Met           71415         1784497         Met           71415         1784495         Met	INTER-ACC.         EXCLEAR         CLEARED         WIT           se Co Name         Loc         Loc         Loc         Loc           tro International Trade Services (UK) LId         BUS         BUS         Bus         Loc           tro International Trade Services (UK) LId         BUS         BUS         Bus         Loc         Loc         Loc	THDRAW         RENT EN           cation         Product           SA         CA           SA         CA           SA         CA	Net Wg         Brand           25421         REC           24582         REC           25372         REC	Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014	Warrants 909 Rec Rent Due Specification Not Endorsed -3392.75 -3392.75 -3392.75	Countity     Production Date       13 Bundles     12 Bundles       13 Bundles     13 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           7/417         1784498         Met           7/1415         1784497         Met           7/1415         1784496         Met           7/1414         1784495         Met	INTER-ACC.         EXCLEAR         CLEARED         WIT           se Co Name         Loc         Loc         Loc         Loc           tro International Trade Services (UK) LId         BUS         BUS         International Trade Services (UK) LId         BUS           tro International Trade Services (UK) LId         BUS         International Trade Services (UK) LId         BUS	Cation     Product       SA     CA       SA     CA       SA     CA       SA     CA	Net Wg         Brand           25421         REC           24582         REC           25372         REC           24560         REC	Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014	Warrants 909         Rec           Rent Due         Specification         Not Endorsed           -3392.75	200     Page     1     >       Quantity     Production Date       13 Bundles       13 Bundles       13 Bundles       12 Bundles       12 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           71415         1784495         Met           71415         1784495         Met           71414         1784495         Met           71413         1784494         Met	INTER-ACC.         EXCLEAR         CLEARED         WIT           text         Name         Loc	THDRAW     RENT EN       sation     Product       SA     CA       SA     CA       SA     CA       SA     CA       SA     CA       SA     CA	Net Wg         Brand           25421         REC           24582         REC           26372         REC           24500         REC           24513         REC	Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014           CATH         01/01/2014	Warrants 909         Rec           Rent Due         Specification         Not Endorsed           -3392.75	200     Page     1     >       Quantity     Production Date       13 Bundles       12 Bundles       13 Bundles       12 Bundles       12 Bundles       12 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           71415         1784495         Meter           71415         1784495         Meter           71414         1784495         Meter           71413         1784494         Meter           71413         1784493         Meter	INTER-ACC.         EXCLEAR         CLEARED         WIT           text         Name         Loc         Name         Loc         Name         Loc         Name	THURAW         RENT EN           cation         Product           SA         CA	Net Wgt         Brand           25421         REC           24582         REC           25372         REC           24560         REC           24561         REC           24562         REC           24563         REC           24564         REC	Shape         Rent Start Date           CATH         01/01/2014	Warrants 909         Rec           Rent Due         Specification         Not Endorsed           -3392.75	Page     1 *       Quantity     Production Date       13 Bundles     13 Bundles       12 Bundles     12 Bundles       12 Bundles     12 Bundles       12 Bundles     12 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           7         71415         1784498         Met           7         71415         1784495         Met           7         71415         1784495         Met           7         71413         1784494         Met           7         71413         1784493         Met           7         71412         1784493         Met           7         71411         1784492         Met	INTER-ACC.         EXCLEAR         CLEARED         WIT           text         Name         Location	THURAW         Product           SA         CA	Net Way         Brand           25421         REC           24582         REC           25372         REC           24583         REC           24584         REC           24582         REC           24583         REC           24584         REC           24583         REC           24584         REC           24583         REC	Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014	Warrants 909         Rec           Rent Due         Specification         Not Endorsed           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -	Page     I       Quantity     Production Date       13 Bundles     12 Bundles       12 Bundles     12 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           71417         1784498         Met           71415         1784497         Met           71415         1784495         Met           71413         1784495         Met           71413         1784494         Met           71413         1784493         Met           71411         1784494         Met           71411         1784491         Met           71411         1784491         Met           71411         1784491         Met	INTER-ACC.         EXCLEAR         CLEARED         WIT           se Co Name         Loc	THURAWI         PROULE           SA         CA	Net Wgt         Brand           25421         REC           24525         REC           24520         REC           25421         REC           25420         REC           24520         REC           24521         REC           24520         REC           24521         REC           24510         REC           24520         REC           24521         REC           24520         REC	Shep         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014	Warrants 909         Reck           Rent Due         Specification         Not Endorsed           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -	Page     I     I       Quantity     Production Date       13 Bundles
DOWNLOAD         BATCH         FIND BY         COLLATERALISS         UNCOL           Warrant No         Warrant Id         Is Collateralised         Wh           7.14.15         1784493         Met           7.14.15         1784497         Met           7.14.15         1784495         Met           7.14.15         1784495         Met           7.14.13         1784493         Met           7.14.13         1784493         Met           7.14.13         1784493         Met           9         7.14.12         1784494         Met           9         7.14.12         1784493         Met           9         7.14.12         1784494         Met	INTER-ACC.         EXCLEAR         CLEARED         WIT           se         Co Name         Loco         BUS         Use         Loco         BUS         Use         Loco         BUS         Use         Loco         Loco         Loco         BUS         Loco         BUS         Loco         Loco <t< th=""><th>THURAW         Product           sa         CA           SA         CA</th><th>Net Way         Brand           25421         REC           25425         REC           25437         REC           24580         REC           24581         REC           24582         REC           24581         REC           24582         REC           24584         REC           24584         REC           24584         REC           24584         REC           24584         REC</th><th>Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014</th><th>Warrant's 909         Reck           Rent Due         Specification         Not Endorsed           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -</th><th>200     Page     1     &gt;       Quantity     Production Date       13 Bundles       12 Bundles       13 Bundles       12 Bundles</th></t<>	THURAW         Product           sa         CA           SA         CA	Net Way         Brand           25421         REC           25425         REC           25437         REC           24580         REC           24581         REC           24582         REC           24581         REC           24582         REC           24584         REC           24584         REC           24584         REC           24584         REC           24584         REC	Shape         Rent Start Date           CATH         01/01/2014           CATH         01/01/2014	Warrant's 909         Reck           Rent Due         Specification         Not Endorsed           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -           -3392.75         -         -	200     Page     1     >       Quantity     Production Date       13 Bundles       12 Bundles       13 Bundles       12 Bundles

## Pop up appears for confirmation;

Message fr	om webpage
?	The Warrant(s) selected will be marked as Collateralised Warrant(s). Are you sure you want to continue?
	OK Cancel

You will now see the warrants at the top of the search and with a green tick under 'Is Collateralised' column.

DOV	INLOAD BATC	H FIND BY	COLLATERALISE	NCOLL. INTER-ACC. EXCLEAR CLEARED	WITHDRAV	V RENT E	NDORSE							ords 200 •	Page < 1 🔻 🗲
~	CONFIRMATI	ON 6 Warra	nts marked as Colla	teralised Warrant(s) successfully.											
13	Warrant No	Warrant Id	Is Collateralised	Whee Co Name	Location	Product	Net Wgt	Brand	Shape	Rent Start Date	Rent Due	Specification	Not Endorsed	Quantity	Production Date
12	71409	1104408	~	14444-0.1 (Internet california) 7 Product - Terretorium (1244), 5 (44)	designed.	100	10000	-	100000	0000000000000	1000100			127 Bandhas	
5	71410	17584891	-	Martin - Washington Tradition and Charles and Charles	dentes .	120	(8811)	1881	120030	10100103004	12462-001			-C-Bandler	
8	71411	(18445)	~	Means - International Tradit (Territory (1995) 1141	distant.	124	10100	-	1000		10000100			C. Section	
123	71414	(158455)	~	Manta - International Thatte-Terretons (1991) 144	characteristics.	124	10000	1992	100404	101000-000-00	1286-10			11 Northeast	
83	71415	1794100	-	Marco - Marco and Tank / Terrare - 1981   141	designs.	124	101210	1801	10000	101031-02014-	1284(17)			111204-004	
8	71416	CREAT!	-	Means - International Tradit - Terratory (1991) 1441	distant.	124	100.000	1000	1000		10000-001			C. Surdice	
10	71417	11544581		Western Concernation of Tradition Territories (1990) 1141	designed.	124	104471	1881	(paths)		1000-01			11 Beerline	
1275	71413	10000		Character Constant (Marcold Theorem, Character or Constant) (1997)	1000	100	1000010	1000	1100	10.000	1000			100 Contractory	

# 19.3 Marking Warrants as Collateralised from Batch

Navigate to a batch;

Select warrants;

#### Select Collateralise;

Warr	ant Batch - 3																
DELE	TE CLEAR D		JPLOAD F	IND BY COLLATERAL	ISE UN	COLL. INTE	R-ACC.	EXCLEAR	CLEARED	WITHDRAW	RENT ENDORSE						ords 200 -
	Warrant No	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	111532	17165341	178		17.941	101/0710		mic	(2468)	(2443)	Hainger	1998-10		-		101000-000	100.
	111531	1110223	198		(236)	100/0728	-	10.0	(2144)	(2444)	Hanger	1998-10		-		101000-0004	1000
	111516	1110228	198		(796)	10040528	-	1945	(2419)	(0418)	(Facinger)	1996-10		-		101001-0004	1000
	111510	17145740	1980		(7.98)	104/0724		196	121240	111200	(Hamper	1998-10		-		1010032004	100.
	111494	17946211	1981		10.000	104/0724		196	(2186)	101000	(Wassinger	1998-10		-		101003004	100.
	111493	1714576	1981		12.54	101/070		1945	101340	(0.1991)	Wanger	1998-10		-		101003-0004	100.
	111492	1114100	1981		12.54	101/0710		196	(2169)	(3149)	(Haninger	1998-10		-		10100-0004	1000
	111491	1114510	1981		12.54	101/0728		1945	10134	101788	(Hasinger	1998-10		-		10100-0004	1000
	111495	1110110	1981		10221	104/0724		196	(0.174)	101710	(Wassinger)	1998-10		-		10100-0004	1000
	111480	17167120	1981		182.01	105/0728		196	(3156)	(0148)	Hanger	1998-10		-			100.
V	111462	17142107	1981		1022	104/072	100100	1945	(8148)	(8148)	Hainger	1998-10		-		101000-0004	100.
	111461	1110110	1981		182.81	101/071	-	1955	(8116)	(0.116)	(Washington)	1998-10		depressions-		10100-0004	1000
	111460	114110	1981		10221	101/0710		195	11188	(1128)	(Haninger	1992 (1)		date to come		10100-0004	1000
	111418	1714803	1981		10221	101/0710		10.0	(2419)	10000	(Haninger	1998-10		depressions -			1000
	111392	1714807	1981		(236)	100/0710		1945	(0146)	(0.646)	(Fiscinger)	1000-01		-		10100-0004	1000
	111348	1111100	1981		(298)	1001/020		100	(0415)	(0.411)	(Washinger	1000-01		-		10100-0004	1000
	111341	1111100	18		(196)	10.01/0710	(811)(1)	186	(8114)	(8174)	(Washington)	1000-01		-			1000

#### Pop up appears for confirmation;





You will now see the warrants at the top of the batch and with a green tick under 'Is Collateralised' column.

Warrant	Batch - 3			Total Warrants													
DELETE	CLEAR DO	OWNLOAD U	IPLOAD FI	ND BY COLLATERA	LISE UI	ICOLL. INT	ER-ACC.	EXCLEAR	CLEARED	WITHDRAW	RENT ENDORSE						ords 200
🖌 со	NEIRMATIC	DN 6 Warrar	ts marked	as Collateralised Wa	rrant(s) s	uccessfully.											
_							100 0						100.002.00	100			
🖾 Wa	arrant No	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
111	1461	1718138	(18)	*	18241	101010	-	196	3116	(0110)	(Facelger)	1996-10			Ballinator in the	10100-00040	100
111	462	1784092	(18)	*	10241	101/072	-	196	(8165)	3140	(Facinger)	1996-71			Barrisana in case -	10100-00040	100
111	1480	714112	19	×	10211	101/072	-	196	(2146)	3146	Weinigen	1998-71		-	Ballingen in the -	10100-0004	1000
111	1516	17165231	18	*	(18)	141/08	-	100	(0.446)	2448	(Tealinger	1998-10		-	INFORMATION OF	10100-0004	1000
111	1531	1146231	195	*	(18)	101/072	-	196	(2144)	2144	(Facinger)	1000-01			Bartinaan in Ameri	10100-0004	100.
111	1532	-7162261	18	*	1238	101/078	-	100	(8448)	1048	(Ferringer)	1000170			INFORMATION OF STREET	10100-0004	100.
111	1510	171402341	(18)		(18)	101/028	-	100	11100	1126	(Fairger	100.1		-	INFORMATION OF STREET	0.00.0014	100
111	1494	179462311	198		(110)	101/076	-	100	10.040	10.000	(Weakington)	1000-01			ANTIMA CONT.	10100-0004	100.
111	1493	17145230	19		(110)	141/05	-	100	11100	10.000	Weiningen	100010			INFORMATION OF ANY	10100-0004	100.
111	1492	17140301	10		1110	141/03	-	100	124481	2148	(Fearger)	100010			INFORMATION OF THE	10100-0004	100.
111	1491	17140381	100		(110)	101/028	-	100	10.000	10.000	(Fairger	100.1		-	INFORMATION OF STREET	10100-02014	10.
111	1495	17945581	198		10211	101/020	-	100	101210	2010	(Fairger	100.1		-	INFORMATION OF THE OWNER	0.00.0014	100.
E <u>111</u>	1460	17140100	100		10241	101/02	-	100	10.040	1100	(Fininger)	100.75		-	Reprised and the second	0.00.0014	10.
E <u>111</u>	1418	17140031	10		10211	101/078	-	100	3459	104030	Weinger	100.75		and the second	INFORMATION OF ANY	0.00.0304	-
111	1392	17846271	-		12381	1444/6781	-	186	10440	3445	Weininger	100010			BREISANNING STREET	International	100.

# 19.4 Removing Collateralised Flag

Perform a search;

Select warrants that are collateralised;

## Select Uncoll;

Warra	int Search Ci	riteria (Filtere	d)														
Saved Search	nes				DAD	DELETE	Inclu	ude									
							Sta	atus : Colla	teralised								
Status				- INC	LUDE	EXCLUDE											
Looku	p		•	• INC	LUDE	EXCLUDE	Exc	lude									
Range																	
				INC	LUDE	EXCLUDE											
Maxim	um Number o	of Records					SI	EARCH	SAVE							REMOVE	CLEAR
1.11																	
Warra	ants 📲 Sel			rrants Selected 3													
Warra	ants 🗐 Sel NLOAD BAT	lect All Result: TCH FIND BY	s Total Wa	ALISE UNCOLL.	INTER-AC	C. EXCLEA	AR CLEA	RED WITH	HDRAW RE	INT ENDORS	E					Warrants 15 Re	ecords 200 💌
Warra Down	ants Sel NLOAD BATH Warrant No	lect All Results TCH FIND BY Warrant Id	s Total Wa COLLATER Product	rrants Selected 3 ALISE UNCOLL. Is Collateralised	INTER-AC	C. EXCLEA	AR CLEA	RED WITH Shape	HDRAW RE Gross Wgt	NT ENDORS Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>Re</sub> Rent Start Date	ecords 200 -
Warra Down	Ants Sel NLOAD BAT Warrant No 111461	lect All Results TCH FIND BY Warrant Id	s Total Wa COLLATER Product	ALISE UNCOLL.	INTER-AC	C. EXCLEA	R CLEA Brand	RED WITH Shape	HDRAW RE Gross Wgt	NT ENDORS Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>Re</sub> Rent Start Date	Participant
Warra Down	Ants Sel NLOAD BATH Warrant No 111461 111462	lect All Result: TCH FIND BY Warrant Id	s Total Wa COLLATER Product	ALISE UNCOLL Is Collateralised	INTER-AC	C. EXCLEA	Brand	RED WITH Shape	HDRAW RE Gross Wgt	NT ENDORS Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>Re</sub> Rent Start Date	Participant
Warra Down	ants         Sel           NLOAD         BAT           Warrant No         111461           111462         111480	lect All Result: TCH FIND BY Warrant Id	s Total Wa COLLATER Product	Is Collateralised	Whse	C. EXCLEA	R CLEA	RED WITH	HDRAW RE Gross Wgt	Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>Re</sub> Rent Start Date	Participant
Warra	Ants Sel NLOAD BAT Warrant No 111461 111462 111480 111516	lect All Result: ICH FIND BY Warrant Id	s Total Wa COLLATER Product	Is Collateralised	Whse	Whse Co	R CLEA	RED WITH	HDRAW RE Gross Wgt	Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>Re</sub>	Participant
Warra Down	Warrants         Sel           NLOAD         BAT           Warrant         No           111461         111462           111462         111462           111516         111531	lect All Result: TCH FIND BY Warrant Id	s Total Wa COLLATER Product	Is Collateralised	INTER-AC	C. EXCLEA Whse Co	Brand	RED WITH	Gross Wgt	Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>Re</sub>	Participant
Warra	Antos         Sel           NLOAD         BAT           Warrant         111461           111462         111462           111516         111531           111532         111532	lect All Result TCH FIND BY Warrant Id	S Total Wa	ALISE UNCOLL Is Collateralised	INTER-AC	C. EXCLEA Whee Co	Brand	RED WITH	HDRAW RE Gross Wgt	Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 Re Rent Start Date	Participant
Warra Down	Warrant         Sel           Warrant         BAT           Warrant         111461           111461         111462           111461         111516           111531         111532           71409         1	lect All Result TCH FIND BY Warrant Id	s Total Wa	Is Collateralised	Whse	Whee Co	Brand	RED WITH	Gross Wgt	Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 <sub>R</sub>	Participant
Warr: Down	NLOAD         BAT           Warrant         111461           111462         111462           111453         111536           111532         71409           71410         11150	lect All Result TCH FIND BY Warrant Id	Total Wa	Is Collateralised	INTER-AC	C. EXCLEM	Brand	RED WITH	HDRAW RE Gross Wgt	Net Wgt	E Location Name	Rent Due	Not Endorsed	Account	Account Name	Warrants 15 Rd	Participant

LME Classification: Public

Pop up appears for confirmation.

Message fr	om webpage
?	The Warrant(s) selected will be marked as Uncollateralised Warrant(s). Are you sure you want to continue?
	OK Cancel

CONFIRMATION 3 Warrants marked as Uncollateralised Warrant(s) successfully.



# 20 Reporting

Select Reports > Reports Menu from the main screen;

The reports screen appears with a list of all the reports available to you;

Select the desired report; this will be generated by LMEsword and presented on the right hand side of the browser;

Some reports may require you to enter parameters such as:

- Business date;
- Instruction ID;
- Warrant Number;
- Prompt date;



LME Classification: Public

Once generated you can:

- Navigate through the report;
- Resize the view of the report;
- Perform an alpha/numeric search on the displayed report;
- Select a format for the report and then export the file to your local drives;
- Refresh the report to pick up new data;
- Print the report.

# Part 2 - London Agent: Specific User Functions

# 21 Warrants



Warrant Menu view dependent on your defined system access.

# **21.1** Suspension or unsuspension of a Warrant (Invalid Warrant Instruction)

This warrant activity is carried out by the LME Physical Operations team and is documented in a separate internal London Metal Exchange administration document.

# **21.2** Downloading Warrants

Warrants can be downloaded from the warrant search screen or the batch screen. The three download types remain:

- Level 1 Id only;
- Level 2 Upload Format (coded value) this format can be used for uploading warrants;
- Level 3 Full Details.



Select all warrants or warrants required using the checkboxes available;

Select Download button – Download window opens;

Download	
BACK DOWNLOAD	
Type of Download	<ul> <li>Id Only</li> <li>Upload Format (coded values)</li> <li>Eull Details</li> </ul>
Filename	Test1_1.txt

Select type;

- i. **ID Only –** Provides the User with a file with warrant IDs only;
- Upload Format (coded values) this is a level 2 download which can be used by all Users as required;
- iii. Full Details this is a level 3 download which can be used by all Users as required;

User has the option to input a new File name;

User has option to ignore previous selection and select all warrants available in batch by;

Select Download;

File Management window opens;

Select Refresh button to view full download details (you may need to wait a few minutes for the refresh to display an update);

Select the view link for the download entry;

The following file download dialogue box will open;



Select the Open button;

A text file will open: see the following for example text for a warrant id file:

📕 WRTID	20090730[1	l] - Notepa	d	_ 🗆 🗙
File Edit	Format Vie	w Help		
WRTID	2009079		6	*
TH9050	ATABE	JOHO	3976849	
TH9051	ATASE	JOHO	3976850	
TH9052	AT#58	JOHO	3976851	
TH9053	ATASE	JOHO	3976852	
TH9054	ATASE	JOHO	3976853	
TH9055	ATASE	JOHO	3976854	
				-

Save the file locally in .txt format.

# 22 Search Functionality

### 22.1 How to make the most of your warrant search

#### Status

The LMEsword system allow you to search for the Status of a warrant. You can also use the function to include and exclude by adding your values to the search criteria.

#### Lookup

This criteria pull down menu allows multiple values to be added to the search. A User can at present choose one of each value under this list.

The values available for lookup include Account, Brand, Product, Location, Warehouse, Warehouse Company.

#### Range

This type of criteria allows the User to search a range of dates, weights or warrant IDs or warrant numbers.

#### 22.2 Searching for a Warrant

Searching for a warrant is an integral part of LMEsword. It helps to populate the batch, produce downloads files and populate all instruction types (see general concepts for instructions sections).

Warrant Search Criteria (Filte	(ber					
Saved Searches	• LOAD	DELETE	ci - AH			
Status	- INCLUC	E EXCLUDE				
Lookup	• • • • • • • • • • • • • • • • • • •	E EXCLUDE Exclude	*			
Range	•	Vilanel	house Company : FLBART			
	INCLUE	EEXCLUDE	_			
Maximum Number of Records		SEA	ACH SAVE			REMOVE CLEAR
Warrants 🔳 Select All Resu	its Total Warrants Selected 0					
DOWNLOAD BATCH FIND B	Y COLLATERALISE UNCOLL IN	TER-ACC. EXCLEAR CLEARE	VINTHDRAW RENT ENDORSE		Wa	erants 🔲 Records 🚧 🔹 Page 🗹 1 🔹 🗴
Warrant No	Warrant Id	Rent Due	Rent Start Date	Location	Net Wgt	Is Collateralised
E (1968)	10110	782.0	00.001	10	1100	
E 184.80	101110	785.8	10010816	11.0	246	
10 10000 C	100410	100.00	10001000		1000	

The warrant search screen with all-important fields



There are three types of search criteria: Status (warrant), Lookup (e.g. Product, Location, Warehouse, Warehouse Company, Account, Brand, and Country) and finally Range (e.g. Warrant Id, Warrant No, Creation Date, Rent Start Date).

Select warrant > search;

Enter a search criteria for example, Product, select Include (search criteria appears in window in search section);

Enter a search criteria for example, Warehouse Company, select Exclude (search criteria appears in window in search section);

Select Search to run search based on the criteria – warrants appear in the bottom window;

Optional step: select particular selected criteria then select Remove to remove the selected search criteria;

Optional step: Select Clear to clear all selected criteria in the search section.

#### 22.3 Including and Excluding Search Criteria

Warrant Search Criteria			
Saved Searches	LOAD	DELETE	Include
Status	INCLUDE	EXCLUDE	
Lookup 🔹 💌	INCLUDE	EXCLUDE	Exclude
Range			
	INCLUDE	EXCLUDE	
Maximum Number of Records			SEARCH SAVE REMOVE CLEAR

Navigate to the search screen;

Enter a search criteria for example, Product, select Include;

Enter a search criteria for example, Warehouse Company, select Exclude;

Select Search.

Warrant Search Criteria (Filtered)	)					
Saved Searches	LOAD	DELETE				
		Produ	ict : AH			
Status	▼ INCLUDE	EXCLUDE				
Lookup	INCLUDE	EXCLUDE	le			
Range	-	Ware	house Company : FLBART			
	INCLUDE	EXCLUDE				
Maximum Number of Records		SEA	RCH SAVE			REMOVE CLEAR
Warrants 🛛 Select All Results	Total Warrants Selected 0					
DOWNLOAD BATCH FIND BY	COLLATERALISE UNCOLL. INTER-	ACC. EXCLEAR CLEARE	D WITHDRAW RENT ENDORSE			Warrants Records 200 🔹 Page < 1 🔹
Warrant No	Warrant Id	Rent Due	Rent Start Date	Location	Net Wgt	Is Collateralised
	1001100	7980.00	1200-020-02	10.00	(1498)	
	10001100	7965100	1003-020-0	10.00	(2485)	
	10000100	1000-00	10.000.000.00	100100	10000	

# 22.4 Saving Search Criteria

LMEsword allows up to 25 search criteria's to be saved.

Navigate to the search screen;

Enter criteria into the search screen;

## Click Save;

Warrant S	earch Criteria			
Saved Searches	▼	LOAD	DELETE	Include
				Fiblidet : CA
Status	•	INCLUDE	EXCLUDE	
Lookup	▼ ABRA - ABRA ▼	INCLUDE	EXCLUDE	Exclude
Range				Brand : ABRA
		INCLUDE	EXCLUDE	
Maximum	lumber of Records			SEARCH SAVE REMOVE CLEAR

A pop up will appear;

Save Se	earch Criteria	
Search Criteria Name	New	*
	SAVE CANCEL	

Enter a name;



Select Save;

A pop up will appear confirming it has been saved successfully.



## 22.5 Overwriting a saved search name

Navigate to the search screen;

Enter Criteria into the search screen;

Select Save;

A pop up will appear;

Use the drop down to select an existing named search;

Sa	ave Search Criteria					
Sea Crit Nar	arch eria me	New New test test 2				*
		SAVE	CANCEL			

Select overwrite;



LME Classification: Public

Save Se	ch Criteria	
Search Criteria Name	test ✓ * test	
	OVERWRITE	

You will then receive a confirmation message.

Message fr	om webpage	
<b></b>	Search Name: test saved successfully.	
	ОК	

# 22.6 Load saved searches

Navigate to search screen;

Select a saved search from the drop down menu;

Warrant S	earch Criteria				-
Saved Searches	<b>•</b>	LOAD	DELETE	Include	
Status	test 2	INCLUDE	EXCLUDE		
Lookup	•	INCLUDE	EXCLUDE	Exclude	
Range	•				
		INCLUDE	EXCLUDE		
Maximum	Number of Records			SEARCH SAVE REMOVE C	LEAR

Select Load;



LME Classification: Public

Warrant S	earch Criteria (Filtered)			
Saved Searches	test	LOAD	DELETE	Include Product : AH
Status		INCLUDE	EXCLUDE	
Lookup	• •	INCLUDE	EXCLUDE	Exclude
Range	•			Location : Detroit
		INCLUDE	EXCLUDE	
Maximum	Number of Records			SEARCH SAVE REMOVE CLEAR

If the search criteria has existing data, a warning message will be displayed

Message from webpage	×
Any active Search Criteria will be Search Criteria. Are you sure you	lost and replaced with your saved want to load?
	OK Cancel

Saved criteria will appear in the 'include' and 'exclude' windows;

Select Search.

# 22.7 Deleting Saved Searches

Navigate to search screen;

Select a saved search from the drop down menu;

Select Delete;

Warrant S	earch Criteria (Filtered)				-
Saved Searches	test	LOAD	DELETE	Include Froduct AH	
Status		INCLUDE	EXCLUDE		
Lookup	-	- INCLUDE	EXCLUDE	Exclude	
Range		-		Location : Detroit	
		INCLUDE	EXCLUDE		
Maximum	Number of Records			SEARCH SAVE REMOVE CLEAR	



A pop up will appear asking for confirmation;



Confirmation saved search has been deleted.

Message from webpage	
Search Name : TEST1 deleted successfully.	
ОК	

## 22.8 Applying a sort order to search results

Select Settings;

Setting	s   Log Out		
HELP	a		
User Settings SAVE CANCEL			
Select Columns for Search Result Screen Source Columns Amendment Date Brand Name Cancel Date Cert Of Analysis Country Of Origin Create Date Create Username Creation Type FTZ No Is Collateralised Is Lodged Is Ludged Is Suspended Issuing Member Name Location Old Warrant No Org Print Date Package Type	<ul> <li>Selected Columns</li> <li>Warrant No Warrant Id Product Whse</li> <li>Whse Co Brand Shape Gross Wgt Location Name Rent Due Not Endorsed Account Name Rent Start Date Participant</li> </ul>	Sor (2) (3) (3) (3) (4)	t Order Columns (Max Limit of 5)

Please Note: if a column is removed from the Selected Columns list it will also be removed from the Sort Order Columns list.

Select an item(s) from 'selected columns';

Move selected into 'sort order column' using the arrow buttons;

Use the buttons under the column to move items to the desired position;

Select Save after selection is complete;

A confirmation message will appear.



### 22.9 Warrant Selection Counter

Navigate to search screen;

Enter a search criteria;

Select Search;

Select warrants;

# 'Total Warrants Selected' will display number of warrants selected.

Warra	nt Search Crit	teria (Filtered)															-
Saved Searcl	nes			- LOAD		DELETE	Include										
							Produc	t : PB									
Status				- INCLU	DE E	XCLUDE	Dialio	DERA									
Looku	þ	•	1	<ul> <li>INCLUE</li> </ul>	DEE	XCLUDE	Exclude										
Range				•													
				INCLU	DE E	XCLUDE											
							SEAR	СН	SAVE							REMOVE	CLEAR
Maxim	um Number of	Records															
Warr	a <b>nts 🔳</b> Seleo	ct All Results	Total Warrar	ts Selected 5													
DOW	NLOAD BATC	H FIND BY	COLLATERALI	ISE UNCOLL. IN	TER-ACC.	EXCLEAR	CLEARED	WITHD	RAW RENT E	NDORSE							ords 200 -
	Warrant No	Warrant Id	Product	Is Collateralised	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
	11110	110000	19		17181	1001073	-	1912	1999	1999	Arrenter	1791081	*	Self Translation	- And Charles of America	We come	- 100
	11103	1110110	19		1718	1941(67)	-	1912	2444	7944	versiller	17818	*	- Self Trise dill-	- AND TRANSPORT	30111311	
	11114	110070	195		1718	101071	-8111-1	1912	(2418)	2618	versige	1781-8	*	Self Treesbill	AND REAL PROPERTY.	10011004	100
	11118	1100781	195		1798	101071	-81114	1910	2126	1126	Westigen	1771-081	*	State Concerns	AND DARK TO AND IT	3011310	-
	11188	17102211	100		-	1000000	and the second	100	10100	10100	Westigen	170.00	*	Ball Ball	International Contents	(Marrison of States)	1000
			1.46		1111	101010	-	1000							And the second second	10000	1990
	11100	114210	18			NAVES.	-	10	2199	100	Westiger	7918	*	-	Barrissen in same	aman	
<b>V</b>	11140	171402101	18			141(23)	1000 A	10	2198	2010	Versige	791-86 791-86	:	-		3011340 3011340	-
V	111400 111400	746216 746235 746236	18			NAVES NAVES	10110 10110 10110	80 80 80	2000 2000 2000	2.00 2.40 2.30	Warngen Warngen Warngen	7518 7518 7518				30110340 30110340 30110340	-
		1746236 1746286 1746286 1746286			1 10 1 10 1 10 1 10 1 10			10 10 10 10	20080 20480 20284 20284	2000 2000 2000 2000	Weatingen Weatingen Weatingen	776-88 776-88 776-88 776-88		BATRORIS BATRORIS BATRORIS BATRORIS		34111(341) 34111(341) 34111(341) 34111(341)	28. 28. 28.



## 22.10 Using search in Instructions

Create a new instruction;

Complete the details tab of instruction;

## Navigate to warrants tab within the instruction;

Create Excleared Transfer Instruction	
SAVE CANCEL REMOVE INVALID REVALIDATE FROM SEARCH FROM BATCH UPLOAD FIND BY	Records 200 🔻
DETAILS WARRANTS (0) COMMENTS (0)	
No warrants selected.	

#### Select From Search;

#### A pop up will appear with the search functionality;

r: Saved Searches	A SFARCH   FROM BATCH   UPI	OAD I FIND RY		Include	CLOSE
Status Lookup Range	•	INCLUDE     INCLUDE	EXCLUDE	Exclude	
Maximum Number of R	ecords	INCLUDE	EXCLUDE	SEARCH	REMOVE

Complete the criteria;

Select Search;

Select warrants;

Select Transfer;



TRA	NSFER CLOS	E.												Warrante 33635 Hecords	200 • Page <	1 .
	Warrant No	Warrant Id	Product	Whee	Whee Co	Drand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participan
- 1		1.	-1444	1000	and the second			10000		100000000			Contraction of the	CARACTER & COLUMN CONTRACTOR ( ) AND ADDRESS OF A DESCRIPTION OF A DESCRIP	And the second sec	
E\$ 1	10000	1.	100001		1.0000000000000000000000000000000000000			100000000	10000	(Territoria)	100000000000000000000000000000000000000			AND REPORT OF A DESCRIPTION OF A DESCRIP	100000000000000000000000000000000000000	
- 12				1000						(Teenson)				comparing a subsymmetry particular system with a particular		100000
		110000	-1004		100000000000000000000000000000000000000			10000000		(Constant)	100000000000000000000000000000000000000		100000000000000000000000000000000000000	representation of a local descent ty representation and the second descent	100000000000000000000000000000000000000	
	10000000000							10000000000		( Commenter	-		relation and	CONTRACTOR AND ADDRESS OF ADDRESS	- minute state and state in the	
		1.			Land Training	reduct of the local division of the				(10000000)						
-								100000000	100000-000	(Testerosti			- photosica at -	And	- Marcola College and Article	
										(Constraint)						
	10.00									(Descende)				CONTRACTOR AND ADDRESS OF ADDRESS OF ADDRESS ADDRE	Construction of the local division of the	
	10.000	100000000			- AND TRACE					Constraint.				Constitution of the American State of the American Constitution of the American State of		
										(Construction)				CARGOLIC CONTRACTOR CARGONICAL CONTRACTOR	community and the local	
-										(Destant)				CARGE CONTRACTORS CARDING CONTRACTORS	commentation and the local	
		11000			10000000000					(Construct)				CONTRACT CONTRACTOR CARDINGS, CO., CONTRACT		
										(Testeron)				CONTRACTOR CONTRACTOR CONTRACTOR CONTRACTOR	Characterization and the	
	10000000000				1.000			10000	1000	- Transverse				CONTRACTOR CONTRACTOR CONTRACTOR CONTRACTOR	- Manufacture and the second	
-	10000000000									(Construct)				CONTRACTOR CONTRACTOR CONTRACTOR CONTRACTOR		
- 10			-1493							(management)				Company of the American Company of the American Street Str	100000000000000000000000000000000000000	
-						-				(Destaur)				And		
										( Sector 2				CARGOLARY CONTRACTOR CONTRACTORS AND ADDRESS OF		
-										(Contraction)				And a statement of the second se		

Save instruction.

# 23 File Management

## 23.1 Downloads

All downloads can be viewed and managed from the File > View.



File Managem	ent									
USER VIEW: OFF	DELETE	UPLOAD RESTART REFRESH SEARCH								Records 200 💌
Log File	File	Туре	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
	<u>View</u>	Download Warrant (level 2)	5_WarrantDownload.txt	Completed	Finished Processing		0.00111112	600011142	00.000	40011111
	View	Download Warrant Id (level 1)	21_WarrantDownload.txt	Completed	Finished Processing		8000111110	6000111107	0.00	800011140
	View	Static Data Download - Brand	BRAND20130806.txt	Completed	Finished Processing		800011117	6003111117	16.6.9	800311118
	View	Download Warrant Full Details (level 3)	COUNTER_194.txt	Completed	Finished Processing		800011112	886911112	84.0	800.011111
	View	Download Warrant Id (level 1)	3_WarrantDownload.txt	Completed	Finished Processing		Autor 1 1 1 1	AND 1111	18.8.0	A00011-1-118

## 23.2 Individual User View

Files you have uploaded or downloaded can now be viewed individually, as compared to what the whole organisation has downloaded or uploaded.

Perform a search;

Select warrants;

Select Download;

Choose any level of download;

Ask a colleague to perform a search and download;

Navigate to File Management;

Toggle between User View: On and User View: Off to view the files you have downloaded and the files your colleague has downloaded.

File Management											
USER VIEW: ON	DELETE	UPLOAD	RESTART	REFRESH	SEARCH						
File Management											
USER VIEW: OFF	DELETE	UPLOAD	RESTAR	T REFRES	H SEARCH	]					

# 24 Premium Warrants for London Agent

#### 24.1 How to convert to a premium

#### 24.1.1 Message

When a convert to Premium instruction has been created and authorised by a member, a message will appear in the inbox.

Inboy							
INBO)	SENT ARCHIVE ARCHIVE MESSAGE						Records 200 💌
	Subject	Read	Processed	From	Date Time Sent	Category	Priority
	Security Charles 20001 1020 (sector deductor)			Bulle No Ball Hi	00011038	Message Type 1	High



Message		
DELETE BACK		
From	Charles Fig. (Barle), ME	
Date Sent	2540x0014 54:55	
Subject	Convert to Premium	
Folder	Inbox	
Body	Convert to Premium Creation Authorised	

Selecting the hyperlink will take you to the instruction.

Premiu	um Warrant Instruc	tion List						
AUTHO	RISE ACCEPT REJEC	t undo						Records 200
	Reference	ld	Status	Warrants	User	Member	Created	Completed
V	.00	248	Authorised Create	4		2040/0702002	20023-10	

#### 24.1.2 Instruction View

As a London Agent, you can Accept or Reject the convert to premium instruction.

Once accepted or rejected the instruction will need to be dual authorised.

## 24.2 How to search for a premium warrant

Navigate to search screen, the premium contract can be found on the 'Look Up' list.

10 unread	d messages (6 Warrant, 3 Cleared, 0 Excl	eared, 0 Inter-accou	nt, 0 Lodge, 0 With	hdrawal, 0 Rent Endorsement, 1 Premium)	
Varrant S	Search Criteria				
Saved Searches		LOAD	DELETE	clude	
status		INCLUDE	EXCLUDE		
.ookup ≀ange	Premium Contract	INCLUDE	EXCLUDE	xclude	
/laximum	Number of Records			SEARCH SAVE REMOVE	CLEA

You may need to add Premium warrants to your search results screen.

## Navigate to 'Settings'



Add 'Premium Contract' & 'Premium Start Date' to the selected column.

unread message (0 Warrant, 0 Cie	ared, o Excleared, o Inter-account,	Louge, o windrawai, o Rent	i Endorsement, T Premium)	
ser Settings				
AVE CANCEL				
elect Columns for Search Result Sci	reen			
ource Columns	Selected Columns		Sort Order Columns (Max	Limit of 5)
Init Date roducer roducer Name roduct Name roduct Name roduct Name wantity emove Date emove Reason ent Due ent Start Date hape hape Name pecification pecification Name tatus nauth Create Date farehouse Arrival Date	Warrant No Warrant Id Product Whse Premium Contract Premium Start Dat			
lorrant Daf 1	TOP	OOWN BOTTOM	TOP UP DOWN	BOTTOM

LME Classification: Public

War	rrants 🛛 🗧 Select All R	Results Total Warrants Selected 0				
DOV	NNLOAD BATCH FINE	DBY COLLATERALISE UNCOLL. INTER-	ACC. EXCLEAR CLEARED	WITHDRAW RENT EN	DORSE PREMIUM	Warrants 280 Records 200 💌 Page < 1 💌 🔪
	Warrant No	Warrant Id	Product	Whse	Premium Contract	Premium Start Date
	AA050568	962568	AH	100	AW	manual l
	AA055520	055528	AH	100	AW	and the second sec
	AA873274	878274	AH	100	AW	and the second sec
	A4572990	870990	AH	100	AW	and the second sec
	64673636	879636	AH	100	AW	and the second s
	AA060715	960715	AH	100		
	4 4 5 5 5 5 5 5	000000	ALI	100		

### Select Save and return to your search screen

# 24.3 Rent endorse Premium warrants

The process for rent endorsements will remain the same; there are extra columns on the warrant tab to highlight the premium warrants.

1	Amend	Rent Endo	rsement											
	SAVE	CANCEL	NOVE	MOVE INV	ALID REV	ALIDATE FROM SE	ARCH FROM	BATCH	IPLOAD	FIND BY	REPORT			
[	DETAIL	s WARRAN	TS (2) C	OMMENTS	(0)									
		Warrant No.	Warrant Id	Notes	Product	Warehouse Company	Location	Rent Fror	m Not Endo	rsed	Rent to Farget <b>(\$)</b>	Is Premium	Premium Contract	
		AA878274	878274		AH	S. Malantas Management	Rotterdam	346409		ł	5,856.75	2	AW	
		AA870990	870990		AH	1. National National Art	Rotterdam	1000		Ę	5,856.75		AW	

# 24.4 Uploads and Downloads

The format for files will remain the same, no changes.

The premium contract will be displayed as per the below;

Level 1 – No change

File	Edit	Format	View	Help		
WRT	ID	1203-0-00	100		4	
AA8	78274	1	10.5	The local division in which the	ROTT	878274
AA9	50568	3	115	Transferra	ROTT	950568
AA9	60715	5	10 3	Condina in	ROTT	960715
AA9	67693	3	10.5	Part Ser	ROTT	967693



#### Level 2 – Upload format

#### The premium warrants will have the underlying product code

4_WarrantDow	nload.txt - Noter	bad					and the second division of	-		
File Edit Form	at View Help									
WRTPD	100	4	$\sim$				A COMPANY AND A COMPANY			
AA950568	15556	ROTT	950568 AH	SAOALC	ING	20150521	1014.25 USD	25147	25147	KG
AA960715	C. Strength	ROTT	960715 AH	SAOALC	ING	20150521	1007.25 USD	25073	25073	KG
AA996816	127044	ROTT	996816 AH	SAOALC	ING	20150521	1007.25 USD	25110	25110	KG
AA855528	Colorado de Colorado	ROTT	855528 AH	RUSALB	TBAR	20150521	1014.25 USD	25110	25110	KG

## Level 3 – Full details

The premium warrants will have the underlying product code

4_WarrantDownload.txt - Notepac	i i		140			1000	100					— 0 <mark>- X</mark>
File Edit Format View Help												
WRTFD AA950568 AA960715 AA996816 AA855528	4 ROTT 950568 ROTT 960715 ROTT 996816 ROTT 855528	AH AH AH AH	SAOALC SAOALC SAOALC RUSALB	ING ING ING TBAR	20150521 20150521 20150521 20150521 20150521	1014.25 USD 1007.25 USD 1007.25 USD 1014.25 USD	25147 25073 25110 25110	25147 25073 25110 25110	KG KG KG KG	BR BR BR RU	2630 2630 2630 2630	91744( 91744( 91744( 82753;

# 25 Rent

#### 25.1 Rent Endorsement Process

- 1. Once a member has created and authorised a rent endorsement instruction, a message will appear in the agent Inbox.
- 2. Selecting the hyperlink will take you to the instruction.
- 3. As a London Agent, you can Accept or Reject the rent indorsement instruction. Once accepted or rejected the instruction will need to be dual authorised.
- 4. Once authorised, the process is completed.

# 25.2 Rent Calculation (Rent schedule report)

Each London Agent may obtain from the LMEsword System a rent schedule report setting out the aggregate amount of rent accrued and due in respect of all Warrants or Immobilised Warrants issued by it, including those that are available to be transferred within LMEsword.

Select Warrant > Rent Calculation

HOME	WARRANT	LODGE	WITHDRAW
	CREATE 8	LODGE	
	BATCH		•
	SEARCH		
	RENT END	ORSEM	ENT
	RENT CAL	CULATIC	DN
	SCAN WA	RRANT	
	CONVERT	TO PREI	MIUM

The Rent Calculation screen will appear. In the Details tab, enter the target date for the rent calculation in format dd/mm/yyyy.

up to and including, that the rent payment amount is to be calculated for
nt of rent due for the selected Warrants, up to and including the target date
, u

Click the Warrants tab to open the warrant search screen.

Rent Calcu	Ilation
REMOVE F	ROM SEARCH FROM BATCH UPLOAD FIND BY REPORT
DETAILS	WARRANTS (0)
No warrants	selected.

Choose a method to search for the warrants you wish to calculate the rent for. Once warrants have been added to the query, click Report to generate the Rent report summary.

tent Calculation												
EMOVE	E FROM SEA	RCH FRO	М ВАТСН	UPLOAD FIND	BY REPOR	т						
CONFIRMATION Warrants revalidated												
DETAIL	S WARRAN	ITS (3)										
	Warrant No.	Warrant Id	Product	Warehouse Company	Location	Rent From	Rent To	No Days	Daily Amount (\$)	Rent to Target (\$)	Is Premium	Premium Contract
	AA986486	986486	AH	Henry Bath Singapore Pte Ltd	Singapore			244				
	AA961378	961378	AH	Henry Bath Singapore Pte Ltd	Singapore			244				
	AA990877	990877	AH	Henry Bath Singapore Pte Ltd	Singapore			244				

🧟 Reports - Internet Explorer – 🗆 🗙											
4 4 1 of 1	1 ▶ ▶	4 100%	×	Find   Next	ه• ⊛ ۵	۵					
	Rent Due By Agent Date Printed										
					Time Printed	09:45					
terry limit in	-										
The second second											
Primary Aluminium	1										
Warrant Number	Warrant Id	Rent From Date	Rent End Date	Duration (days)	Rent Rate (\$)	Rent D	)ue (\$)				
AA990877	990877			244							
AA961378	961378			244							
77300400	500400			244	Product Total						
					Location Total						
	Warehouse Company Total										
	Warehouse Agent Total										

The report will open in a separate browser window.

The report can be exported into one of the selectable formats or printed directly from this screen.

# 26 Reporting

Select Reports > Reports Menu from the main screen;

The reports screen appears with a list of all the reports available to you;

Select the desired report; this will be generated by LMEsword and presented on the right hand side of the browser;

Some reports may require you to enter parameters such as:

- Business date;
- Instruction ID;
- Warrant Number;
- Prompt date;


Once generated you can:

- Navigate through the report;
- Resize the view of the report;
- Perform an alpha/numeric search on the displayed report;
- Change the format of the report and then export the file to your local drives;
- Refresh the report to pick up new data;
- Print the report.



# **27** Warrant Creation and Lodgement

Warrants are created as part of the Lodgement process in a single workflow, rather than a two stage inefficient model. Up to 10,000 warrants can be created and lodged in a single instruction.

The London Agent is responsible for creating the warrants in LMEsword based on the information provided by the warehouse company. The London Agent will create the lodgement and allege it to the receiving member for their acceptance and authorisation.

# **28** Create a Lodgement with Warrants

Lodgements and the associated new warrCants can be created using two different methods; via the GUI and via a file upload.

When creating Warrants, London Agents must now select a Member to represent them and enter a reference number.

LMEsword will create a 6-character alphanumeric security code when creating the instruction that must be communicated by the Agent to the intended Member outside of the system. This is to prevent unauthorised viewing of the Warrants associated with the Lodge Instruction in the event an incorrect Member is specified during the Lodgement process.

# 28.1.1 Via GUI

Creating Lodgements via the GUI is easy and straightforward, especially for a small number of warrants. However, if there are a larger number of warrants to be lodged it is recommended to use the file upload method detailed in the section below <u>Via File Upload</u>

From the Main screen, navigate to Warrant > Create & Lodge

	6					Welcome	Settings   Log Out
	LMEsw	vord	HOME WARRANT	LODGE WITHDRAWAL F	ILE REPORTS	ADMIN HELP	۵
1	Create & Lodge						
ŀ	NEXT CLEAR CANCE	1					
	Number of Warrants	• [1		First Warrant No	• 🖻		
	Member	· Cost Supplies at	hanadar haryan 200	Reference	. 16	×	
	Lodge Security Code	★ 1MKjQ6					
)	Creation Type	New					
	Product	•		Product Spec	• 20	<b>v</b>	
	Shape	*		Package Type	•	~	
	Warehouse Company	•					
	Warehouse	*	×.	Location	•		
	Brand	<ul> <li>Russen</li> </ul>	<b>•</b>	Country of Origin	(Here	-	
	Certificate of Analysis Reference	• (50#U8					

#### Input the relevant details pertaining to the warrants to be created

Choose the Member from the drop down list to which the lodgement is to be alleged to. Make a note of the Lodge Security Code, as the member will contact you for this code.

Note that it is available at any time from the Lodge Instructions screen.

Once all the mandatory fields have been completed, click Next.

The following page allows for the Quantity and Net Weight to be added, as well as the optional fields of Reference 1 and 2, plus Off Warrant information. If the warrants on the lodgement share some or all of the information on this page it can be copied across to them to save manually adding for each one; select the warrant that the information is to be sourced from and then click Copy To All.

		-			
reate Warran	is				
REV CLEAR	ANCEL SAVE				
CONFIRM/	TION Copy to All Succe	ssful			
larrante:			CODY FROM	COPY TO ALL	
arrants.			COPTIPION	COPTIOALL	
0.00	Number		TEST123		
100.04	Quantity	*	8		
	Net Weight		Gross Weight	20025	
	Reference 1		This is one reference	~	
				>	
	Reference 2		This is a second reference	~	
				_	
				$\sim$	

Once all relevant information has been added to all warrants, click Save. The lodgement and warrant details will be validated and the instruction saved.

Note that the resulting Lodge Instructions screen displays the Security Reference that the member will require.

-								Welcome	Settings   Log O
J	LME	sword	d	HOME	WARRANT LODGE	WITHDRAWAL	FILE REPORTS	ADMIN HELP	0.
Sear	ching and So	orting							+
Lod	ge Instruc	tions		_					
AUT	HORISE	WNLOAD	ETE UPLO	D				R	ecords 200 💌
~	CONFIRM	ATION Warra	nt(s) Added s	uccessfully.					
	Reference	Instruction Id	Warrants	Status	Member	5	SecurityReference	Created	Completed
	-	-	10	Unauthorised	Rept Sold of Co	entillange .		1048-0108	

The lodgement instruction needs to be authorised before the member will see the instruction in their inbox and Lodge instruction screen.

### 28.1.2 Via File Upload

The file upload method uses the standard LMEsword upload process. The file itself must be in the prescribed format so that all the data can be loaded successfully. The format and structure of the file can be found in the LMEsword Technical Guide

Note that the security code required by the Member will be auto-generated by the system during upload (rather than being included in the file) and will be visible to the Agent via the Lodge Instruction screen.

Prepare the input file per the format and structure set out in the LMEsword Technical Guide and save locally on your PC. The file must include member name and warrant details.

In LMEsword, from the main menu, navigate to File > View

Click Upload in the resulting screen.

Set the 'Type of File to Upload' to 'Upload Create and Lodge Warrant Instruction'

Click 'Browse...' and select the file path to locate the file saved in step 1



Click 'Upload'. The file will be loaded into LMEsword and will return to the File Management screen.



)	LM	IEs	word				HOME	WARRANT	FILE REPORT	S ADMIN HE	LP
le Ma	anage	ement									
SER V	VIEW: O	N DELE	TE UPLOAD RE	START REFRESH S	EARCH						Records 200
											and the second se
/ (	CONFI	RMATIO	N Added To Queu	e. Please continue to br	rowse the s	site while the	e details a	ire uploaded	1		
/ . k	CONFII og ile	RMATION File	N Added To Queu Type	ie. Please continue to br File Name	rowse the s Status	site while the Message	e details a Upload	started On	Completed On	Created By	Created On

The file will be parsed initially to validate format and structure. If this is correct then a green 'Confirmation' banner will be displayed. If this is not correct, then a red 'Error' banner will be displayed and the file will need to be corrected and the upload process repeated. Validation errors are displayed in the log file and can be downloaded as an XML file.

To view the log file click the 'View...' link. This will display a summary of the processing and identify where any errors have occurred.

-			Welcome 1	Settings   Log Ou
	sword		HOME WARRANT FILE REPORTS ADMIN HELP	• a
View Upload/Do	wnload Log			
DOWNLOAD BAC	ĸ			
Participant	100 Append	0		
File Type	Upload W	/arrant (level 2)		
Processed On	100.00			
File Accepted	True			
Rows Processed	2			
Rows Failed	0			
Rows Created	1			
Rows Updated	0			
Line Number	Туре	Message Code	Message	
1	Message	400	Header row validated	
2	Message	1100	The Warrant has been created. Authorise the Warrant to activate it.	
			Numbe	r of Messages: 2

#### Opening the log file shows further detail on the exact failures.

```
klmeSword_interface_results>
  <fileType>Upload Warrant (level 2)</fileType>
  <fileName>
  </fileName>
  <processedOn>17/06/2020</processedOn>
  <participant>WhAgent01</participant>
<fileAccepted>False</fileAccepted>
  <rowsProcessed>2</rowsProcessed>
  <rowsCreated>0</rowsCreated>
  <rowsUpdated>0</rowsUpdated>
  <rowsFailed>1</rowsFailed>
  <line>
    <number>1</number>
    <type>Validation</type>
    <message>The uploaded file contains an invalid Warehouse Company Code, please amend and retry the upload</message>
    <code>
    </code>
  </line>
  <line>
    <number>1</number>
    <type>Validation</type>
    xmessage>The uploaded file contains an invalid Warehouse Company-Location combination, please amend and retry the upload</message>
    <code>
    </code>
```

Once the file has been uploaded and processed successfully, and the lodgement created, it will need to be authorised.



## 28.2 Authorise a Lodgement

Authorising a Lodgement is the same process regardless of the input method.

Each Lodgement instruction will be required to pass through the dual-authorisation process.

Lodge Instructions must be dual Authorised by the London Agent before they are visible to Members.

A User from the same company and with sufficient access to perform the action must perform the authorisation

From the main menu, navigate to the Lodge > Lodge Instructions screen. This will display all recent lodgements performed by the Agent, and in various status of the workflow.

)	LME	swor	b	HOME WA	RRANT LODGE WITHD	RAWAL FILE REPORT	IS ADMIN HE	ELP
unre remi	ead messag ium)	es (0 Warrant, (	0 Cleared, 0 E	Excleared, 0 Inter-accou	nt, 0 Lodge, 4 Withdrawal, 0	Rent Endorsement, 0		
earc	hing and Sc	orting						
odg AUTH	ge Instruc HORISE DO	tions WNLOAD DEI	LETE UPLO	AD				Records 200
	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed
	1.1.102	2000	8	Unauthorised Create	Real Dates Streets	08()X	1.00000	
	552	2000	-	Completed	Interlations	10.000	100000	10000

Identify the lodgement to be authorised. This will be one of the instructions in Unauthorised Create status. Clicking on the Reference link of the relevant lodgement will open the instruction and display all pertinent details.

LME Classification: Public

-					Welcome	Settings   Log O
	vord		HOME WARRANT	LODGE WITHDRAWAL FILE	REPORTS ADMIN HELP	0.
4 unread messages (0 V Premium)	Varrant, 0 Clear	red, 0 Excleared,	0 Inter-account, 0 Lodg	e, 4 Withdrawal, 0 Rent Endorsem	ent, 0	+
View Instruction - L	odge					
BACK REFRESH						
Details						
Reference	1947	e 1	nstruction Id	(which is		
Participant Id	104	1	Status	Unauthorised Create		
Comments						
No Comments						
Selected Warrants						
Warrant No.	Warrant Id	Print	Confirmed	Is Dematerialised	Premium Contract	
to a faço	2020			*		
N.S. FOR	10700			*		
Request Audit						
Participant		Username	From State	To State	Date & Time	
halo because of		risks in the		Unauthorised Create	100000000000000000000000000000000000000	

Check that all details are correct. If the details match, click the Back button which will navigate back to the Lodge Instructions screen.

Click the checkbox for the relevant instruction and then click Authorise.

							Trencenn	in the second state	
	) LME	swor	d	HOME WA	ARRANT LODGE WITHD	RAWAL FILE REPORT	S ADMIN HEL	LP	_
4 uni Prem	read messag nium)	es (0 Warrant, (	0 Cleared, 0 E	Excleared, 0 Inter-accou	nt, 0 Lodge, 4 Withdrawal, 0	Rent Endorsement, 0			
Sear	ching and So	orting							
Lod	ge Instruc	tions							
Lod AUT	ge Instruc HORISE DO	tions WNLOAD DEI	LETE UPLO	AD			1	Records 200	[
Lod AUT	ge Instruc HORISE DO Reference	tions WNLOAD DEL Instruction Id	LETE UPLO/ Warrants	AD	Member	SecurityReference	Created	Records 200 Completed	0
.od AUT	ge Instruct HORISE DO Reference	tions WNLOAD DEL Instruction Id	UPLO/ Warrants	AD Status Unauthorised Create	Member	SecurityReference	Created	Records 200 Completed	(
bo. AUT	ge Instruct HORISE DO Reference	tions WNLOAD DEI Instruction Id	Warrants	AD Status Unauthorised Create Completed	Member Biografi Bartis of Consulta- Biografi Bartis of Consulta-	SecurityReference	Created	Records 200 Completed	

This will trigger a free format text pop-up where optional notes can be added. Add notes if needed and then click Authorise.

Authorise		
Notes	These are test notes from authorising.	$\langle \rangle$
	AUTHORISE CANCEL	

The screen will return to the Lodge Instructions view and a green banner will show confirmation.

-							Welcome	Settings	Log Ou
	) LME	swor	d	HOME W	ARRANT LODGE WITHD	RAWAL FILE REPORT	S ADMIN HE	LP	0.
4 un Prem	read messag nium)	es (0 Warrant, (	0 Cleared, 0 E	xcleared, 0 Inter-acco	unt, 0 Lodge, 4 Withdrawal, 0	Rent Endorsement, 0			+
Sear	ching and So	orting							+
Lod AUT	ge Instruc HORISE DO	tions WNLOAD DEI	LETE UPLOA	AD				Records 200	~
~	CONFIRM	ATION 1 Inst	ruction(s) auth	orised successfully.					
	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed	
	11.0100	1000	2	Authorised Create	Contract Contract	1850	1000		
	1000	2000. 2000.	1	Authorised Create Completed	Annalises of Lorentz Comparison Recordspaces	nepi Note	10000 45 10000 11	Lawrence of the lawrence of th	

The lodgement is now visible to the specified Member who will receive a message in LMEsword advising them of the instruction. They will need to obtain the security code listed. The code can be obtained from LMEsword at any time by viewing navigating to the Lodge Instructions screen.

# 28.3 Viewing Lodgement Instructions

Lodgement instructions can be viewed once they are in Unauthorised Create status, i.e. once it has been first created.

Once logged in to LMEsword, from the main menu select Lodge > Lodge Instructions.

The Lodge instructions list is displayed.

6				0			Welcome	Log Out
C	LMEs	word		HOME LODGE	WITHDRAWAL PRIN	T REPORTS ADMIN	N HELP	Q.
14 ur Endo	nread messages ( rsement, 0 Premiu	0 Warrant, 0 Cleared m)	I, 0 Excleared, 0	Inter-account, 4 Lodge, 10	) Withdrawal, 0 Rent			+
Sear	ching and Sorting	1						+
Lod	ge Instruction	5						
DAIL	Y VIEW: ON CON	NFIRM PRINT					Records	200 🔽
	Reference	Instruction Id	Warrants	Status	Participant Id	Created	Completed	
	Karthi	All the second second	÷	Unauthorised Create	1995-0	NAMES OF A DESCRIPTION OF A DESCRIPTION OF A DESCRIPTIONO		
	a hale it	incost .	÷	Authorised Create	100	equilation of all		
	10102-002	10000	R.	Completed	with	hall/08048.05-	Index sign of	1.08

Clicking on any of the Reference hyperlinks will open the lodgement and display further details

				Welcome	Log O
	sword	HOME L	ODGE WITHDRAWAL PRINT R	EPORTS ADMIN HELP	0
14 unread messag Endorsement, 0 Pr	ges (0 Warrant, 0 Cleared emium)	, 0 Excleared, 0 Inter-account, 4 L	odge, 10 Withdrawal, 0 Rent		+
View Instructio	on - Lodge				
BACK REFRESH	]				
Details					
Reference	010403	Instruction Id	100001		
Participant Id	1000	Status	Authorised Create		
Comments No Comments					
Selected Warrants					
Warrant No.	Warrant Id	Print Confirmed	Reject Reason	Premium Contract	
EPART .	300/10/0				
EP SANGE	300/10/18				
ETM (	100,700,00				
EM.	100,700,00				
IPBARS .	3007027				
Request Audit					
Participant	Username	From State	To State	Date & Time	
1000			Unauthorised Create	NUMBER OF STREET, ST.	
				and see in the second second second second	

Clicking on a Warrant No. hyperlink will display the warrant details.

### 28.4 Amending a Lodgement or the Warrants

Should the lodgement or the associated warrants need to be amended, the instruction must be deleted and a new Lodge Instruction created.

### 28.5 Delete a Lodgement

A lodgement can be deleted at any point in the workflow except when the instruction is in a Completed or Rejected state, i.e. the lodgement can be deleted when it is in the following statuses:

- Unauthorised Create
- Authorised Create
- Security Code Checked (once the member has viewed the lodgement and warrants)
- Unauthorised Accepted

Note that the deletion process does not need dual-authorisation and can be performed by a single User. Once deleted, the instruction is removed from the system and no longer available to view.

From the main menu navigate to Lodge > Lodge Instructions

-								Welcom	Settings	Log O
	) LME	swor	d	HOME WA	RRANT LODGE	WITHDRAWAL	FILE REPORTS	ADMIN HE	LP	C
3 uni 0 Pre	ead messag mium)	es (0 Warrant, (	) Cleared, 0 E	excleared, 0 Inter-acco	ount, 0 Lodge, 3 Wit	hdrawal, 0 Rent E	indorsement,			+
Sear	ching and So	orting								+
Lod	ge Instruct	tions								
AUT	HORISE DO	WNLOAD DEI	LETE UPLO	AD					Records 200	~
	Reference	Instruction Id	Warrants	Status	Member	Sec	urityReference	Created	Completed	
	and the second	Direct N	1	Authorised Create	Realitation (C.	and and	pe .	100000		
				Heauthorized				Constant of the local division of the		

LME Classification: Public

-							Welcome	Settings	Log Ou
J	) LME	swor	d	HOME WA	RRANT LODGE WITHDR	AWAL FILE REPORT	S ADMIN HE	ELP	Q.
3 uni 0 Pre	read messag mium)	es (0 Warrant, I	0 Cleared, 0 E	Excleared, 0 Inter-acco	ount, 0 Lodge, 3 Withdrawal,	0 Rent Endorsement,			+
Sear	ching and So	orting							+
Lod	ge Instruc	tions							
AUT	HORISE	WNLOAD DEI	LETE UPLO	AD				Records 200	~
	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed	
	10.000	1000	ä.	Authorised Create	Brush Arts Alfredation Reliep (Int	THOSE .	11.0000000		
•	ini umu	1000	1	Unauthorised Create	Receipt Dang	1-114	Sciences NGS		

Click Delete, and the click Ok and the prompt



As the delete action does not need dual-authorisation, the lodgement is deleted immediately and the warrants are deleted along with it.

		)LME	Esword	b	HOME WA	RRANT LODGE WIT	HDRAWAL FILE REPOR	Welcome	L   Settings   L	C.
	4 uni 0 Pre	read messag mium)	es (0 Warrant, 0	Cleared, 0 E	cocleared, 0 Inter-acco	unt, 1 Lodge, 3 Withdra	wal, 0 Rent Endorsement,			+
	Sear	ching and Se	orting							+
,	Lodge Instructions									
	AUT	HORISE DO	WNLOAD DEL	LETE UPLO	ND				Records 200	~
	<b>~</b>	CONFIRM	ATION 1 Instr	uction(s) dele	ted successfully.					
		Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed	
		1.010	24923	2	Authorised Create	Developed of Same Subgerval	and the second s	100000		
		500	2000		Completed	Namedya Docum	194038	1000000	1000	

# 29 Withdrawals

A Member will initiate the withdrawal process, create, and authorise a withdrawal instruction.

LMEsword will assign the withdrawal instruction to the relevant London Agent based on the warehouse in which the warranted material is stored.

The LondonAgent is to then check and authorise the withdrawal within LMEsword.

The member will specify a withdrawal reason at the start of the process either for cancellation, or to mobilise the warrants to hold them outside of the LME Depository.

Note that the terminology used for 'Mobilised' warrants and 'Extracted' warrants merely reflects differing legal and operational terms used in different jurisdictions, but they both refer to live warrants that are being held outside of the depository.

## 29.1 Viewing Withdrawal Instructions

Withdrawal instructions can be viewed once they are in Authorised Create status, i.e. once the member has created and authorised the instruction.

Once logged in to LMEsword, from the main menu select Withdrawal> Withdrawal Instructions.

The Withdrawal instructions list is displayed.

-					W	elcome	Settings   Log O
	LMEsw	vord	HOME W	ARRANT LODGE WITHD	RAWAL FILE REPORTS AL	omin Help	0
5 unre Premiu	ad messages (0 V um)	Varrant, 0 Cleared, 0 Excle	eared, 0 Inter-accou	int, 1 Lodge, 4 Withdrawal, 0	Rent Endorsement, 0		+
Search	hing and Sorting						+
Witho	drawal Instruct	ions					
ACCE	AUTHORISE	DAILY VIEW: ON DOWN	NLOAD CONFIRM	PRINT REPRINT COLLEC	T	Re	cords 200 💌
	Reference	Instruction Id	Warrants	Status	Created	Co	mpleted
	106,04,1	Design (Fig.	1	Authorised Create	NAME AND ADDRESS OF ADDRESS OF ADDRESS		

Clicking on any of the Reference hyperlinks will open the lodgement and display further details

-				welcome	I Log C
	sword		HOME LODGE WITHDRA	WAL PRINT REPORTS ADMIN HELP	0
14 unread message Endorsement, 0 Prer	s (0 Warrant, 0 Cleared nium)	, 0 Excleared, 0 Inter-acc	ount, 4 Lodge, 10 Withdrawa	al, 0 Rent	+
View Instruction	- Withdrawal				
BACK REFRESH					
Details					
Reference	100.0	Q	instruction Id	(mark)	
Participant Id	14040		Status	Authorised Create	
Withdraw Reason	For Car	cellation			
Comments					
No Comments					
Selected Warrants					
Warrant No.	Warrant Id	Product	Print Confirmed	Premium Contract	
and so the	2100007	-			
Request Audit					
Participant	Username	From State	To State	Date & Time	
1993 - C			Unauthorised	Create	
		Use of select Courts	Authorized C	and a second sec	

#### 29.2 Accepting a Withdrawal Instruction

Once a member has authorised the lodgement, it will need to be accepted by the Agent.

From the main menu, navigate to Withdrawal > Withdrawal Instructions. This will display all recent withdrawals for the Agent

With	Withdrawal Instructions								
ACCI	PT AUTHORISE	DAILY VIEW: ON DOWN	NLOAD CONFIRM	PRINT REPRINT COLLECT		Records 200 🔽			
	Reference	Instruction Id	Warrants	Status	Created	Completed			
	101,01,1	0.000	1	Authorised Create	48000-CH				
	200,00,0	0.004	1	Unauthorised RePrint	104003-003				

Locate the instruction to be accepted. This will be in an Authorised Create state.

Clicking the Withdrawal Instruction Reference (the name of the Withdrawal Instruction), redirects the Agent to View Instruction - Withdrawal screen. On this screen, the Withdrawal Reason field is displayed.

View Instruction	- Withdrawal					
BACK REFRESH						
Details						
Reference	04.4	6.2	Instruction Id		100	
Participant Id	100		Status	A	uthorised Create	
Withdraw Reason	For Ca	ncellation				
Comments						
No Comments						
Selected Warrants						
Warrant Id	Product	Pri	nt Confirmed		Premium Co	ntract
10000	10.					
2007-01	10.					
Request Audit						
Participant	Username	From State		To State		Date & Time
100				Unauthorised Crea	ite	101003-0101
10.00		Unauthorised Crea	ate	Authorised Create		100000-000-0

Check that the details are correct. If they are, click Back. If they are not then the instruction will need to be deleted by the member

Click the checkbox for the instruction to be accepted, and then click Accept. Note that multiple instructions can be accepted at the same time by clicking the relevant checkboxes.

Witho	Withdrawal Instructions								
ACCE	PT AUTHORISE	DAILY VIEW: ON DOW		RINT REPRINT COLLECT		Records 200 💌			
	Reference	Instruction Id	Warrants	Status	Created	Completed			
-	101.01.0	0.007	1	Authorised Create	00001018				
	200,00,0	1000		Unauthorised RePrint	100000-003				

Once successful, a green confirmation banner will display and the instruction is now accepted and will need to be authorised.

Witho	Withdrawal Instructions           ACCEPT         AUTHORISE         DAILY VIEW: ON         DOWNLOAD         CONFIRM PRINT         REPRINT         COLLECT         Records         200         V							
<ul> <li>Image: A start of the start of</li></ul>	CONFIRMATION	Withdrawal Instruction(s	) successfully Acc	septed.				
	Reference	Instruction Id	Warrants	Status	Created	Completed		
	391.06.1	0.007	1	Unauthorised Withdrawal	101010-00110-001			
	200,00,2	0.000		Unauthorised RePrint	CREATE 4.01			

#### 29.3 Authorising a Withdrawal Instruction

As part of the dual-authorisation process, the withdrawal will need to be authorised after it has been accepted.

The authorisation must be performed by a different User that actioned the acceptance, but still from the same company and with sufficient access to perform the action.

From the main menu, navigate to Withdrawal > Withdrawal Instructions. This will display all recent withdrawals for the Agent.

Locate the instruction to be accepted. This will be in an Unauthorised Withdrawal state.

Clicking the Withdrawal Instruction Reference (the name of the Withdrawal Instruction), redirects the Agent to View Instruction - Withdrawal screen.

Check that the details are correct. If they are, click Back. If they are not then the instruction will need to be deleted by the member.

With	drawal Instruct	ions DAILY VIEW: ON DOW	NLOAD CONFIR	M PRINT REPRINT COLLECT		Records 200
	Reference	Instruction Id	Warrants	Status	Created	Completed
~	100.44.3	204870	3	Unauthorised Withdrawal	1000303-0-0	
	100,00,3	0.84		Unauthorised RePrint	1004030110.01	

Click the checkbox for the instruction to be accepted, and then click Authorise.

There is free-text pop where any notes can be added

Authorise	
Notes	
	AUTHORISE REJECT CANCEL

### **Click Authorise**

Once authorised, the warrants are ready to be printed. Click 'Print Warrants' to start the print job.

Print Warrants	
	The Warrant(s) are ready for printing. Click Print Warrants to launch the Print Warrant application.
Print Warrants	

### 29.4 Printing Withdrawn Warrants

Per the above step, by authorising the Withdrawal Instruction, the Agent is also authorising the Printing of the Warrant.

LMEsword will send the warrants from the application to the local print utility that will format and render the content into a readable file for the printer.

For more information, refer to the LMEsword Technical Guide

If there are multiple warrants in the instruction, they should be printed in order sorted by Warrant Id regardless of how they are displayed on screen.

### 29.4.1 Withdrawal for Mobilisation

If the warrants are being withdrawn for mobilisation then they will be printed in full on the Agent's printer with no watermark.

Example of a mobilised warrant printed on plain paper. Note the Specimen watermark is for demonstration purposes only and will not appear in the production environment.

The below is an example of the electronic records narrative (visible within LMEsword) in relation to the Warehouse Terms & Conditions (T&Cs).

Warehouse Terms &	Standard terms of business of the Warehouse are available from the
Conditions	Warehouse.

LMEsword does not print a reference to T&Cs on the warrants, as the Agents will be using the Warehouse specific pre-printed security paper, which should already contain a reference to their T&Cs.



Reference:

Signed.....

International Commodity Services Ltd The Houses 16-18 Blackfriars Lane London EC4V 6EB UK

3
s.
2
2 I I I

12/11/2020 17:03:39



A print copy is also triggered the LME Depository where the warrant will be watermarked with Mobilised if the warrant is for an immobilised jurisdiction.

### 29.4.2 Withdrawal for Cancellation

If the warrants are being withdrawn for cancellation then they will be printed in full on the Agent's printer with 'Cancelled' watermarks.

Example of a cancelled warrant printed on plain paper. Note the Specimen watermark is for demonstration purposes only and will not appear in the production environment.



## 29.5 Confirming Warrant Printing

Once a London Agent has performed the final authorisation step of the withdrawal process that sends the warrants to the printer, they must confirm that print was successful locally so that the instruction can be completed.

You will need the recently printed warrants for this process.

From the main menu, navigate to Withdrawal > Withdrawal Instructions. This will display all recent withdrawals for the Agent.

Locate the instruction that was recently authorised. This will be in Authorised Withdrawal status.

Click the checkbox and click Confirm Print

Withd	Withdrawal Instructions											
ACCE	AUTHORISE	DAILY VIEW: ON DOWN		PRINT REPRINT COLLECT		Records 200 🔽						
	Reference	Instruction Id	Warrants	Status	Created	Completed						
~	100,04,3	Januaria I		Authorised Withdrawal	100030310-0							
	100.55.1	20200	1	Unauthorised RePrint	1000000-000							

This will navigate to the Withdrawal Instruction Confirm Printed Warrants. Clicking the Warrants tab will display all warrants associated with the withdrawal

Withdrawal Instruction Confirm Printed Warrants										
CONFIRM PRINT BACK Records 200 V										
DETAILS	DETAILS WARRANTS (2) COMMENTS (0) Selected Warrants									
	W	Destant	D.L. C. C. L	Develop Content						
	Warrant Id	Product	Print Confirmed	Premium Contract						
	10.000	-54								
	300403									
-										

From the printer, take the warrants that were printed for the instruction and reconcile the warrant id on the printed warrant back to the warrant id listed on the screen.

Click the checkbox for each warrant that was printed successfully. Once all successfully printed warrants have been ticked, click Confirm Print



Withdrav	Withdrawal Instruction Confirm Printed Warrants										
CONFIRM PRINT BACK											
DETAILS	WARRANTS (2)	COMMENTS (0)									
Selected	Warrants										
	Warrant Id	Product	Print Confirmed	Premium Contract							
$\checkmark$	100.000	- 54									
	20040										

This will redirect back the Withdrawal Instructions screen and confirm that the confirm-print was successful. Note that this will display even if some warrants were not confirmed.

With	Withdrawal Instructions										
ACCE	AUTHORISE	DAILY VIEW: ON DOW	NLOAD CONFIRM	PRINT REPRINT COLLECT		Records 200 💌					
~	CONFIRMATION Instruction confirm printed successfully.										
	Reference	Instruction Id	Warrants	Status	Created	Completed					
	101.01	2481	1	Authorised Withdrawal	10101020-0201						
	38,83	1144		Unauthorised RePrint	CREEK 6-D						

Navigating back into the instruction shows which warrants were marked as being successfully printed

View Instruction - Withdrawal										
BACK REFRESH										
Details										
Peference	100.00	Instruction Id	1000							
	100	filst uction id	Authorized Watedown							
	5.0.44	Status	Authonsed Withdrawai							
Withdraw Reason	For Cancellation									
Comments										
No Comments										
Selected Warrants										
Selected Warrants										
Warrant Id	Product	Print Confirmed	Premium Contract							
10497	100									
1000	-	¥								

If all warrants were marked as being successfully printed then the instruction will move on to the next status in the workflow:

If the withdrawal is for mobilisation then the status changes to Ready For Collection

If the withdrawal is for cancellation then the status changes to Completed

With	Withdrawal Instructions										
ACCEPT AUTHORISE DAILY VIEW: ON DOWNLOAD CONFIRM PRINT REPRINT COLLECT Records 200 🗸											
<ul> <li></li> </ul>	CONFIRMATION Instruction confirm printed successfully.										
	Reference	Instruction Id	Warrants	Status	Created	Completed					
	200,00,2	10000		Completed	TABLES OF BRIDE	Sector Sector					
	100.14.1	20000		Unauthorised RePrint	CONTROL 4-D						

If only some of the warrants in the selected instruction are confirmed as printed, the User will be redirected to Withdrawal List screen. The status of the warrants and instructions will not change and the User is able to repeat the process until all the warrants are confirmed as printed.

If one or more warrants did not print successfully and need to be reprinted, please refer to <u>Reprint</u> from a Withdrawal

## 29.6 Completing Withdrawals for Cancellation

To complete the warrant cancellation process, refer to the <u>Removing Warrants</u> section below.

## 29.7 Completing Withdrawals for Mobilisation

To complete the warrant mobilisation process, the warrants included on a Withdrawal Instruction in the Ready for Collection state will be released to a third party on presentation of the security code.

A key part of this process is the security code used to validate that the collecting delegate has sufficient access from the withdrawing member.

When a member or delegated third party arrive to collect the mobilised warrants, they will need to present a security code.

From the main menu, navigate to Withdrawal > Withdrawal Instructions screen and click the checkbox for the relevant instruction in Ready For Collection status.

With	Withdrawal Instructions											
ACCE	PT AUTHORISE	DAILY VIEW: OFF	DOWNLOAD	CONFIRM PRINT	REPRINT	COLLECT		Records 200 💌				
	Reference	Instruction Id	Warra	ints Status			Created	Completed				
~	101.01.0	3887		Ready	for Collectio	n	0002401-0.0					

Click the Collect button. This will navigate to the Withdrawal Instuction Collect screen. Enter the security code provided by the Member's delegate

SAVE BACK	
DETAILS WARRANTS (2) COMME	ITS (0)
Warrantld	factor and the second se
Reference	100,000 (JAC)
Enter Security Code *	

Click Save. If the security code is correct, the instruction will go to a Completed status and the warrant will become Mobilised.

With	Withdrawal Instructions										
ACCE	ACCEPT AUTHORISE DAILY VIEW: OFF DOWNLOAD CONFIRM PRINT REPRINT COLLECT Records 200 🔽										
~	CONFIRMATION Instruction collected successfully.										
	Reference Instruction Id Warrants Status Created Completed										
	100.004	2081	2	Completed	1010/02112.0	10002321-0-0					

If the code is incorrect then an error will display and you will be prompted to reenter the code.

# **30 Removing Warrants**

The Agent must mark the Warrant record in LMEsword as Removed via the Warrant Search screen.

Multiple warrants can be selected for removal irrespective of Product and Warehouse Company.

From the main menu, navigate to the Warrant > Search screen.

Using the relevant criteria, identify the warrants to be removed. Note that they must be in Authorised Cancelled state.

Wai	Warrants  Select All Results Total Warrants Selected 0													
DO	VNLOAD AUT	HORISE	CANCEL	AMEND	PRINT	REMOVE	RE-ISSUE	BATCH	FIND BY	REN	ENDORSE			
	Warrant No	Warrant Id	Status	Car Dat	icel e	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location
	0.000,0	100.00	Authoris Cancelle	sed ed	12		6	200	2000		-	il parlacente Te	1010324	100
	0.000,0	-	Authoris Cancelle	sed ed	121		1	100	200		-	ineren er	000100	10.00

Click the check boxes to select the warrants for removal and click Remove

Warrants ■ Select All Results Total Warrants Selected 2														
DOW	NLOAD AU	THORISE	CANCEL	AMEND	PRINT	REMOVE	RE-ISSUE	BATCH	FIND BY	RENT	ENDORSE			
	Warrant No	Warrant Id	Status	Can Dat	ncel e	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location
-	ione, a	1000	Authoris Cancell	sed ed	101			1948	300	0.000	0.00	Continue Co	104000	49.710
~	icens, re	100-00	Authoris Cancell	sed ed	100			1948	10.00	0.00	100	Testines N	0000	49.710

In the following 'Remove Warrant' screen, choose the appropriate reason from the dropdown box from either Product-Takeup or For Re-Issue. These steps cover the Product-Takeup process; the Re-Issue process can be found in <u>Re-Issuing Withdrawn Warrants</u> section below.

Remove Warrant       BACK       CLEAR       SAVE       REMOVE INVALID												
The followin	ng Warrants ha	ive been selected f	or removing. Select a Removal	I Reason and then clic	k on the Save b	utton.						
Remove R	eason Prod	uct-Takeup										
Warrant Id	Product Code	Warrant Number	Warehouse Company	Warehouse Location	Brand Status	Status	Premium	Premium Contract				
	-	= 1000, 10	Contract of the	1040		Authorised Cancelled						
200	AU	0008,0	Table in the second	Among		Authorised Cancelled						

Click Save. The removal will now need to be authorised by a different User with sufficient permissions.

Once authorised the warrants change to Authorised Removed status.

Warrants  Select All Results Total Warrants Selected 0													
DOV	VNLOAD AU	THORISE	CANCEL AN	IEND PRINT	REMOVE	RE-ISSUE	ватсн	FIND BY	RENT E	NDORSE			
<ul> <li></li> </ul>	CONFIRMATION Warrants authorised successfully.												
	Warrant No	Warrant Id	Status	Cancel Date	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location
	Warrant No	Warrant Id	Status Authorised Removed	Cancel Date	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location

# **31 Re-Issuing and Re-Lodging Warrants**

The process for Re-Lodging warrants is currently available but under review with the final operating model to be communicated to the London Agents in due course. In the interim, please reach out to Post Trade Operations should you have any immediate questions.

### 31.1 Re-Issuing Withdrawn Warrants

Once a warrant has been Withdrawn for Cancellation, the London Agent has the ability to Re-Issue a warrant against the underlying metal.

Before a Warrant can be Re-Issued, it must be Removed with the reason for removal set to For Relssue. See <u>Removing Warrants</u> section.

In line with existing functionality, multiple warrants can be selected for Re-Issue.

From the main menu, navigate to Warrant > Search.

Use the relevant search criteria to identify the warrants. Note that the warrant must be in Authorised Removed status with Remove Reason = ForReissue.

Click the checkbox to select the warrants.

Warrant Sea	rch Criteria (Filtered)				-					
Saved Include Searches LOAD DELETE Include Status : Authorised Removed										
Status	▼	INCLUDE								
Lookup	<b>v v</b>	INCLUDE	Exclude							
Range	•									
		INCLUDE EXCLUDE								
Maximum Nu	Imber of Records						SEARCH	N SAVE	REM	OVE CLEAR
Warrants	Select All Results Total Warrants Select	cted 1								
DOWNLOAD	AUTHORISE CANCEL AMEND PRINT	REMOVE RE-ISSUE BA	TCH FIND BY RENT END	ORSE				Records 200	~	Page < 1🗸 🔪
□ Warr No	ant Warrant Product Whse Cance Id Date	el Rent Start Is Date Lodg	Whse Co Remo red Name Date	ve Whse Co	Status Whse Name	Location	Brand	Old Warrant No	Print No	Remove Reason
2	a 100 a - 10 22	1	1000 H	(** ****	Authorised Removed	11				ForReissue

Click Re-Issue to start the re-issue process. This will navigate to the next screen.

Choose the relevant member from the drop down box to re-issue the warrant to, and add the new Warrant Number. Note that all other details are copied over from the original warrant onto the new warrant. The two warrants are also linked using Old Warrant Id.



Re-Issue Warrants											
SAVE CANCEL											
Member *											
Warrant Number	New Warrant Number	Warrant Id	Product Code	Warehouse Company	Location	Status					
1001.01	P000.000.00	08781	0.	Yorker Yesters Material A.	Theory	Authorised Removed					

Click Save once the details are entered.

If the validation is successful, a Confirmation banner is displayed, a new lodgement instruction is created and the Lodge Instructions screen shown.

Lodge Instructions													
AUTHORISE DOWNLOAD DELETE UPLOAD Records 200 V													
<ul> <li></li> </ul>	CONFIRMATION ReissueSuccessful												
	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed					
	102	2000	1	Unauthorised Create	Namely Deep	Adate	1408203-0040						

The instruction will be in the Unauthorised Create status and will follow the normal lodgement workflow. See <u>Authorise a Lodgement</u> for details. If the new lodgement is deleted then the new warrant is also deleted and the re-issue process can be restarted with the original warrant.
## **32 Ancillary Processes**

#### 32.1 Reprinting Warrants

Reprinting warrants will increment the print version number for each warrant, each time it is printed. There are two scenarios in which London Agents are able to reprint warrants:

#### **32.1.1** Reprint from a Withdrawal

In the event of a printer malfunction during the withdrawal process, a London Agent is able to manually reprint warrants as needed. This will allow an Agent to:

- Reprint individual Warrant from a particular Withdrawal Instruction
- Reprint several Warrants from a particular Withdrawal Instruction
- Reprint Warrants for a whole Withdrawal Instruction

If the printing was not successful during the <u>Confirming Warrant Printing</u> process and one or more warrants have not been print-confirmed then they can be reprinted through the withdrawal instruction screen.

This process will print any number of warrants that have not been print-confirmed.

Once all warrants have been print-confirmed that have successfully printed, navigate to the View Instruction – Withdrawal screen, it will show how many warrants have not been print-confirmed by the number of green ticks against the warrant list.

View Instruction - Withdrawal								
BACK REFRESH								
Details								
Reference	1942,00,7	Instruction Id	20007					
Participant Id	5964	Status	Authorised Withdrawal					
Withdraw Reason	For Cancellation							
Comments								
No Comments								
Selected Warrants								
Warrant Id	Product	Print Confi	rmed	Premium Contract				
338799	AA							
338798	AA							
20293	AA	×						

Click Back to navigate back to the Withdrawal Instructions screen.

Click the checkbox for the instruction containing the warrants to be reprinted and click Reprint.

Witho	Irawal Instruction	S		
ACCE	PT AUTHORISE DAI	LY VIEW: OFF DOWNLOAD	CONFIRM PRINT REP	RINT COLLECT
	Reference	Instruction Id	Warrants	Status

In the pop-up text box add the reason for the reprint and click Create.

Re-Print Reason	
Printer out of toner	~
	Â
	$\sim$
CREATE CANCEL	

This will create a reprint instruction that will need to be authorised by another User from the same organisation with sufficient permissions. This can be performed by selecting the instruction and clicking Authorise.

.....

	Witho ACCE	drawal Instruct	ions DAILY VIEW: OFF	OWNLOAD	CONFIRM PRINT	REPRINT	COLLECT	
>	<ul> <li>Image: A start of the start of</li></ul>	CONFIRMATION	Withdrawal Instruction	on RePrint cr	eated			
		Reference	Instructio	on Id	Warrants		Status	
	~	SHO, MUL	206887		3		Unauthorised	RePrint

Click Print Warrants at the prompt. The warrant print job will be sent to the printer for the remaining unconfirmed prints.

Prin	t Warrants	
	CONFIDMATION	The Warrant(s) are ready for printing. Click Print Warrants to launch the Print Warrant application
l V	CONFIRMATION	The warrands) are ready for prinning. Click I this warrants to radicit the Finit warrant application.

Once the warrants have printed at the printer, they can be confirmed on the withdrawal instruction per the previous <u>Confirming Warrant Printing</u> process.

#### 32.1.2 Print Replacement Warrants (Damaged or Lost)

A London Agent is able to reprint warrants that have been withdrawn for cancellation in the event that a warrant has been damaged or lost for example.

Validation will ensure that only warrants in Authorised Cancelled status that have Withdrawal Reason for Cancellation can be printed, i.e. Mobile warrants cannot be re-printed, and warrants on an active withdrawal instruction can only be reprinted via the Withdrawal Instruction screen as part of the confirm print process.

From the main menu, navigate to Warrant > Search, and using appropriate search criteria, locate the warrants to be reprinted. Note that the warrants must be in Authorised Cancelled status.



#### Click the checkbox for each warrant to be reprinted

	Warrant Search Criteria (Filtered)																
Save Searc	d ches					DAD DELE	TE Inclu Wa	de rrant Id : From 📃									
Statu	s						JDE										
Look	up		<b>v</b>				JDE Exclu	ude									
Rang	e				~												
					INC	LUDE	JDE										
Maxir	Maximum Number of Records SAVE REMOVE CLEAR																
War	rants 🗖 s	elect All Re	sults Tot	al Warra	nts Selected 2												
DOW	DOWNLOAD AUTHORISE CANCEL AMEND PRINT REMOVE RE-ISSUE BATCH FIND BY RENT ENDORSE Warrants 3 Records 200 🔽																
		_	ANCEL	MEND	PRINT REMO	VE RE-ISSUE	BATCH	FIND BY RENT EN	DORSE								ls 200 💌
	Warrant No	Warrant Id	Product	Whse	Cancel Date	Rent Start Date	Is Lodged	FIND BY RENT EN	Remove Date	Whse Co	Status	Whse Name	Location	Brand	Warrants 3 Old Warrant No	3 Record Print No	Remove Reason
<ul><li>▼</li></ul>	Warrant No	Warrant	Product	Whse	Cancel Date	RE-ISSUE Rent Start Date	Is Lodged	FIND BY RENT EN	Remove Date	Whse Co	Status Authorised Cancelled	Whse Name	Location	Brand	Warrants 3 Old Warrant No	Print No 2	Remove Reason

Click Print, enter a re-print reason in the pop-up box, and click Create

Re-Print Reason	
Warrants damaged	^
	*
	~
CREATE CANCEL	

The warrant status will change to Unauthorised Print and must be authorised by a second User from the same organisation by selecting the relevant warrants and then Authorise.

Click Print Warrants at the next prompt and the print job will be sent to the local printer. Since these warrants exist outside of the LME Depository, re-printing will increment the print version of the warrants irrespective of jurisdiction.

Print Warrants	
	The Warrant(s) are ready for printing. Click Print Warrants to launch the Print Warrant application.
Print Warrants	

#### 32.2 Amending Warrants

London Agents are able to amend certain insignificant fields on active warrants (dematerialised or immobilised). These fields include:

- Warehouse (within same location only)
- Certificate of Analysis
- Quantity
- Reference 1
- Reference 2
- Off Warrant.

Amending any of these fields will trigger a reprint in the Depository for immobilised warrants and the warrant Print Number will be incremented.

From the main menu, navigate to Warrant > Search and use relevant criteria to identify the warrant(s) to be amended.

Amend Warrants			
SAVE CANCEL			
002808,18	Warrant Number Product Premium Contract Warehouse Certificate of Analysis Quantity Reference 1	AA * IDM • • • • • • • • • • • • • • • • • • •	
	Reference 2		< > <
	Off Warrant		~
			$\sim$

Click the checkbox for the appropriate warrant and click Amend.

## Amend Warrants SAVE CANCEL 003304\_34 Warrant Number Denis de la filia Product AA Premium Contract ~ Warehouse 18.84 **Certificate of Analysis** COAL Quantity \* 5 Reference 1 A new reference in here 1 Reference 2 **Off Warrant** ~

#### In the resulting screen, edit the values as needed

Click Save. The warrant will move into Unauthorised Amended status and will navigate back to the Warrant Search screen.

The amendment will need to be authorised by another User from the same organisation with sufficient permissions. This can be done by selecting the warrant and clicking Authorise.

The warrant moves back into Authorised Printed Status.

Wai	Warrants Eselect All Results Total Warrants Selected 0												
DO	WNLOAD AUT	HORISE	CANCEL	AMEND	PRINT	REMOVE	E-ISSUE BA	TCH FIND BY	RENT E	NDORSE			
~	CONFIRMATION Warrants authorised successfully.												
	Warrant No	Warrant Id	Product	Whse	Cancel Date	Rent Start Date	t Is Lodged	Whse Co Name	Remove Date	Whse Co	Status	Whse Name	Location

#### 32.3 Reporting

There are numerous reports available to London Agents for all User types.

The reports can be found as follows:

When logged in as a London Agent, from the main menu navigate to Reports> Reports. This will open the Reports screen.

By selecting one of the report types from the left hand panel, this will display the required parameters to be input on the right hand panel such as business date(s), instruction id or participant id.

With the relevant parameters input, clicking View Report will display the report on screen.

This can printed or exported as needed using the designated icons.

Aluminium Alloy Brands

The available reports include:

1. **Brand List / Brand List – Excel** (Official LME list of the brands deliverable in fulfilment of its various contracts)

Aug. 2010.00

Official London Metal Exchange list of the brands deliverable in fulfilment of its Aluminium Alloy contract									
Country	Brand	Producer	Brand Suspended Date	Brand Delisted Date					
10.000	PORTAL PORTAGE	100 Aver folged termini Av at							
ALC: NOTE: NOTE: NOTE: NOTE: NOTE: NOT: NOT: NOT: NOT: NOT: NOT: NOT: NOT	Market - California April 44-1	1910 International Reported		The second s					
and pressed	TRACK TRACK	AND Design the second starting of							
17 Aug 1	1.000 1.000	the party states and a state							
11 Aug 1	100,000	PTV (Anteger Mathematic							
Colorada	test management	This line (periods) in factors (see							

2. Daily Activity Report / Daily Activity Report - Excel (List of all actions performed by Agent)

Concerns of

_										
Bus	usiness Day									
14	4 4 1 of 2 🕨 🕅 100% 🗸 Find   Next 😽 🗸 🊱									
	Warehouse Agent Daily Activity Report for									
Ра	rticipant Number :	100				Warehouse Company (	Code :			
Pa	rticipant Name :	May receive				Warehouse Company I	Name :	And Station 1, 18		
R	emoved									
	Warrant No.	Status	Location	Initiated	When	Authorised	When	Reference		
	4444.4	laiterent .	100	1004/04	Desire Contraction	ADD IN	Designed and			

LME Classification: Public

#### 3. Listed Warehouses / Listed Warehouses – Excel (List of all warehouses and their details)

🕅 🖣 1 of 17 🕨 🚺 100% 💙 🛛 Find   Next 🔍 🗸 🊱 🚔										
Listed Warehouses										
Country Code         Coation Desc         Location Code         Location Name         Warehouse Company Code         Warehouse Company Name         Warehouse Company Address         Warehouses/Compounds         Warehouse Address	Products Stored Delisted Date									
W Reprint Mill States, Balling Science-Line Science Sc	10-00-00-00-00-0									
H         Hat	1.111.011.011.011.011									
M Report Main Press, March (Strang Stranger) (Stranger)	****									

### 4. Stock Consolidation Report (Aggregate stock report by warehouse)

Report Date									
i∢ ∢ 1 of 148 ▶ ▶i 100% ✔ Find   Next 😽 ▼ 🚯									
LME Stock Consolidation Report Date Printed : Time at:									
ļ	Aluminium Alloy Ingots 226								
Country	Location	Warehouse Company	Opening Stock	Delivered In	Delivered Out	Open Tonnage	Cancelled Tonnage	Pending Tonnage	Total
Colores -	Permanan di Antonio di	Owner Walker Cite				1.1	1.1		
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-	holize a	Value of Standard Linkson's in				100			
The second s	-	Philippine to consider the barry (1) Pe	-						

5. **Warrant Life History – Detail Report** (Audit report of all actions performed by the organisation per warrant)

Warrant Id	1	10.000	ı	NULL Wa	arrant Numbe	er 🛛	✓ N	IULL	
Warehouse	Company Code			✓ NULL Lo	cation Code		✓ N	IULL	
<b>I</b> ∢ ∢ 1	of 1 ▷ ▷]	100%	~	Find Nex	dt 🛃 🕶	۵ ا			
				Wa	arrant Life	History - Detail Repor	t		3463344
Wa	rrant Number :	1000.0		Particip	ant ID :		Product	Shape :	-
Wa	rehouse Company :	The second	And the Distance of the	Account	t :		Valid Wa	arrant :	
Loc	ation :	1000		Current	Status :	Constant	Brand	: 1	
Wa	rehouse :			Product	Code :	designed integration	Warrant	ID :	a*-e-
Cou	untry :	(a) pice		Product	Spec :		Deposit	ory Status :	
	Date / Time		Action	Sta	atus	Additional Inform	nation	Participant ID	User Code
	STATES STATES	1.000	-	10ad	and a second			1.0	200.0%L
1	CONTRACTOR OF THE	1.00	8	1000	10.00				100.00
	00000.004		e		alard .				808704
-	WHERE N P.A.	. (Par		545	eller (			1.0	100 C 100
	HIGH DATE	1.1	(and	1.00	200 C				NO.NO.
	HOUSE DATE:	1.00	(and	1.00	alard .				800-04
	CONTRACTOR OF TAXABLE	- (ma	diama di seconda di se	in the second	la que la	7000 AC 20		19.4	800.0% L
	AND DESCRIPTION OF	1.00	And a second		a familia	Patter spinite		10.0	Reserve

6. Warrant Withdrawal Report (List of warrants and details per withdrawal instruction)

Instruction Id	1998		]			
1	of 1 🕨 🕅	100% ~		Find Next	B,• 📀	\$

#### Warrant Withdrawal Report

Warra	nt Withdraw Id:	200	Date Printed:			
Numb	er of Warrants to	Withdraw:				Time Printed:
	Product	Premium Contract	Warrant	Warehouse	Status Type	Reason
1	designed they		10000	Charlen of Th	provide a construction of the second se	The Transmission
1	and the second second		10000	memory of	ALC: NO.	11 LUC 80 C
	Appendicus Marc		100-00	Harlesse II	Autophone in the second	Performance -



7. Withdrawal Notification Report (List of warrants withdrawn per day and associated warehouse/location details)

Bu	usiness Day	-			0					
	4 1 of	f1 ▷ ▷ 100%	· • •	Find Next 🛃	• 📀 🖨					
				Withdrawal N	lotification Rep	ort	Date Printed :			
ļ	Stock as at :									
	Product : Warehouse Agent :									
	Product	Premium Contract	Warehouse Agent	Withdrawing Member	Warrant No.	Withdrawal Date	Warehouse Company	Location	Country	
			Table and description	Basely Trap	80	THE DESIGNATION.	Philippe Consults Residually (RCI)		-	
								Pa	ge 1 of 1	

# 33 Appendix

## 33.1 Contact details

Group Name	Contact Details
Post Trade Operations	posttradeoperations@Ime.com