



LMEsword Operating Procedures

February 2026 Version 1.4

Document History

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11-12-20	1.1	PTO	Minor updates to section 29.4.1
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10-02-26	1.4	SPMS	Due to the introduction of multi-factor authentication updates throughout the document

Associated Documents

Document	Location
LMEsword Technical Guide	Available on request from SPMS



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1 Administration

1.1 Procedure Administration

Business Owner: SPM Systems (spmsystems@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

SPM Systems 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 SPM Systems 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:

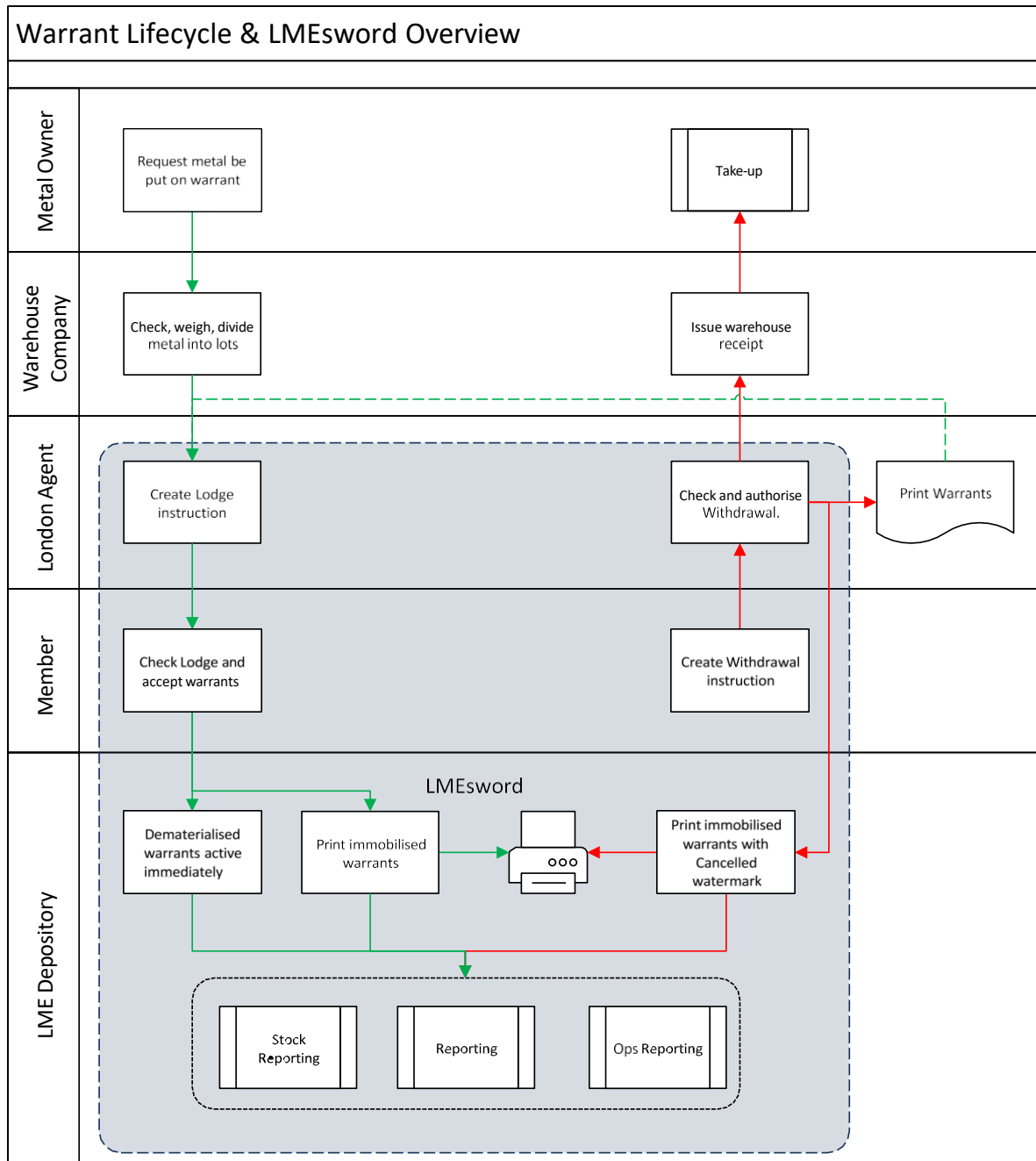
(a) dematerialised, meaning an electronic warehouse warrant issued by a Warehouse in accordance with the Warehouse Agreement and the LMEsword Regulations (“Warrants”); or

(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 SPM Systems (spmsystems@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

_____	_____	_____
Surname, 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 whatsoever to any person for any loss or damage arising from any act 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 organisation 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 access 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 ORGANISATION:	
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. This will need to be signed by a Compliance Officer or Security Officer and sent back to SPM Systems

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

Compliance 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

THE LONDON METAL EXCHANGE

LME.COM

10 Finsbury Square, London EC2A 1AJ | Tel +44 (0)20 7113 8888
Registered in England no 2129666. Registered office as above.



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 SPM Systems consider an action or activity within LMEsword to be suspicious, it will be reported to the Head of SPM Systems. 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 SPM Systems 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 Logging in using multi factor authentication “MFA” via one time password “OTP”

How to login to LMEsword using MFA/OTP:

Enter your previous login credentials

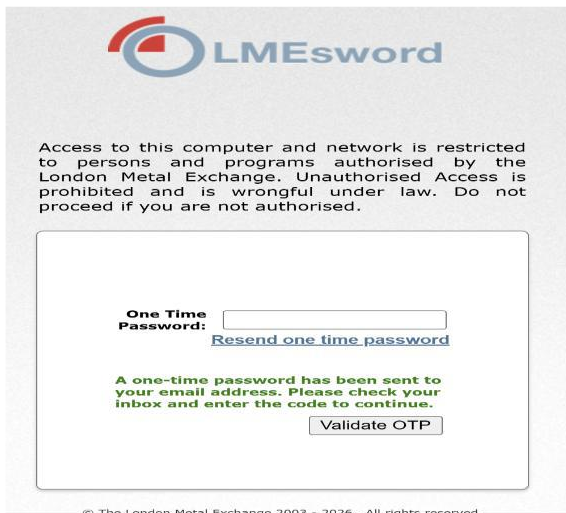
Access to this computer and network is restricted to persons and programs authorised by the London Metal Exchange. Unauthorised Access is prohibited and is wrongful under law. Do not proceed if you are not authorised.

User Name: LMEESCO1
Password:
[Reset Password](#)
Log In

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10 Finsbury Square, London EC2A 1AJ, UK

Once entered successfully, you will be faced with the below screen – in turn you will receive an email which will contain your OTP





Below is an example received containing a OTP

This code expires at 08 January 2026 18:47:02

Your LMEsword OTP: **219401**

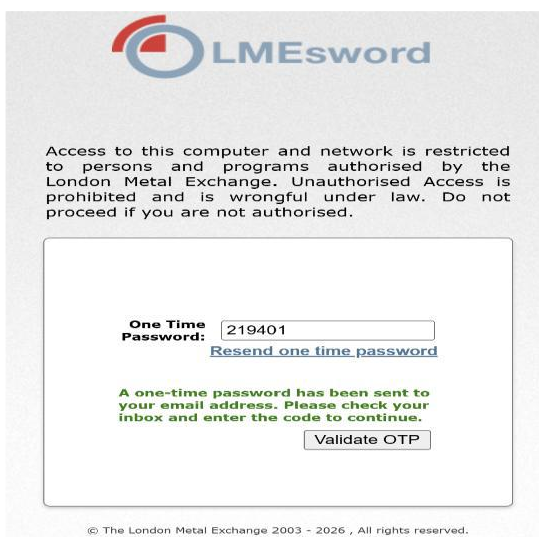
If you have received this email in error, or have any other questions, contact SPMSystems@lme.com.

Confidentiality Notice: The information in this email may be confidential and / or privileged.

This email is intended to be reviewed by only the individual or organisation named in the email address.

If you are not the intended recipient, you are hereby notified that any review, dissemination or copying of this email and attachments, if any, or the information contained herein, is strictly prohibited.

Add in the OTP

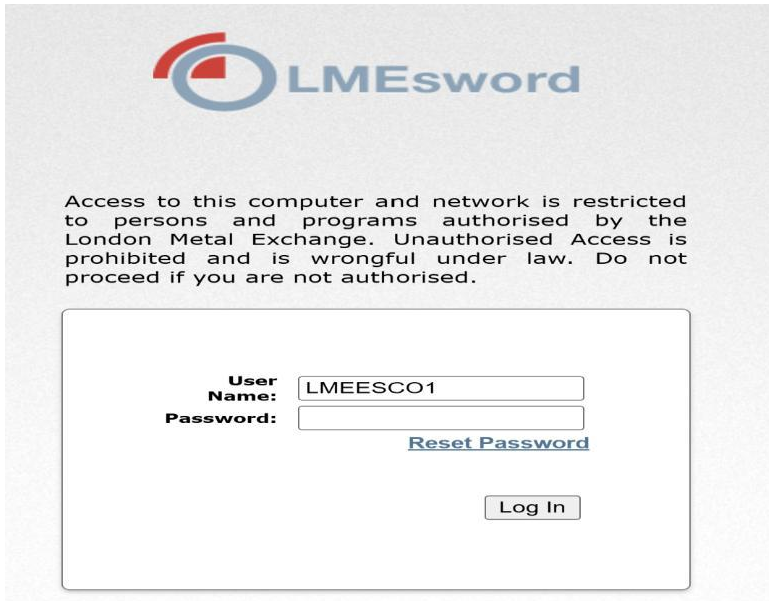


You will now be able to enter the LMEsword system



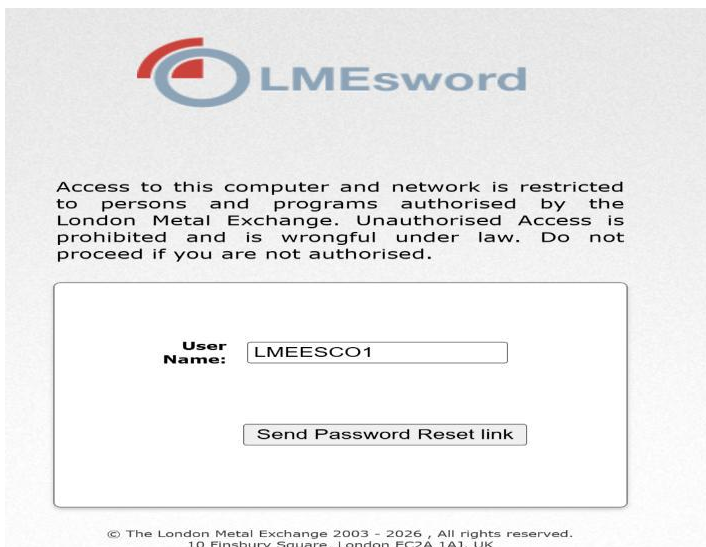
5.2 Self-service password reset

Enter username and select 'Reset Password'



The screenshot shows the LMEsword login interface. At the top is the LMEsword logo. Below it is a warning message: "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." The login form contains two input fields: "User Name:" with the value "LMEESCO1" and "Password:" which is empty. Below the password field is a blue link labeled "Reset Password" and a "Log In" button.

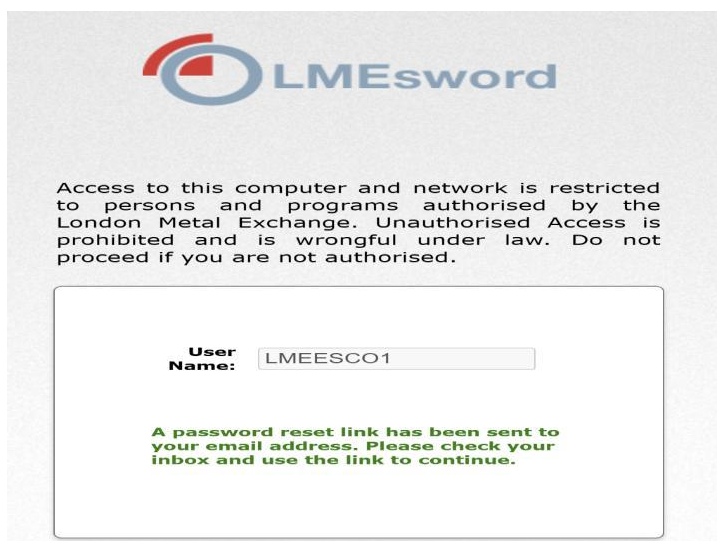
You will be faced with the below – select 'Send Password Reset Link'



This screenshot shows the LMEsword login page after the user has selected the "Reset Password" link. The "User Name:" field now contains "LMEESCO1". The "Password:" field is no longer visible. A button labeled "Send Password Reset link" is now present below the user name field. At the bottom of the page, there is a copyright notice: "© The London Metal Exchange 2003 - 2026 , All rights reserved. 10 Finsbury Square, London EC2A 1AJ, UK".

The message below will appear signaling that you will receive an email to reset your password





You will receive the below email – select the hyperlink, this will take you to the page where you are able to set your new password

You have requested to reset your password for LMEsword. Please use the below link to reset your password.

<https://eur01.safelinks.protection.outlook.com/?url=https%3A%2F%2Flmesword-2019.ftb.lmeft.co.uk%2Fadmin%2Fuserpasswordreset.aspx%3FKey1%3DLMEESCO1%26Key2%3D699242&data=05%7C02%7Celizabeth.smith%40lme.com%7Ce4df153689c94738ccd808de5060cea5%7C5ed5099ae29540d593602302959f84b0%7C1%7C0%7C639036573907533056%7CUnknown%7CTWFpbGZsb3d8eyJFbXB0eU1hcGkiOnRydWUsIlYiOiIwLjAuMDAwMCIsIlAiOiJXaW4zMtIiIsIkFOljoIjoiTWVpbCIsIldUljoyfQ%3D%3D%7C0%7C%7C%7C&sdata=NrZCMcT%2BAX3JxlDOHnlkqLVBcWE76lpEIMMcarb0jhg%3D&reserved=0>

If you have received this email in error, or have any other questions, contact SPMSystems@lme.com.

Confidentiality Notice: The information in this email may be confidential and / or privileged. This email is intended to be reviewed by only the individual or organisation named in the email address.

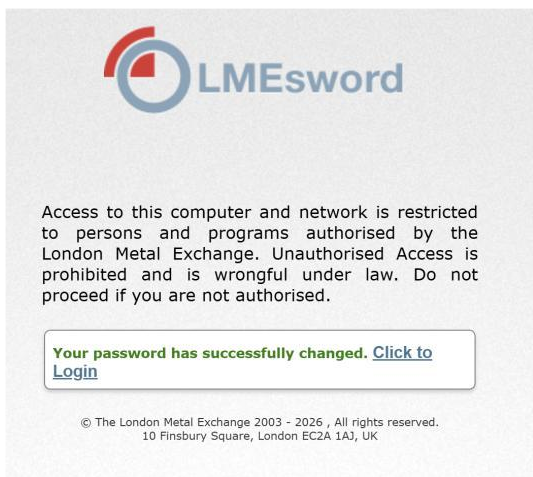
If you are not the intended recipient, you are hereby notified that any review, dissemination or copying of this email and attachments, if any, or the information contained herein, is strictly prohibited.

Once you follow the link enter your new password and select ‘save’





LMEsword will confirm that you have changed your password successfully – select ‘click to login’



You will now be taken to the login page – enter your username and password and proceed with the new process of MFA to complete your login



5.3 Change Password

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



Enter current (old) password;

A screenshot of the 'Change Password' form. The form has a blue header with the title 'Change Password' and three buttons: 'SAVE', 'CLEAR', and 'CANCEL'. Below the header, there are three input fields: 'Old Password', 'Password', and 'Confirm Password'. All three fields are currently empty.

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

A screenshot of the 'Change Password' form, identical to the previous one. It shows the 'Change Password' header, 'SAVE', 'CLEAR', and 'CANCEL' buttons, and three empty input fields for 'Old Password', 'Password', and 'Confirm Password'.

Confirm new password and click on the save button;

A screenshot of the 'Change Password' form. The input fields for 'Old Password', 'Password', and 'Confirm Password' are now filled with a series of asterisks (*****), indicating that the text is masked. The 'SAVE', 'CLEAR', and 'CANCEL' buttons remain visible.

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



5.4 Password Expiry

A User defined LMEsword password will last 90 days.

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

5.5 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;



Change Password

SAVE CLEAR CANCEL

Your password has expired. Please enter a new password and select Save.

Old Password

Password

Confirm Password

Enter old password;

Enter new password, and confirm new password;

Confirmation will be displayed.

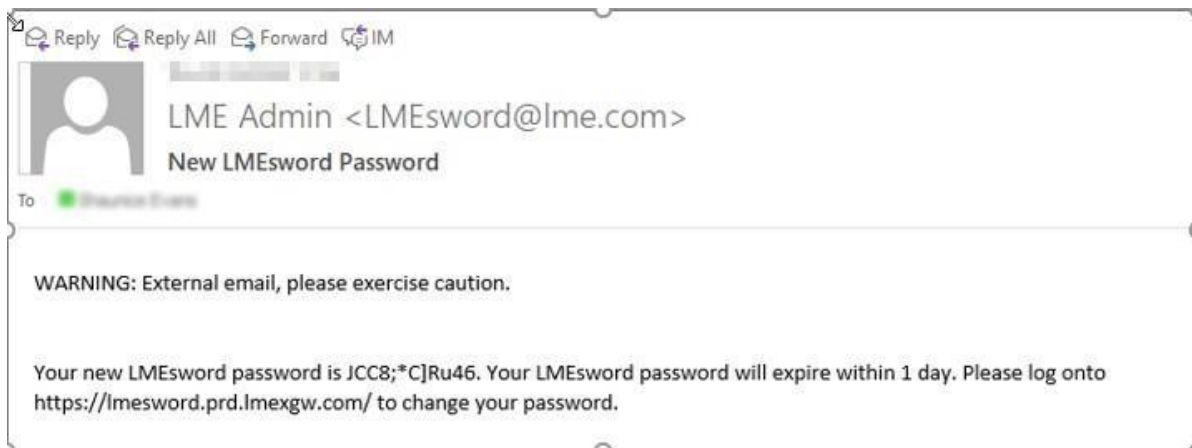


5.6 Resetting your Password

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 or the LME 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.

5.7 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

5.8 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.

Subject	Read	Processed	From	Date Time Sent	Category	Priority
Rent Endorsement: [redacted] Completed			[redacted]	[redacted]	Message Type 1	High
Rent Endorsement: [redacted] Completed			[redacted]	[redacted]	Message Type 1	High
Rent Endorsement: [redacted] Completed	✓		[redacted]	[redacted]	Message Type 1	High
Ex-cleared Transfer Instruction [redacted] Authorised			[redacted]	[redacted]	Message Type 1	High

5.9 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: [redacted]

Date Sent: [redacted]

Subject: Ex-cleared Transfer Instruction 112476 : (DBL_0M_112476_EXC) Deleted

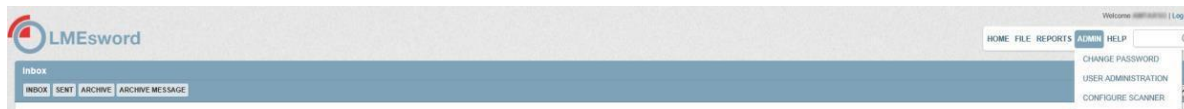
Folder: Inbox

Body: Ex-cleared Transfer Instruction 112476 : (DBL_0M_112476_EXC) Deleted
[Go to Instruction list](#)



6 Administration

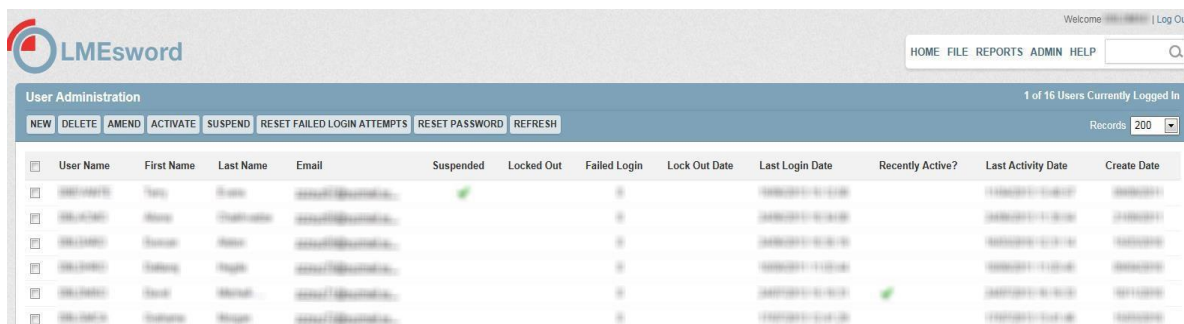
This section in the Operating Procedure guide illustrates how an approved Security Officer would manage LMEsword on behalf of their organisation and the Users from that organisation.



6.3 View all Users in the system

Select Admin > User Administration;

View all LMEsword Users from your organisation.



6.4 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.

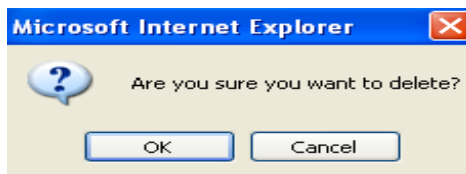
If you receive an error, “User already exists”, ensure email address is unique from other active Users, otherwise change the User ID as this may have been previously used and deleted.

6.5 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;



Once deleted you will see the following message.



6.6 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.



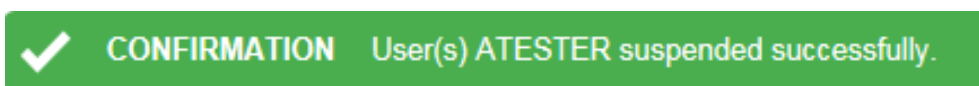
6.7 Activate or Suspend a User Account(s)

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 SPM Systems 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;



Alternative step – select User, select <Amend>, select Activate 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.

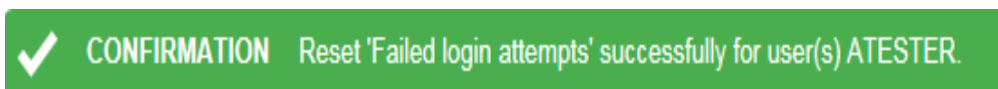
User Name	First Name	Last Name	Email	Suspended	Locked Out	Failed Login	Lock Out Date	Last Login Date	Recently Active?	Last Activity Date	Create Date
ATESTER	John	Smith	john.smith@lme.gov.uk	✓		0					
ATESTER	John	Smith	john.smith@lme.gov.uk	✓		0					

6.8 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'.



6.9 Reset a User Account Password

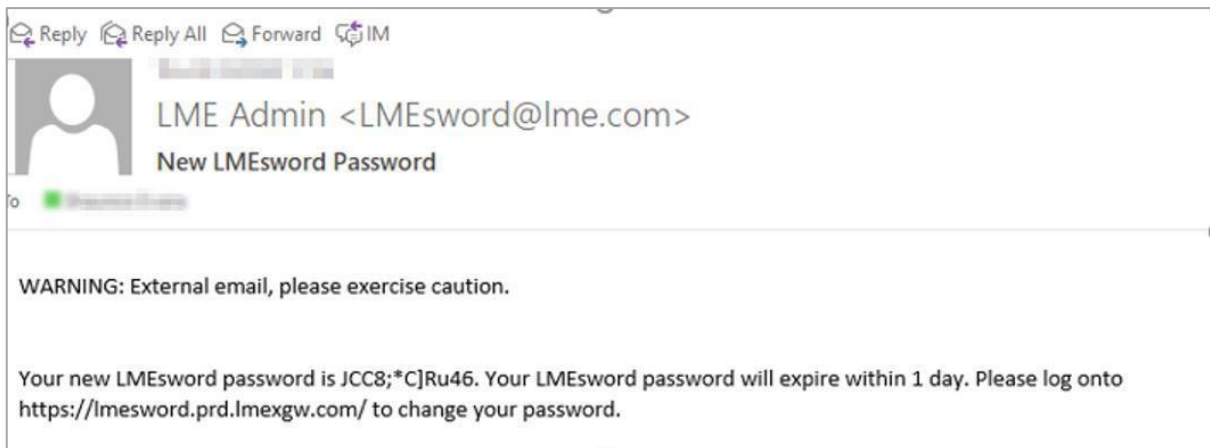
Select a User that requires a reset via the corresponding check box on the User summary page;

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

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



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



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

6.10 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).

6.11 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

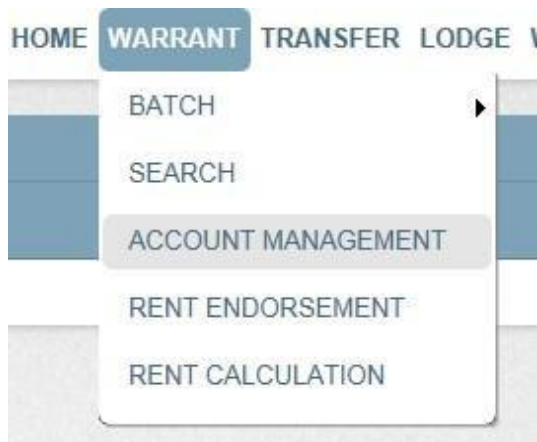
6.12 Participant Types

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

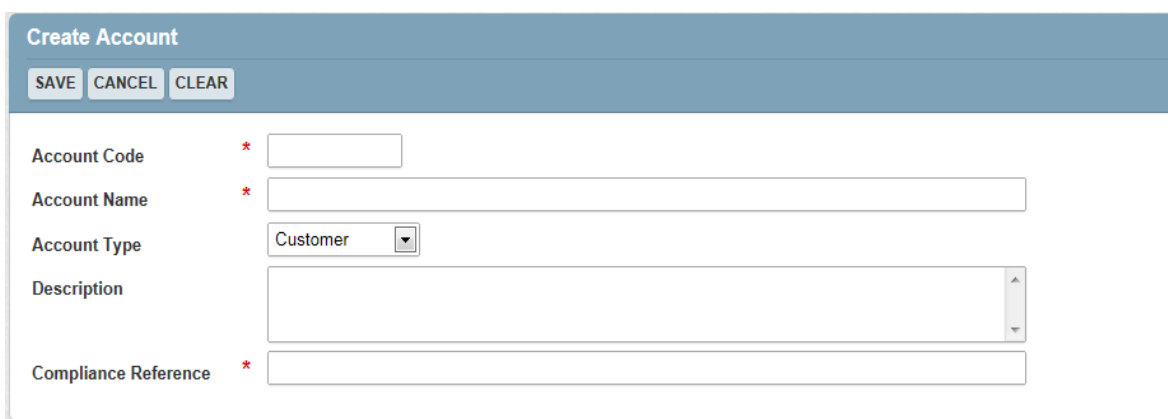
7 Account Management

From the main menu, select Warrant followed by Account Management



7.3 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.



The screenshot shows a 'Create Account' form with the following fields:

- Account Code: Text input field with a red asterisk indicating it is mandatory.
- Account Name: Text input field with a red asterisk indicating it is mandatory.
- Account Type: Dropdown menu with 'Customer' selected.
- Description: Text area for optional information.
- Compliance Reference: Text input field with a red asterisk indicating it is mandatory.

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.

7.4 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

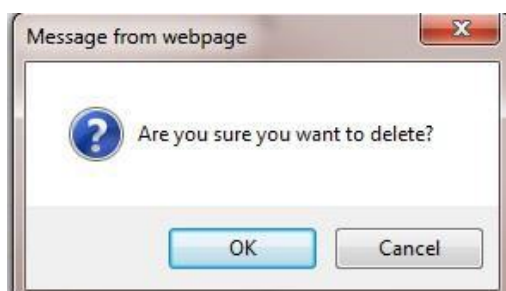
An account cannot be deleted;

- 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;

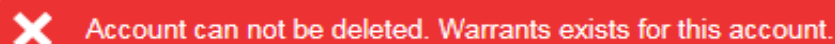
Once deleted you will see the following message;





✓ 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;



✗ Account can not be deleted. Warrants exists for this account.

“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.

7.5 Account – Amend Account Details

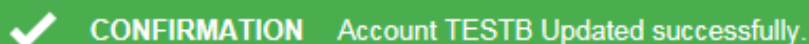
Go to warrant > Account Management – summary list of all accounts within the organisation will be displayed;

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;

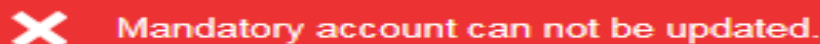
Make necessary changes to the account, select the Save button;

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;



✗ Mandatory account can not be updated.

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).



7.6 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.

Account Management				
<input type="button" value="NEW"/> <input type="button" value="AMEND"/> <input type="button" value="DELETE"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="REFRESH"/> <input type="button" value="INTER-ACC."/> <input type="button" value="EXCLEAR"/> <input type="button" value="CLEARED"/> <input type="button" value="WITHDRAW"/> <input type="button" value="RENT ENDORSE"/>				
<input type="checkbox"/>	Account Code	No. of Warrants	Account Name	Account Type
<input type="checkbox"/>	CustomerCollection	0	CH Customer Collection Account	C
<input type="checkbox"/>	HouseCollection	0	CH House Collection Account	H

7.7 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.

7.8 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 Endorsements

Rent Target Date: * Use this value (dd/mm/yyyy)

Do not set a value

CREATE
CANCEL

Rent Endorsement List										
NEW AMEND DELETE AUTHORISE DOWNLOAD REPORT										Records 200
✓ CONFIRMATION Instruction(s) Created Successfully										
Reference	Id	Status	Warrants	Rent Due (\$)	Created User	WH Agent	WH Company	Rent Expiry	Created	Completed
<input type="checkbox"/>	12345678901234567890	Completed Trade	123	12345678.00	12345678	12345678	12345678901234567890	12345678	12345678	12345678
<input type="checkbox"/>	12345678901234567890	Completed Trade	123	12345678.00	12345678	12345678	12345678901234567890	12345678	12345678	12345678

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;



Account Management

NEW AMEND DELETE DOWNLOAD REFRESH **INTER-ACC** EXCLEAR CLEARED WITHDRAW RENT ENDORSE

Records 200

<input type="checkbox"/>	Account Code	No. of Warrants	Account Name	Account Type	Description	Compliance Ref
<input type="checkbox"/>	WARR01	0	WARR01	0		10000
<input type="checkbox"/>	WARR02	0	WARR02	0		10010
<input type="checkbox"/>	WARR03	233	WARR03 (WARR03) (WARR03)	0		10020
<input type="checkbox"/>	WARR04	0	WARR04 (WARR04) (WARR04)	0		10030
<input checked="" type="checkbox"/>	WARR05	100	WARR05	0	Training's Fund	10040
<input type="checkbox"/>	WARR06	0	WARR06	0		10050
<input type="checkbox"/>	WARR07	0	WARR07	0		10060
<input type="checkbox"/>	WARR08	0	WARR08	0		10070
<input type="checkbox"/>	WARR09	0	WARR09	0		10080
<input type="checkbox"/>	WARR10	0	WARR10	0		10090
<input type="checkbox"/>	WARR11	0	WARR11	0		10100
<input type="checkbox"/>	WARR12	0	WARR12	0		10110
<input type="checkbox"/>	WARR13	0	WARR13	0		10120
<input type="checkbox"/>	WARR14	0	WARR14	0		10130
<input type="checkbox"/>	WARR15	0	WARR15	0		10140
<input type="checkbox"/>	WARR16	0	WARR16	0		10150
<input type="checkbox"/>	WARR17	0	WARR17	0		10160
<input type="checkbox"/>	WARR18	0	WARR18	0		10170
<input type="checkbox"/>	WARR19	0	WARR19	0		10180
<input type="checkbox"/>	WARR20	0	WARR20	0		10190
<input type="checkbox"/>	WARR21	0	WARR21	0		10200
<input type="checkbox"/>	WARR22	0	WARR22	0		10210
<input type="checkbox"/>	WARR23	0	WARR23	0		10220
<input type="checkbox"/>	WARR24	0	WARR24	0		10230
<input type="checkbox"/>	WARR25	0	WARR25	0		10240
<input type="checkbox"/>	WARR26	0	WARR26	0		10250
<input type="checkbox"/>	WARR27	0	WARR27	0		10260
<input type="checkbox"/>	WARR28	0	WARR28	0		10270
<input type="checkbox"/>	WARR29	0	WARR29	0		10280
<input type="checkbox"/>	WARR30	0	WARR30	0		10290
<input type="checkbox"/>	WARR31	0	WARR31	0		10300
<input type="checkbox"/>	WARR32	0	WARR32	0		10310
<input type="checkbox"/>	WARR33	0	WARR33	0		10320
<input type="checkbox"/>	WARR34	0	WARR34	0		10330
<input type="checkbox"/>	WARR35	0	WARR35	0		10340
<input type="checkbox"/>	WARR36	0	WARR36	0		10350
<input type="checkbox"/>	WARR37	0	WARR37	0		10360
<input type="checkbox"/>	WARR38	0	WARR38	0		10370
<input type="checkbox"/>	WARR39	0	WARR39	0		10380
<input type="checkbox"/>	WARR40	0	WARR40	0		10390
<input type="checkbox"/>	WARR41	0	WARR41	0		10400
<input type="checkbox"/>	WARR42	0	WARR42	0		10410
<input type="checkbox"/>	WARR43	0	WARR43	0		10420
<input type="checkbox"/>	WARR44	0	WARR44	0		10430
<input type="checkbox"/>	WARR45	0	WARR45	0		10440
<input type="checkbox"/>	WARR46	0	WARR46	0		10450
<input type="checkbox"/>	WARR47	0	WARR47	0		10460
<input type="checkbox"/>	WARR48	0	WARR48	0		10470
<input type="checkbox"/>	WARR49	0	WARR49	0		10480
<input type="checkbox"/>	WARR50	0	WARR50	0		10490

A pop up will appear;

Create Inter-Account Instruction

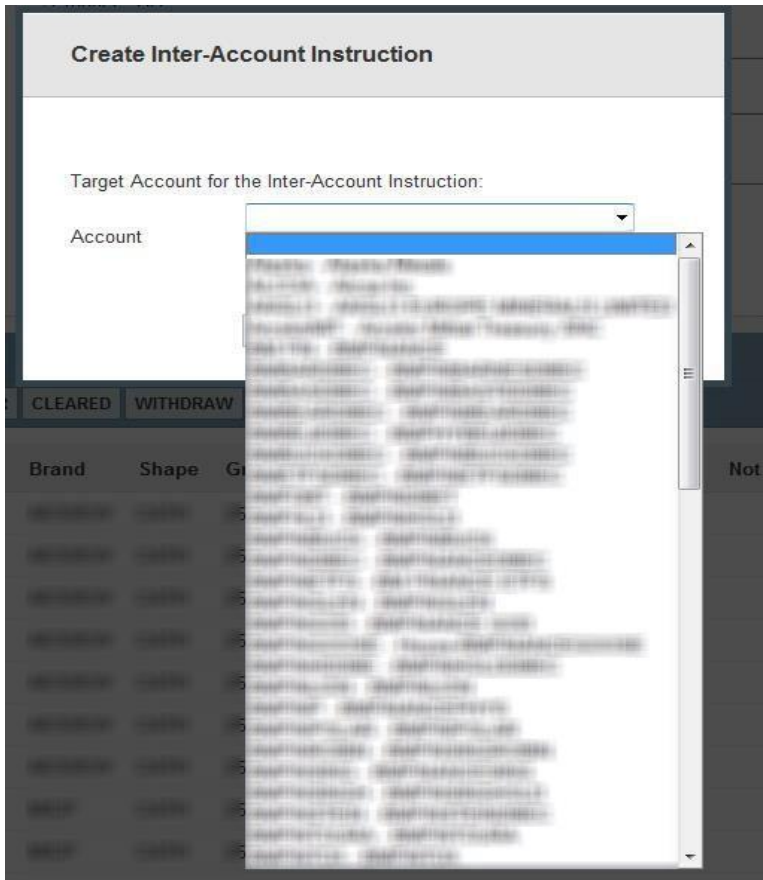
Target Account for the Inter-Account Instruction:

Account

*



Select Target Account from drop down list;



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-account Transfer Instructions

NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD Records 200

CONFIRMATION Instruction(s) Created Successfully

Reference	Instruction Id	Warrants	Status	Target Account	Created	Released
001_00000001	10000	0	Unauthorised Trade	0000000000	00000000-0000	

7.11 Ex-Cleared Transfer

Navigate to Account

Management; Select an

Account;

Select Exclear;

Account Management

NEW AMEND DELETE DOWNLOAD REFRESH INTER-ACC. EXCLEAR CLEARED WITHDRAW RENT ENDORSE Records 200

Account Code	No. of Warrants	Account Name	Account Type	Description	Compliance Ref
00000	0	0000000000	00		00000
00001	0	0000000000	00		00001
00002	000	0000000000	00		00002
00003	0	0000000000	00		00003
00004	000	0000000000	00		00004
00005	000	0000000000	00		00005
00006	0	0000000000	00		00006
00007	0	0000000000	00		00007
00008	0	0000000000	00		00008
00009	0	0000000000	00		00009
00010	0	0000000000	00		00010
00011	0	0000000000	00		00011
00012	0	0000000000	00		00012
00013	0	0000000000	00		00013
00014	0	0000000000	00		00014
00015	0	0000000000	00		00015
00016	0	0000000000	00		00016
00017	0	0000000000	00		00017
00018	0	0000000000	00		00018
00019	0	0000000000	00		00019
00020	0	0000000000	00		00020



A pop up will appear;

Create Ex-Cleared Instruction

Enter / Select the following for the Ex-Cleared Instruction:

Taker *

Security Reference

Manual Release

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;

Create Ex-Cleared Transfer

All 4 Warrants have failed to validate. Select Export to view the failed Warrants.



You will now be directed to the instruction page.

Searching and Sorting +

Ex-cleared Transfer Instructions

NEW AMEND DELETE AUTHORISE DOWNLOAD ACCEPT REJECT UNDO RELEASE UPLOAD Records 200

CONFIRMATION Instruction(s) Created Successfully

Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On
000_000_00000_000	12345	0	Example Bank Ltd	Example Bank Trading Ltd	Completed Trade	2024-01-01 10:00	John Doe	
000	12345	0	Example Bank Ltd	Example Bank Trading Limited	Completed Trade	2024-01-01 10:00		

7.12 Cleared Transfer

Navigate to Account

Management; Select an

account;

Select Cleared;

Account Management

NEW AMEND DELETE DOWNLOAD REFRESH INTER-ACC. EXCLEAR **CLEARED** WITHDRAW RENT ENDORSE Records 200

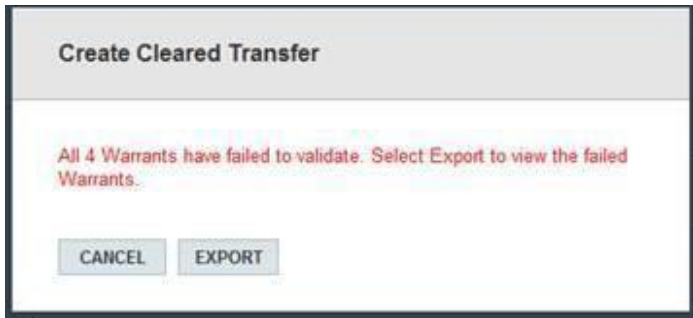
Account Code	No. of Warrants	Account Name	Account Type	Description	Compliance Ref
00000	0	Example Bank	C		00000
00001	0	Example Bank	C		00001
00002	123	Example Bank (Example Bank)	C		00002
00003	0	Example Bank (Example Bank)	C		00003
00004	0	Example Bank (Example Bank)	C		00004
00005	0	Example Bank (Example Bank)	C		00005
00006	0	Example Bank (Example Bank)	C		00006
00007	0	Example Bank (Example Bank)	C		00007
00008	0	Example Bank (Example Bank)	C		00008
00009	0	Example Bank (Example Bank)	C		00009
00010	0	Example Bank (Example Bank)	C		00010
00011	0	Example Bank (Example Bank)	C		00011
00012	0	Example Bank (Example Bank)	C		00012
00013	0	Example Bank (Example Bank)	C		00013
00014	0	Example Bank (Example Bank)	C		00014
00015	0	Example Bank (Example Bank)	C		00015
00016	0	Example Bank (Example Bank)	C		00016
00017	0	Example Bank (Example Bank)	C		00017
00018	0	Example Bank (Example Bank)	C		00018
00019	0	Example Bank (Example Bank)	C		00019
00020	0	Example Bank (Example Bank)	C		00020
00021	0	Example Bank (Example Bank)	C		00021
00022	0	Example Bank (Example Bank)	C		00022
00023	0	Example Bank (Example Bank)	C		00023
00024	0	Example Bank (Example Bank)	C		00024
00025	0	Example Bank (Example Bank)	C		00025
00026	0	Example Bank (Example Bank)	C		00026
00027	0	Example Bank (Example Bank)	C		00027
00028	0	Example Bank (Example Bank)	C		00028
00029	0	Example Bank (Example Bank)	C		00029
00030	0	Example Bank (Example Bank)	C		00030
00031	0	Example Bank (Example Bank)	C		00031
00032	0	Example Bank (Example Bank)	C		00032
00033	0	Example Bank (Example Bank)	C		00033
00034	0	Example Bank (Example Bank)	C		00034
00035	0	Example Bank (Example Bank)	C		00035
00036	0	Example Bank (Example Bank)	C		00036
00037	0	Example Bank (Example Bank)	C		00037
00038	0	Example Bank (Example Bank)	C		00038
00039	0	Example Bank (Example Bank)	C		00039
00040	0	Example Bank (Example Bank)	C		00040
00041	0	Example Bank (Example Bank)	C		00041
00042	0	Example Bank (Example Bank)	C		00042
00043	0	Example Bank (Example Bank)	C		00043
00044	0	Example Bank (Example Bank)	C		00044
00045	0	Example Bank (Example Bank)	C		00045
00046	0	Example Bank (Example Bank)	C		00046
00047	0	Example Bank (Example Bank)	C		00047
00048	0	Example Bank (Example Bank)	C		00048
00049	0	Example Bank (Example Bank)	C		00049
00050	0	Example Bank (Example Bank)	C		00050



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



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

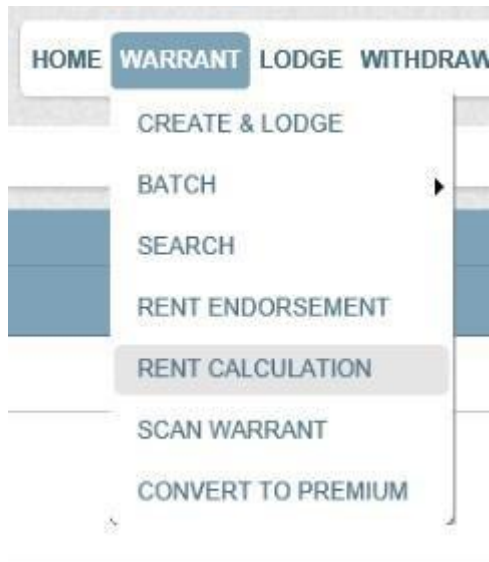
You will now be directed to the instruction page.

Cleared Transfer Instructions											
NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD											Records 200
✔ CONFIRMATION Instruction(s) Created Successfully											
<input type="checkbox"/>	Reference	Id	Status	Warrants	Prompt	Contract	Acc.	Giver	Taker	Created	Completed
<input type="checkbox"/>	2012000216L_010	1200	Unauthorised Trade	0	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12716	Unauthorised Trade	1	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12715	Unauthorised Trade	10	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12714	Unauthorised Trade	100	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12713	Unauthorised Trade	100	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12712	Unauthorised Trade	10	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12711	Unauthorised Trade	20	0000001	00	0	JTF Wagon Serv	L201 Cleared Sp	00000011 0:00	
<input type="checkbox"/>	2012000216L_010	12001	Released	20	0000001	00	0	L201 Cleared Sp	JTF Wagon Serv	00000011 0:00	00000011 0:00



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.



Warrant Menu view dependent on your defined system access.

8.3 Creating Warrants & Lodgement

Warrants are created as part of the Lodgement process in a single workflow, rather than a two-stage 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.



8.4 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.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
<input type="checkbox"/>	██████	205939	10	Authorised Create	Police International Ltd	██████████	██████████	██████████
<input type="checkbox"/>	██████	205931	50	Completed	Police International Ltd	██████████	██████████	██████████

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 Security Check

SAVE CANCEL NEXT

DETAILS

Instruction Id: ██████

Reference: ██████

Enter Security Code *

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.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
<input type="checkbox"/>	205931	205931	50	Completed	Police International Ltd	205931	2023-01-01	2023-01-01
<input checked="" type="checkbox"/>	205939	205939	10	Security Code Checked	Police International Ltd	205939	2023-01-01	2023-01-01

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

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 governance. 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.



View Lodge Instruction

SAVE CANCEL

DETAILS

WARRANTS (10)

COMMENTS (1)

Reference *

Account * ▼

[Show Comments](#)

Lodge Instructions

ACCEPT REJECT AUTHORISE DOWNLOAD
Records 200 ▼

✓ CONFIRMATION Lodge Instruction successfully processed.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
<input type="checkbox"/>	205931	205931	50	Completed	Hobart International Ltd	HSH 21000	2023-08-01 10:00	2023-08-01 10:00
<input type="checkbox"/>	205939	205939	10	Unauthorised Accepted	Hobart International Ltd	HSH 21000	2023-08-01 10:00	

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 SPM Systems 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.



8.5 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.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
<input type="checkbox"/>	[REDACTED]	[REDACTED]	5	Unauthorised Accepted	Polley International Ltd	[REDACTED]	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	[REDACTED]	10	Completed	Polley International Ltd	[REDACTED]	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	[REDACTED]	50	Completed	Polley International Ltd	[REDACTED]	[REDACTED]	[REDACTED]

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

Details

Reference	[REDACTED]	Instruction Id	205946
Account	[REDACTED]	Account Name	[REDACTED]
Participant Id	[REDACTED]	Status	Unauthorised Accepted

Comments
No Comments

Selected Warrants

Warrant No.	Warrant Id	Print Confirmed	Is Dematerialised	Premium Contract
[REDACTED]	[REDACTED]		✓	
[REDACTED]	[REDACTED]		✓	
[REDACTED]	[REDACTED]		✓	
[REDACTED]	[REDACTED]		✓	
[REDACTED]	[REDACTED]		✓	

Request Audit

Participant	Username	From State	To State	Date & Time
[REDACTED]			Unauthorised Create	[REDACTED]
[REDACTED]		Unauthorised Create	Authorised Create	[REDACTED]
[REDACTED]	[REDACTED]	Authorised Create	Security Code Checked	[REDACTED]
[REDACTED]	[REDACTED]	Security Code Checked	Unauthorised Accepted	[REDACTED]

Check that all details are correct. The warrant details can be viewed per the process described in steps 4/5/6 in the [Accept and Authorise a Lodgement](#) 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

Lodge Instructions

Records 200 ▼

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
<input checked="" type="checkbox"/>	[REDACTED]	205946	5	Unauthorised Accepted	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205939	10	Completed	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205931	50	Completed	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]



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

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

Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
[REDACTED]	205946	5	Completed	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	205939	10	Completed	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	205931	50	Completed	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

8.6 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.



HOME WARRANT TRANSFER LODGE WITHDRAWAL FILE REPORTS ADMIN HELP

3 unread messages (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 3 Lodge, 0 Withdrawal, 0 Rent Endorsement, 0 Premium)

Searching and Sorting

Lodge Instructions

ACCEPT REJECT AUTHORISE DOWNLOAD Records 200

Reference	Instruction Id	Warrants	Status	Agent	Account	Created	Completed
[Redacted]	205946	5	Completed	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	205939	10	Completed	[Redacted]	[Redacted]	[Redacted]	[Redacted]
[Redacted]	205931	50	Completed	[Redacted]	[Redacted]	[Redacted]	[Redacted]

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

HOME WARRANT TRANSFER LODGE WITHDRAWAL FILE REPORTS ADMIN HELP

3 unread messages (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 3 Lodge, 0 Withdrawal, 0 Rent Endorsement, 0 Premium)

View Instruction - Lodge

BACK REFRESH

Details

Reference	[Redacted]	Instruction Id	205946
Account	[Redacted]	Account Name	[Redacted]
Participant Id	[Redacted]	Status	Completed

Comments

No Comments

Selected Warrants

Warrant No.	Warrant Id	Print Confirmed	Is Dematerialised	Premium Contract
[Redacted]	[Redacted]	✓	✓	
[Redacted]	[Redacted]	✓	✓	
[Redacted]	[Redacted]	✓	✓	
[Redacted]	[Redacted]	✓	✓	
[Redacted]	[Redacted]	✓	✓	

Request Audit

Participant	Username	From State	To State	Date & Time
[Redacted]	[Redacted]		Unauthorised Create	[Redacted]
[Redacted]	[Redacted]	Unauthorised Create	Authorised Create	[Redacted]
[Redacted]	[Redacted]	Authorised Create	Security Code Checked	[Redacted]
[Redacted]	[Redacted]	Security Code Checked	Unauthorised Accepted	[Redacted]
[Redacted]	[Redacted]	Unauthorised Accepted	Completed	[Redacted]



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).

8.7 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.
- b) 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.

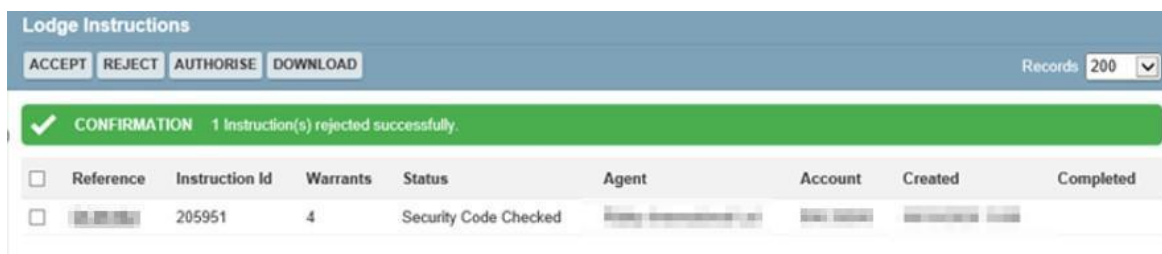
8.7.1 Rejecting an instruction in Unauthorised Accepted

From the main menu select Lodge > Lodge Instructions.

Click the checkbox for the relevant instruction and click Authorise.



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



8.8 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.



8.9 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

Status: INCLUDE EXCLUDE

Lookup: INCLUDE EXCLUDE

Range: INCLUDE EXCLUDE

Maximum Number of Records:

Include: Product : ZS
Brand : IBIS SHG

Exclude:

SEARCH SAVE REMOVE CLEAR

Warrants Select All Results Total Warrants Selected 0

DOWNLOAD PRINT BATCH FIND BY COLLATERALISE UNCOLL. INTER-ACC. EXCLEAR CLEARED

WITHDRAW RENT ENDORSE PREMIUM Warrants 5 Records 200

<input type="checkbox"/>	Warrant No	Warrant Id	Product	Whse
<input type="checkbox"/>	2357141	2357141	ZS	
<input type="checkbox"/>	2357140	2357140	ZS	
<input type="checkbox"/>	2357139	2357139	ZS	
<input type="checkbox"/>	2357138	2357138	ZS	
<input type="checkbox"/>	2357137	2357137	ZS	

Select the warrants to be withdrawn by clicking the checkboxes.

Warrants Select All Results Total Warrants Selected 3

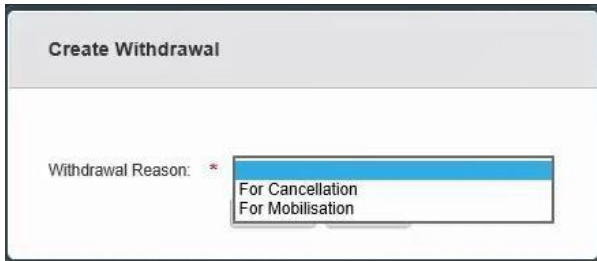
DOWNLOAD PRINT BATCH FIND BY COLLATERALISE UNCOLL. INTER-ACC. EXCLEAR CLEARED

WITHDRAW RENT ENDORSE PREMIUM Warrants 5 Records 200

<input type="checkbox"/>	Warrant No	Warrant Id	Product	Whse
<input checked="" type="checkbox"/>	2357141	2357141	ZS	
<input checked="" type="checkbox"/>	2357140	2357140	ZS	
<input checked="" type="checkbox"/>	2357139	2357139	ZS	

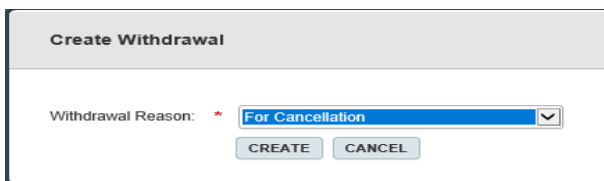


Click the Withdraw button from the menu, and in the pop-up box, and select the relevant Withdrawal Reason. A Create Withdrawal box will pop up, select the relevant reason for the withdrawal from the drop down;



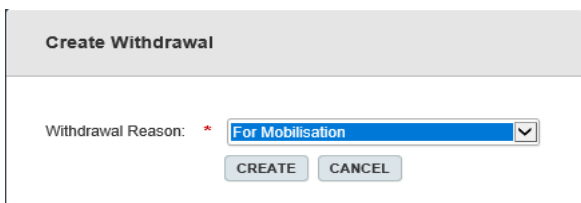
The screenshot shows a dialog box titled "Create Withdrawal". Inside, there is a label "Withdrawal Reason:" followed by a red asterisk. To the right is a dropdown menu that is open, displaying two options: "For Cancellation" and "For Mobilisation".

Select "For Cancellation"



The screenshot shows the "Create Withdrawal" dialog box. The dropdown menu now has "For Cancellation" selected. Below the dropdown are two buttons: "CREATE" and "CANCEL".

Select "For Mobilisation"



The screenshot shows the "Create Withdrawal" dialog box. The dropdown menu now has "For Mobilisation" selected. Below the dropdown are two buttons: "CREATE" and "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: *

This process is irrevocable once authorised and must continue until the warrant is printed by the agent.

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

Withdrawal Instructions
Records 200 ▼

DELETE AUTHORISE DAILY VIEW: OFF DOWNLOAD UPLOAD

✓ CONFIRMATION Instruction(s) Created Successfully

	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	[REDACTED]	205954	3	Unauthorised Create	[REDACTED]	

This instruction will now need to be authorised by a second User from the same member with sufficient LMEsword permissions. Refer to the [Authorising a Withdrawal Instruction](#) section below.



8.10 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.

Reference	Instruction Id	Warrants	Status	Created	Completed
[Redacted]	205956	3	Unauthorised Create	[Redacted]	[Redacted]
[Redacted]	205954	3	Unauthorised Create	[Redacted]	[Redacted]
[Redacted]	205932	2	Authorised Create	[Redacted]	[Redacted]

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

View Instruction - Withdrawal

BACK REFRESH

Details

Reference: [Redacted] Instruction Id: 205956
 Participant Id: [Redacted] Status: Unauthorised Create
 Withdraw Reason: For Mobilisation

Comments
 No Comments

Selected Warrants

Warrant No.	Warrant Id	Product	Print Confirmed	Premium Contract
[Redacted]	2357134	PB		
[Redacted]	2357135	PB		
[Redacted]	2357136	PB		

Request Audit

Participant	Username	From State	To State	Date & Time
[Redacted]	[Redacted]		Unauthorised Create	[Redacted]



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.

Warrant Withdrawal Request
 Date Printed : [REDACTED]
 Time Printed : 13:27:41

LMEsword Participant Id : [REDACTED]
 Warrant Withdraw Id : 156589
 Warrant Withdrawal Reference : Member01_156589_WITHD
 Number of Warrants : 1

Please withdraw the above Warrants from the Depository for the above Warrant Withdraw Id and hand to the messenger.

Security Code : 89530158

Depository Use Only
 No. Of Warrants Withdrawn: _____
 Warrants Collected by: _____
 Print Name _____
 Signature _____
 Date _____

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



8.11 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.

Withdrawal Instructions						
<input type="button" value="DELETE"/> <input type="button" value="AUTHORISE"/> <input type="button" value="DAILY VIEW: ON"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="UPLOAD"/>						Records 200 <input type="button" value="v"/>
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	[REDACTED]	205956	3	Authorised Create	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205954	3	Unauthorised Create	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205932	2	Authorised Create	[REDACTED]	[REDACTED]

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

View Instruction - Withdrawal				
<input type="button" value="BACK"/> <input type="button" value="REFRESH"/>				
Details				
Reference	[REDACTED]	Instruction Id	[REDACTED]	
Participant Id	[REDACTED]	Status	Authorised Create	
Withdraw Reason	For Mobilisation			
Comments				
No Comments				
Selected Warrants				
Warrant No.	Warrant Id	Product	Print Confirmed	Premium Contract
[REDACTED]	2357134	PB		
[REDACTED]	2357135	PB		
[REDACTED]	2357136	PB		
Request Audit				
Participant	Username	From State	To State	Date & Time
[REDACTED]	[REDACTED]		Unauthorised Create	[REDACTED]
[REDACTED]	[REDACTED]	Unauthorised Create	Authorised Create	[REDACTED]



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

Withdrawal Instructions						
<input type="button" value="DELETE"/> <input type="button" value="AUTHORISE"/> <input type="button" value="DAILY VIEW: ON"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="UPLOAD"/>						Records 200
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	[REDACTED]	205956	3	Ready for Collection	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205954	3	Unauthorised Create	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205932	2	Authorised Withdrawal	[REDACTED]	[REDACTED]

8.12 Deleting a Withdrawal Instruction

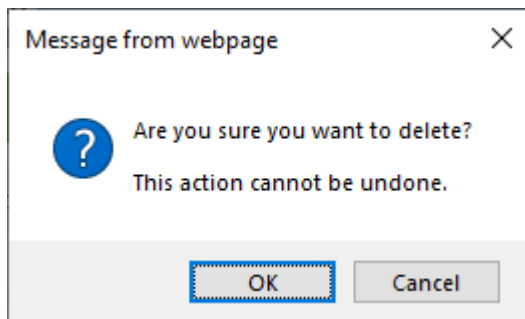
If the details are not correct on the Withdrawal Instruction then it will need to be deleted and the withdrawal restarted. Withdrawal instructions cannot be deleted once the instruction has reached Authorised Withdrawal state (accepted and authorised by the London Agent).

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

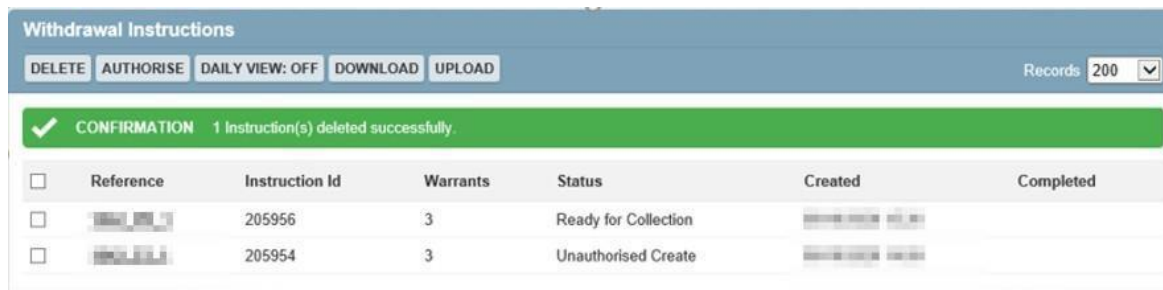
From Withdrawal Instructions screen, click the checkbox for the relevant instruction.

Withdrawal Instructions						
<input type="button" value="DELETE"/> <input type="button" value="AUTHORISE"/> <input type="button" value="DAILY VIEW: OFF"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="UPLOAD"/>						Records 200
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input checked="" type="checkbox"/>	[REDACTED]	205958	2	Unauthorised Create	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205956	3	Ready for Collection	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	205954	3	Unauthorised Create	[REDACTED]	[REDACTED]

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



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



9 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 SPM Systems should you have any immediate questions.

10 Search Functionality

10.3 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.

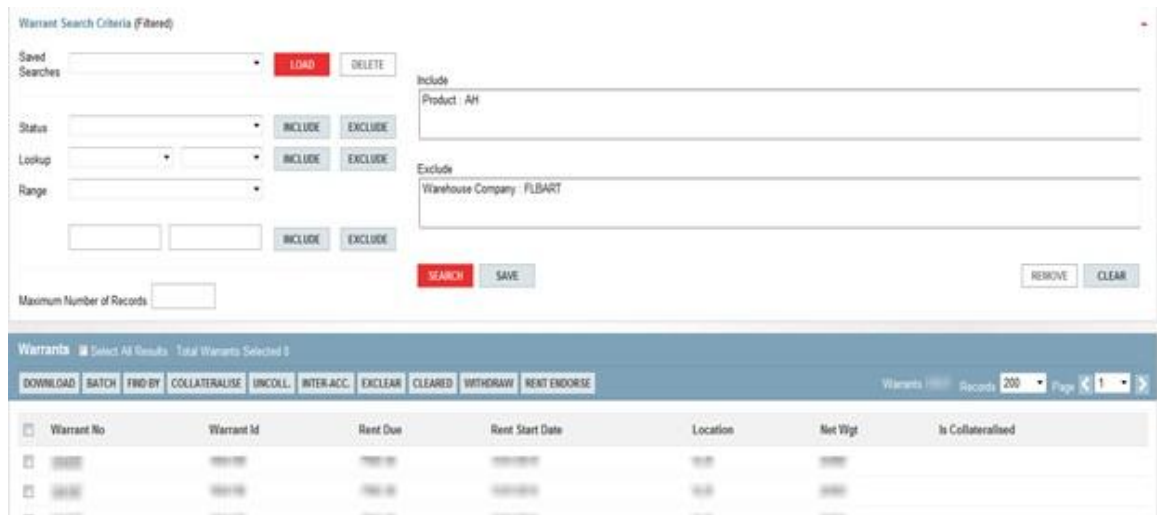
Range

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



10.4 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*).



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.



10.5 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;

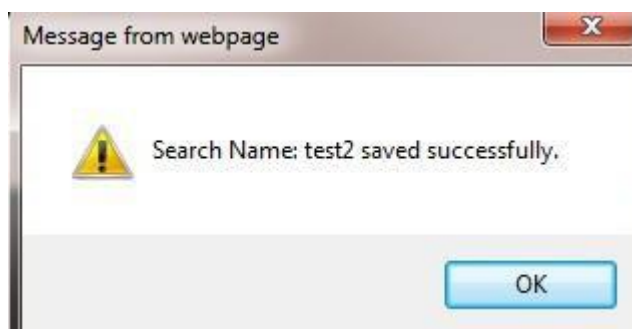
Click Save;

A pop up will appear;

Enter a name;

Select Save;

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



10.6 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 Search Criteria

Search Criteria: New

Name: New
test
test 2 *

SAVE CANCEL

Select overwrite;

Save Search Criteria


Search Criteria: test

Name: * test

OVERWRITE CANCEL

You will then receive a confirmation message.

Message from webpage

 Search Name: test saved successfully.

OK



10.7 Load saved searches

Navigate to search screen;

Select a saved search from the drop down menu;

Warrant Search Criteria

Saved Searches: [test] [test 2] [LOAD] [DELETE]

Status: [INCLUDE] [EXCLUDE]

Lookup: [INCLUDE] [EXCLUDE]

Range: [INCLUDE] [EXCLUDE]

Include: []

Exclude: []

[SEARCH] [SAVE] [REMOVE] [CLEAR]

Maximum Number of Records: []

Select Load;

Warrant Search Criteria (Filtered)

Saved Searches: [test] [LOAD] [DELETE]

Status: [INCLUDE] [EXCLUDE]

Lookup: [INCLUDE] [EXCLUDE]

Range: [INCLUDE] [EXCLUDE]

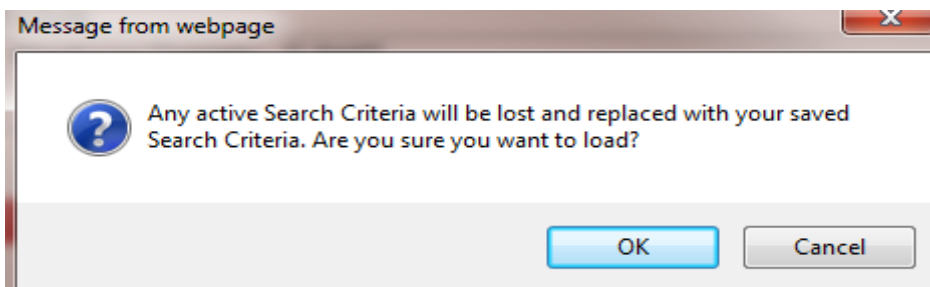
Include: Product : AH

Exclude: Location : Detroit

[SEARCH] [SAVE] [REMOVE] [CLEAR]

Maximum Number of Records: []

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



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

Select Search.



10.8 Deleting Saved Searches

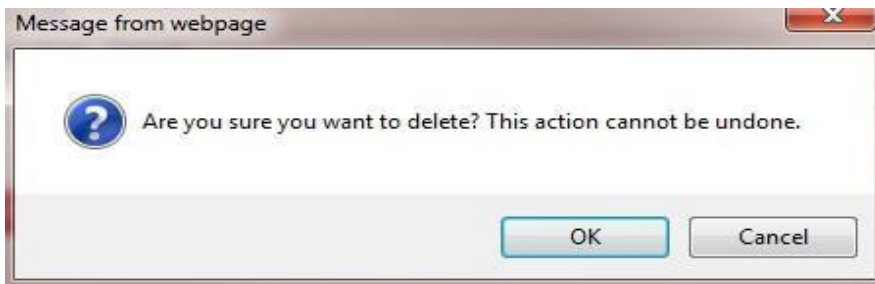
Navigate to search screen;

Select a saved search from the drop down menu;

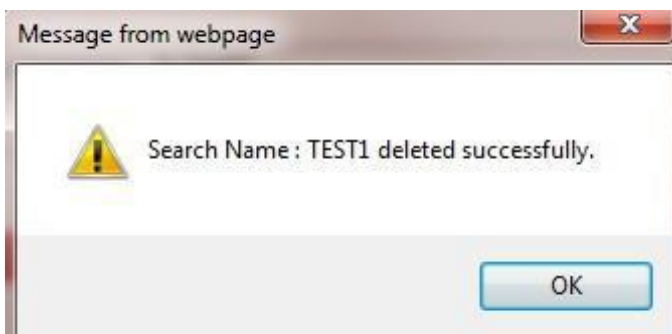
Select Delete;



A pop up will appear asking for confirmation;



Confirmation saved search has been deleted.



10.9 Applying a sort order to search results

Select Settings;



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 Suspended
- Issuing Member
- Issuing Member Name
- Location
- Old Warrant No
- Org Print Date
- Package Type

Selected Columns

- 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

Sort Order Columns (Max Limit of 5)

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.

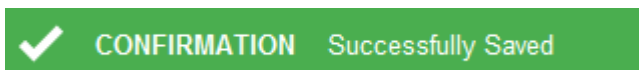
Select an item(s) from 'selected columns';

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.



10.10 Warrant Selection Counter

Navigate to search screen;

Enter a search criteria;

Select Search;

Select warrants;

‘Total Warrants Selected’ will display number of warrants selected.

Warrant Search Criteria (Filtered)

Saved Searches LOAD DELETE

Status INCLUDE EXCLUDE

Lookup INCLUDE EXCLUDE

Range INCLUDE EXCLUDE

Maximum Number of Records

Include
Product : PB
Brand : BERA

Exclude

SEARCH SAVE REMOVE CLEAR

Warrants Warrants 17 Records 200

Total Warrants Selected 6

DOWNLOAD BATCH FIND BY COLLATERALISE UNCOLL. INTER-ACC. EXCLEAR CLEARED WITHDRAW RENT ENDORSE

<input type="checkbox"/>	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
<input checked="" type="checkbox"/>	11222	116640	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input checked="" type="checkbox"/>	11222	116670	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input type="checkbox"/>	11222	116680	95		176	16629	8076	90	2670	2670	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input type="checkbox"/>	11222	116670	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input checked="" type="checkbox"/>	11222	116671	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input checked="" type="checkbox"/>	11222	116670	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input checked="" type="checkbox"/>	11222	116690	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input type="checkbox"/>	11222	116690	95		176	16629	8076	90	2670	2670	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input type="checkbox"/>	11222	116670	95		176	16629	8076	90	2670	2670	Wangan	77.00	✓	86748801	86748801	20110912	26L
<input type="checkbox"/>	11222	116670	95		176	16629	8076	90	2660	2660	Wangan	77.00	✓	86748801	86748801	20110912	26L



10.11 Fast Track Instructions from Search

10.11.1 Inter-Account Transfer

Perform a search;

Select warrants;

Select Inter-Acc;

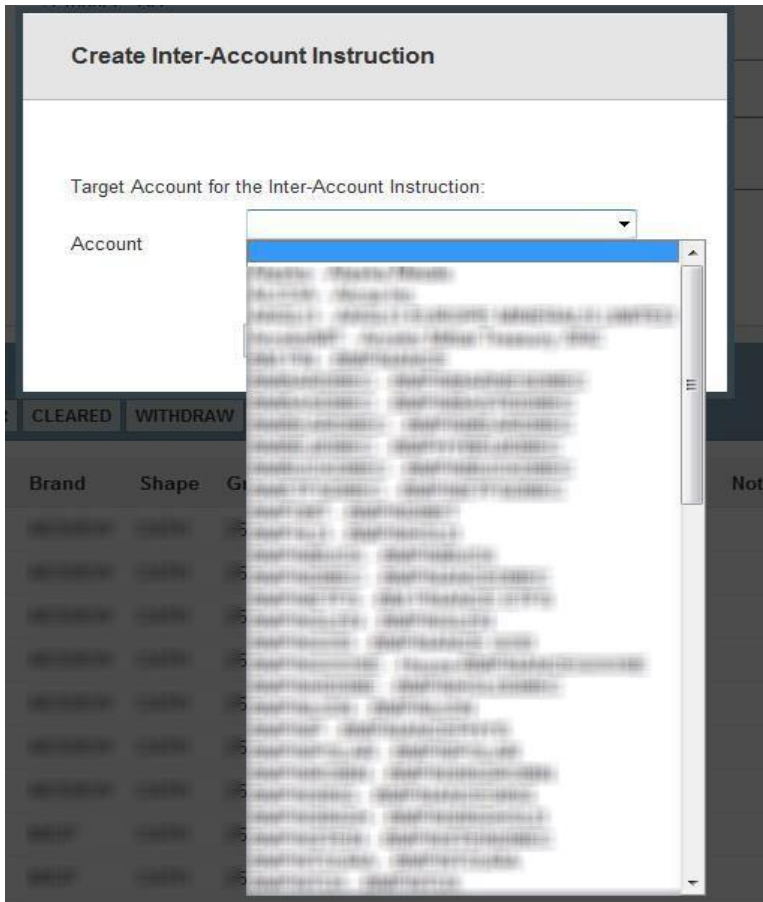
The screenshot shows the 'Warrant Search Criteria (Filtered)' section with various filters and search buttons. Below it is the 'Warrants' table with columns: Warrant No, Warrant Id, Product, Is Collateralised, Whse, Whse Co, Brand, Shape, Gross Wgt, Net Wgt, Location Name, Rent Due, Not Endorsed, Account, Account Name, Rent Start Date, and Participan. The 'INTER-ACC.' button in the table's toolbar is circled in red. The first five rows of the table have their checkboxes selected, also circled in red.

A pop up will appear;

The pop-up form is titled 'Create Inter-Account Instruction'. It contains a label 'Target Account for the Inter-Account Instruction:' followed by a dropdown menu labeled 'Account'. A red asterisk is positioned below the dropdown. At the bottom of the form are two buttons: 'CREATE' and 'CANCEL'.



Select Target Account from drop down list;

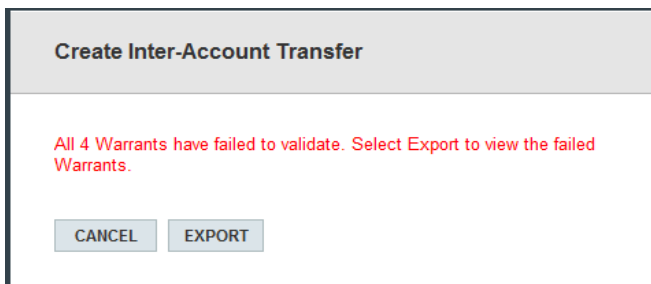


Select Create;

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;



Use drop down menu to choose Taker;

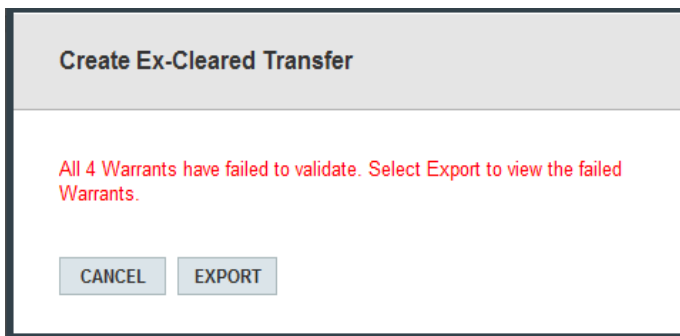
Enter a Security Reference (if applicable);

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;



Select Create;

You will now be directed to the instruction page.

Searching and Sorting +

Ex-cleared Transfer Instructions

Records 200 ▾

✓ CONFIRMATION Instruction(s) Created Successfully

<input type="checkbox"/>	Reference	Request Id	Warrants	Given	Taker	Status	Requested On	Requested By	Released On
<input type="checkbox"/>	WARRANT_123456789	12345	1	Security Team HQ	Management Head Training Ltd	Unauthorised Transfer	2024-01-15 10:00	SMJ00123	
<input type="checkbox"/>	WARRANT_987654321	12346	1	Security Team HQ	Crash Service Recovery Storage Limited	Unauthorised Transfer	2024-01-15 10:00		
<input type="checkbox"/>	WARRANT_111111111	12347	66	Security Team HQ	Security Team HQ	Released	2024-01-15 10:00		2024-01-15 10:00
<input type="checkbox"/>	WARRANT_222222222	12348	776	Security Team HQ	Security Team HQ	Released	2024-01-15 10:00		2024-01-15 10:00
<input type="checkbox"/>	WARRANT_333333333	12349	10	Security Team HQ	Police Head Ltd	Released	2024-01-15 10:00		2024-01-15 10:00



10.11.3 Cleared Transfer

Perform a search;

Select warrants;

Select Cleared;

The screenshot shows the 'Warrant Search Criteria (Filtered)' section with various filters and a 'Warrants' table. In the 'Warrants' table, the 'CLEARED' button in the top navigation bar is circled in red. Additionally, the checkboxes for the first five rows in the table are also circled in red.

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
<input type="checkbox"/>	22100000	170011	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input checked="" type="checkbox"/>	22100000	170012	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input checked="" type="checkbox"/>	22100000	170013	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input checked="" type="checkbox"/>	22100000	170014	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input checked="" type="checkbox"/>	22100000	170015	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input type="checkbox"/>	22100000	170016	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input type="checkbox"/>	22100000	170017	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input type="checkbox"/>	22100000	170018	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input type="checkbox"/>	22100000	170019	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input type="checkbox"/>	22100000	170020	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000
<input type="checkbox"/>	22100000	170021	CA	000	00000	00000000	0000	0000	0000	00000000	0000-00		00000000	0000000000000000	0000-00-00	000

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

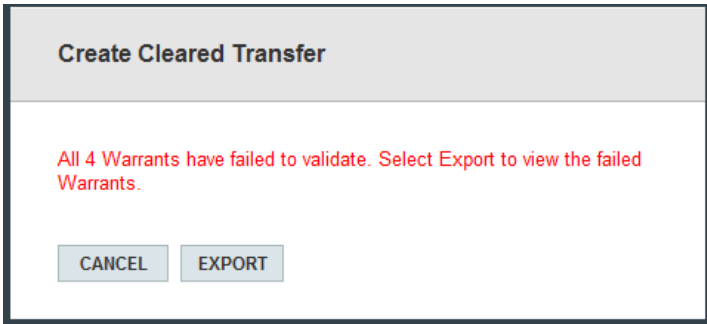
The dialog box is titled 'Create Cleared Instructions'. It contains the text: 'On standard commitments would you like to include Premium Warrants?'. Below this text is a checkbox labeled 'Can Include Premium Warrants' which is currently unchecked. At the bottom of the dialog are two buttons: 'CREATE' and '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;





This error will be received if the instruction contains invalid warrants



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

A new instruction has been created.

Cleared Transfer Instructions

NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD Records 200

CONFIRMATION Instruction(s) Created Successfully

Reference	Id	Status	Warrants	Prompt	Contract	Acc.	Giver	Taker	Created	Completed
<input checked="" type="checkbox"/> 20130002282	12760	Unauthorised Trade	0	00000010	20	0	JTF Manager (Sec)	L201 Cleared (Sp)	00000010 0:00	
<input type="checkbox"/> 20130002283	12770	Unauthorised Trade	1	00000010	70	0	JTF Manager (Sec)	L201 Cleared (Sp)	00000010 0:00	
<input type="checkbox"/> 20130002284	12775	Unauthorised Trade	10	00000010	50	0	JTF Manager (Sec)	L201 Cleared (Sp)	00000010 0:00	
<input type="checkbox"/> 20130002285	12775	Unauthorised Trade	100	00000010	20	0	JTF Manager (Sec)	L201 Cleared (Sp)	00000010 0:00	
<input type="checkbox"/> 20130002286	12776	Unauthorised Trade	100	00000010	0	0	JTF Manager (Sec)	L201 Cleared (Sp)	00000010 0:00	
<input type="checkbox"/> 20130002287	12780	Unauthorised Trade	20	00000010	0	0	JTF Manager (Sec)	L201 Cleared (Sp)	00000010 0:00	
<input type="checkbox"/> 20130002288	12841	Released	20	00000010	0	0	L201 Cleared (Sp)	JTF Manager (Sec)	00000010 0:00	00000010 0:00



10.12 Withdrawal

Perform a search;

Select warrants;

Select Withdraw;

The screenshot shows the 'Warrant Search Criteria (Filtered)' section with various filters and search options. Below it is the 'Warrants' table with columns: 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, and Participant. The 'WITHDRAW' button in the table's header is circled in red. The first five rows of the table have their checkboxes selected.

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

The 'Create Withdrawal' dialog box contains a 'Withdrawal Reason:' label followed by a dropdown menu. The dropdown menu is open, showing two options: 'For Cancellation' and 'For Mobilisation'. A mouse cursor is pointing at the 'For Mobilisation' option.



Select "For Cancellation"

The screenshot shows a form titled "Create Withdrawal". It contains a dropdown menu labeled "Withdrawal Reason:" with a red asterisk, where "For Cancellation" is selected. Below the dropdown are two buttons: "CREATE" and "CANCEL".

Select "For Mobilisation"

The screenshot shows a form titled "Create Withdrawal". It contains a dropdown menu labeled "Withdrawal Reason:" with a red asterisk, where "For Mobilisation" is selected. Below the dropdown are two buttons: "CREATE" and "CANCEL".

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.**

The screenshot shows a form titled "Create Withdrawal". It contains a dropdown menu labeled "Withdrawal Reason:" with a red asterisk, where "For Mobilisation" is selected. Below it are two fields: "Assignee:" with a red asterisk and an empty text box, and "Assignee contact details:" with a red asterisk and an empty text area with scrollbars. At the bottom, there is a warning message: "This process is irrevocable once authorised and must continue until the warrant is printed by the agent." and two buttons: "CREATE" and "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.

You will now be directed to the instruction page.

Withdrawal Instructions						
<input type="button" value="DELETE"/> <input type="button" value="AUTHORISE"/> <input type="button" value="DAILY VIEW: OFF"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="UPLOAD"/>						
✓ CONFIRMATION Instruction(s) Created Successfully						
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

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

Withdrawal Instructions						
<input type="button" value="DELETE"/> <input type="button" value="AUTHORISE"/> <input type="button" value="DAILY VIEW: OFF"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="UPLOAD"/>						
✓ CONFIRMATION Instruction(s) Created Successfully						
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<input checked="" type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Authorise

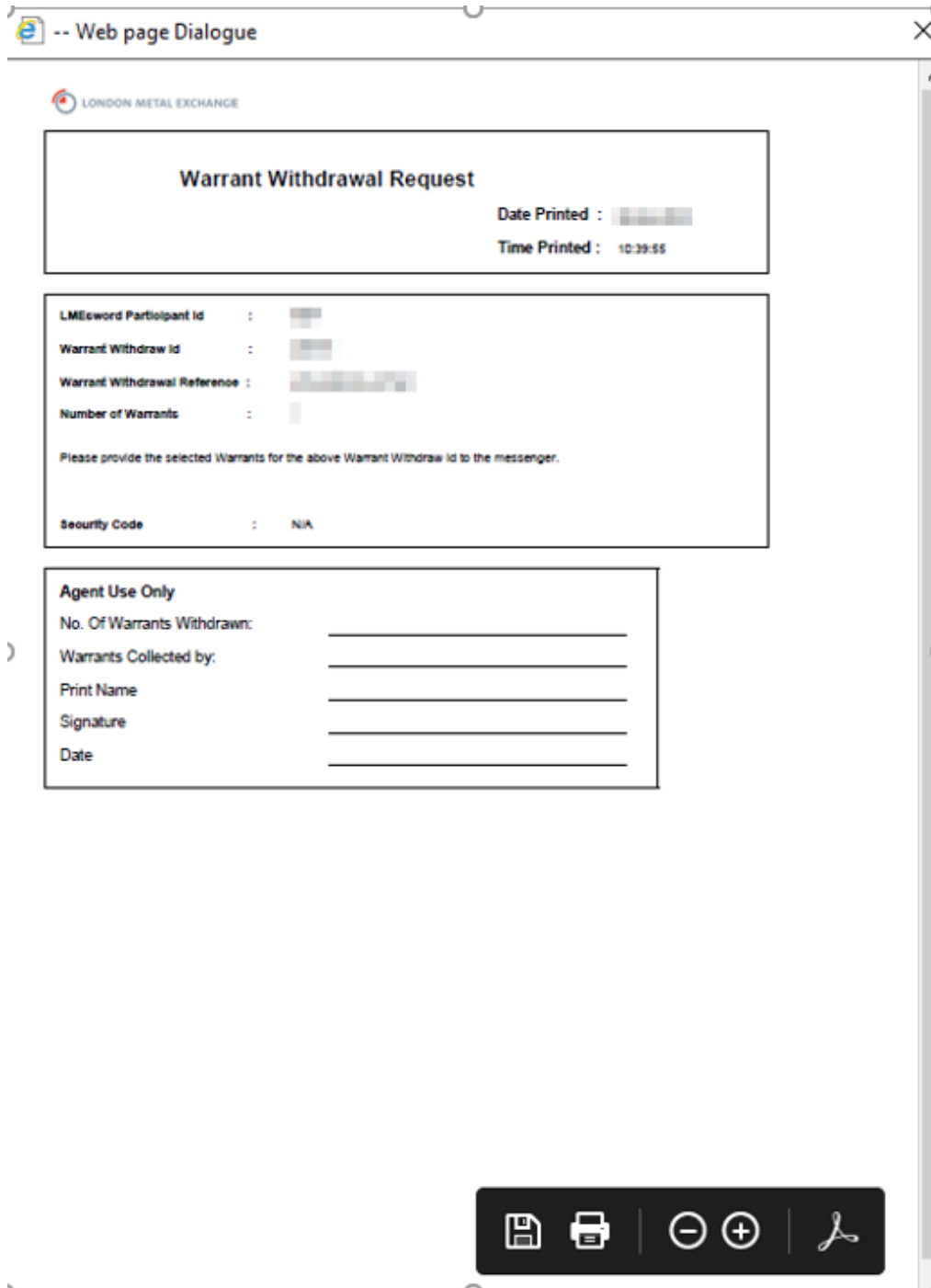
Username

Password

Notes



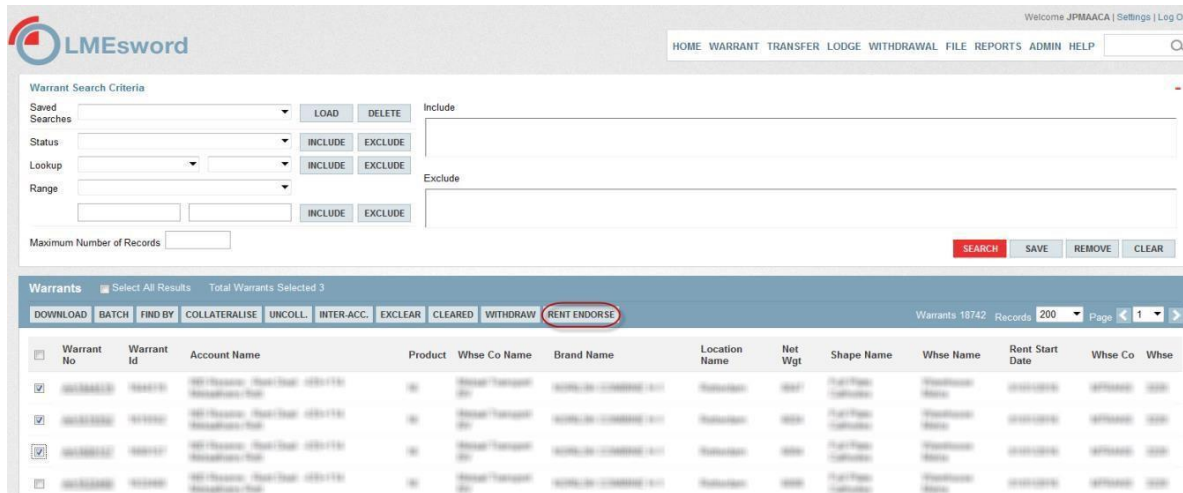
Once dual authorisation is complete and you select Authorise the below Warrant Withdrawal Request sheet will appear as a pop up which acts as confirmation of the withdrawal instruction;



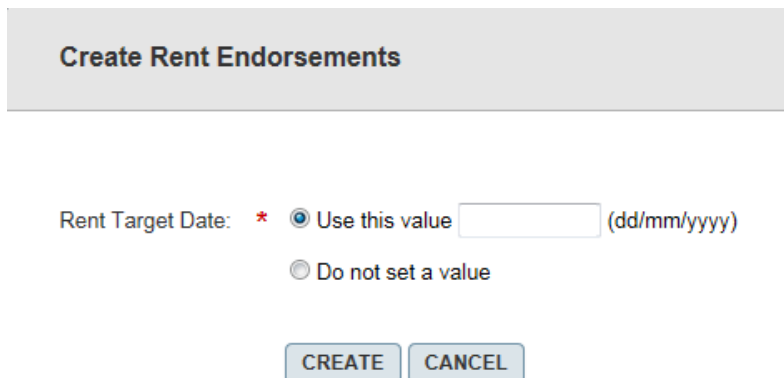
10.12.1 Rent Endorsement (Rent Paid)

Perform a search

Select warrants;



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



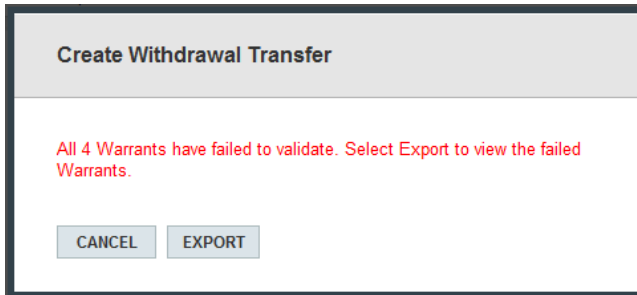
In the Rent Target Date field, enter the date you wish to pay the rent up until and including to.

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											
NEW AMEND DELETE AUTHORISE DOWNLOAD REPORT											Records: 200
<div style="background-color: #4CAF50; color: white; padding: 5px;"> ✓ CONFIRMATION Instruction(s) Created Successfully </div>											
<input type="checkbox"/>	Reference	Id	Status	Warrants	Rent Due (\$)	Created User	WH Agent	WH Company	Rent Expiry	Created	Completed
<input type="checkbox"/>	XXXXXXXXXXXXXXXXXXXX	125087	Unauthorised Create	121	738,123.75	XXXXXXXXXX	Warehouse Agent	XXXXXXXXXX	31/03/2015		
<input type="checkbox"/>	XXXXXXXXXXXXXXXXXXXX	125088	Unauthorised Create	122	123,456.78	XXXXXXXXXX	Warehouse Agent	XXXXXXXXXX	31/03/2015		

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;

Amend Rent Endorsement
SAVE CANCEL REPORT

DETAILS WARRANTS (721) COMMENTS (0)

Id 125087

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 (\$) 738,123.75

Status Unauthorised Create



a. The following message will appear;



The instruction is now ready for authorisation

11 Batch

11.3 Creating a Warrant Batch

Select warrants > Search;

Select search criteria: Status;

Select warrant(s) for batch;

Select Batch;



Save Batch

Batch

Batch Name *

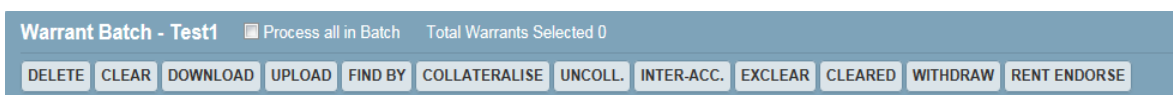
Enter a name in the mandatory field;

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;



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

11.4 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

Batch Name *

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



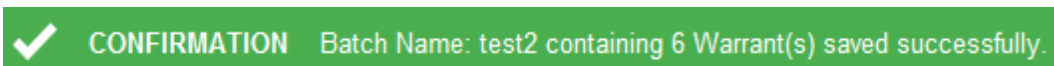
Save Batch

Batch: 1

Batch Name: 1 *

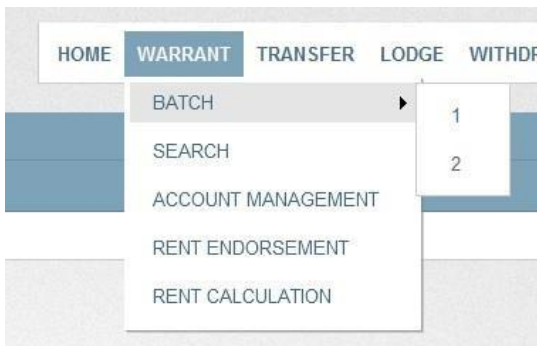
OVERWRITE APPEND CANCEL

A confirmation message will appear.



11.5 Viewing Batches

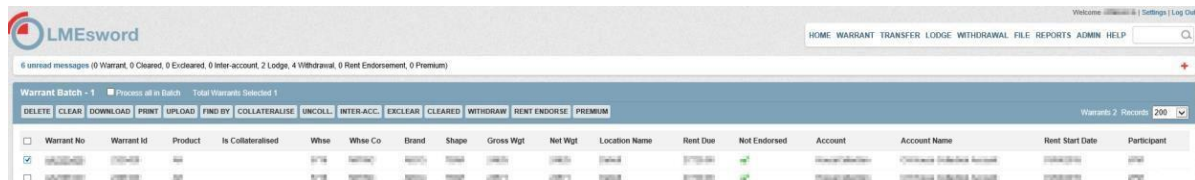
When you hover your mouse over the batch option you will see a list of your saved batches for you to select.



11.6 Removing Warrants from a saved Batch

Navigate to batch screen;

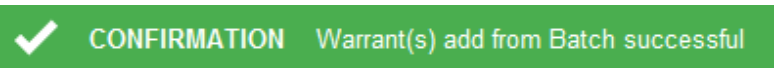
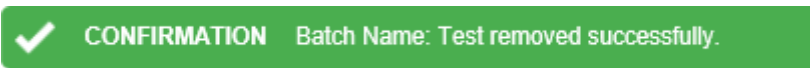
Select warrants to be removed from batch;



Select Delete;

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

A confirmation message will appear



11.7 Fast Track Instructions from Batch

11.7.1 Inter-Account Transfer

Navigate to a batch;

Select warrants;

Select inter-Acc;

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
11210	118010	FE		170	16120	8050	80	2100	2100	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input checked="" type="checkbox"/>	11210	118011	FE	170	16120	8050	80	2100	2100	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input checked="" type="checkbox"/>	11210	118012	FE	170	16120	8050	80	2100	2100	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input checked="" type="checkbox"/>	11210	118009	FE	170	16120	8050	80	2100	2100	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input checked="" type="checkbox"/>	11210	118008	FE	170	16120	8050	80	2100	2100	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118016	FE	171	16120	8050	80	2174	2174	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118015	FE	171	16120	8050	80	2170	2170	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118017	FE	171	16120	8050	80	2170	2170	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118018	FE	171	16120	8050	80	2170	2170	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118015	FE	171	16120	8050	80	2100	2100	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118000	FE	171	16120	8050	80	2020	2020	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	118007	FE	170	16120	8050	80	2040	2040	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	117992	FE	170	16120	8050	80	2010	2010	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000
<input type="checkbox"/>	11210	117986	FE	170	16120	8050	80	2010	2010	Wangan	161-10		86F160001	86F16000120001	01/1/2014	000

A pop up will appear;

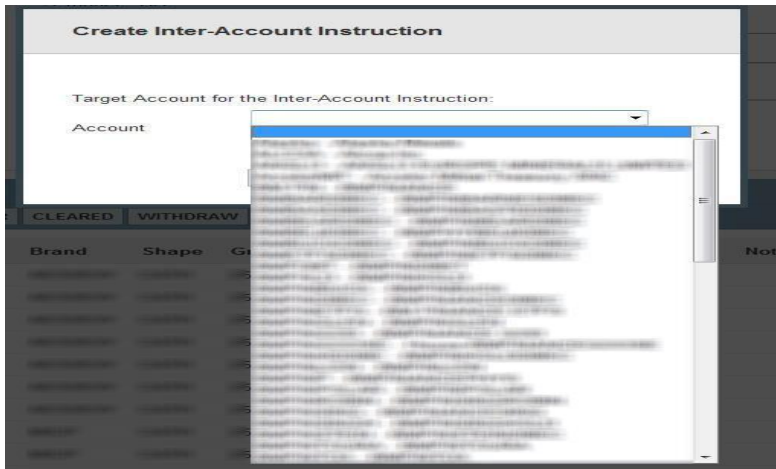
Create Inter-Account Instruction

Target Account for the Inter-Account Instruction:

Account



Select Target Account from drop down list;

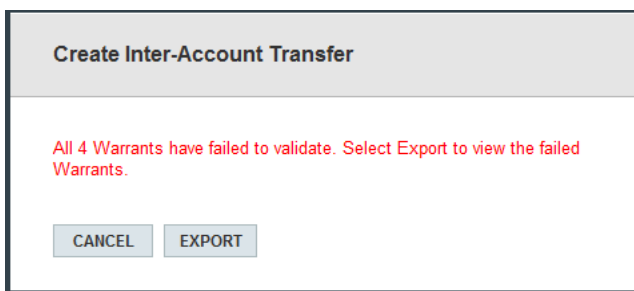


Select Create;

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-account Transfer Instructions							
NEW AMEND DELETE AUTHORISE DOWNLOAD UPLOAD							
Records 200							
CONFIRMATION Instruction(s) Created Successfully							
Reference	Instruction Id	Warrants	Status	Target Account	Created	Released	
<input type="checkbox"/>	001_10000_01	10000	0	Unauthorised Trade	00100000	00100000	
<input type="checkbox"/>	001_10000_02	10001	0	Unauthorised Trade	00100000	00100000	
<input type="checkbox"/>	001_10000_03	10002	1	Unauthorised Trade	00100000	00100000	
<input type="checkbox"/>	001_10000_04	10003	0	Unauthorised Trade	00100000	00100000	



11.7.2 Ex-Cleared Transfer

Navigate to a batch;

Select warrants;

Select Exclear;

A pop up will appear;

Create Ex-Cleared Instruction

Enter / Select the following for the Ex-Cleared Instruction:

Taker *

Security Reference

Manual Release

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;



Create Ex-Cleared 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.

Searching and Sorting +

Ex-cleared Transfer Instructions

NEW AMEND DELETE AUTHORISE DOWNLOAD ACCEPT REJECT UNDO RELEASE UPLOAD
Records 200

✓ CONFIRMATION Instruction(s) Created Successfully

Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On
WARRANT_123456789	12345	5	Executive Bank AG	Development Bank Trading Ltd	Unauthorised Trade	2019-01-11 10:00	DBL00000	
WARRANT_123456789	12345	1	Executive Bank AG	Bank of America Securities (Europe) Limited	Authorised Trade	2019-01-11 10:00		
WARRANT_123456789	12345	50	Banking Bank Plc	Executive Bank AG	Released	2019-01-11 10:00		2019-01-11 10:00
WARRANT_123456789	12345	775	Banking Bank Plc	Executive Bank AG	Released	2019-01-11 10:00		2019-01-11 10:00
WARRANT_123456789	12345	10	Executive Bank AG	Trade Bank Ltd	Released	2019-01-11 10:00		2019-01-11 10:00

11.7.3 Cleared Transfer

Navigate to a batch;

Select warrants;

Select Cleared;

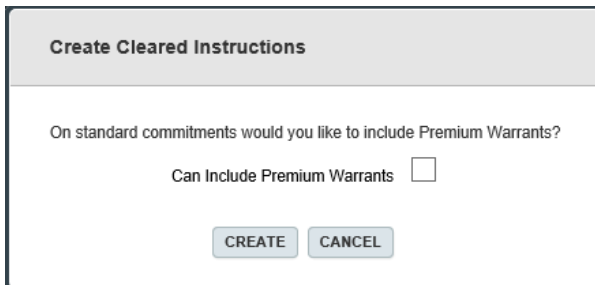
Warrant Batch - 3 Process all in Batch Total Warrants Selected 5

DELETE CLEAR DOWNLOAD UPLOAD FIND BY COLLATERALISE UNCOLL. INTER-ACC. EXCLEAR CLEARED WITHDRAW RENT ENDORSE
Warrants 17 Records 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
<input checked="" type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input checked="" type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input checked="" type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input checked="" type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input checked="" type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111
<input type="checkbox"/>	11111	11111	FE	111	111	111	111	111	111	Warehouse	111		111	111	111	111



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

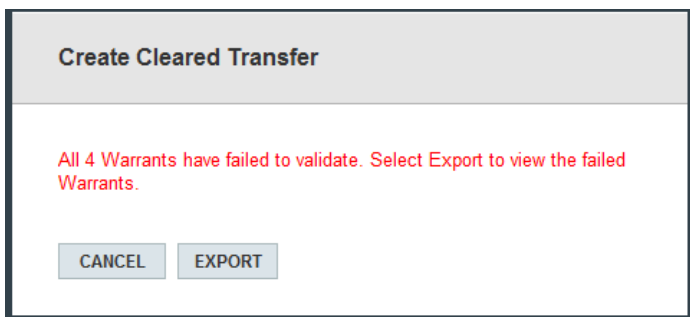


The screenshot shows a dialog box titled "Create Cleared Instructions". The main text asks, "On standard commitments would you like to include Premium Warrants?". Below this is a label "Can Include Premium Warrants" followed by an unchecked checkbox. At the bottom of the dialog are two buttons: "CREATE" and "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;



The screenshot shows a dialog box titled "Create Cleared Transfer". The main text is a warning message in red: "All 4 Warrants have failed to validate. Select Export to view the failed Warrants.". At the bottom of the dialog are two buttons: "CANCEL" and "EXPORT".

This error will be received if the instruction contains invalid warrants



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



Select "For Cancellation"

The screenshot shows a form titled "Create Withdrawal". It contains a dropdown menu for "Withdrawal Reason:" with "For Cancellation" selected. Below the dropdown are two buttons: "CREATE" and "CANCEL".

Select "For Mobilisation"

The screenshot shows a form titled "Create Withdrawal". It contains a dropdown menu for "Withdrawal Reason:" with "For Mobilisation" selected. Below the dropdown are two buttons: "CREATE" and "CANCEL".

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.**

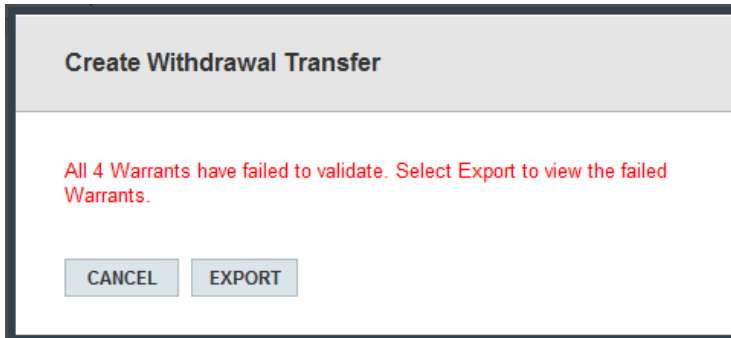
The screenshot shows a form titled "Create Withdrawal". It contains a dropdown menu for "Withdrawal Reason:" with "For Mobilisation" selected. Below it are two required fields: "Assignee:" and "Assignee contact details:". At the bottom, there is a warning message: "This process is irrevocable once authorised and must continue until the warrant is printed by the agent." and two buttons: "CREATE" and "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;

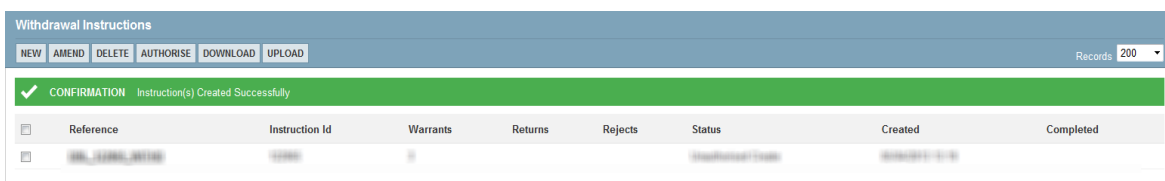
Select Export to view more details on validation (export is in a .txt format);

Select Cancel to return to the previous screen;

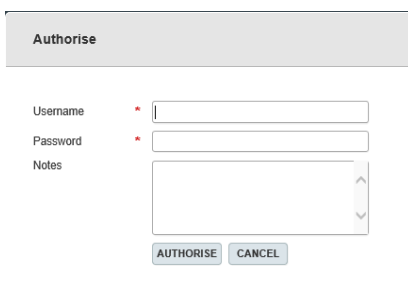
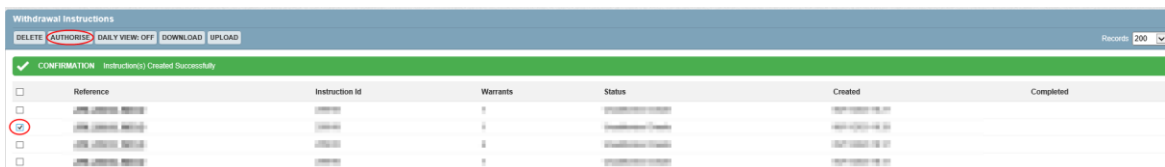




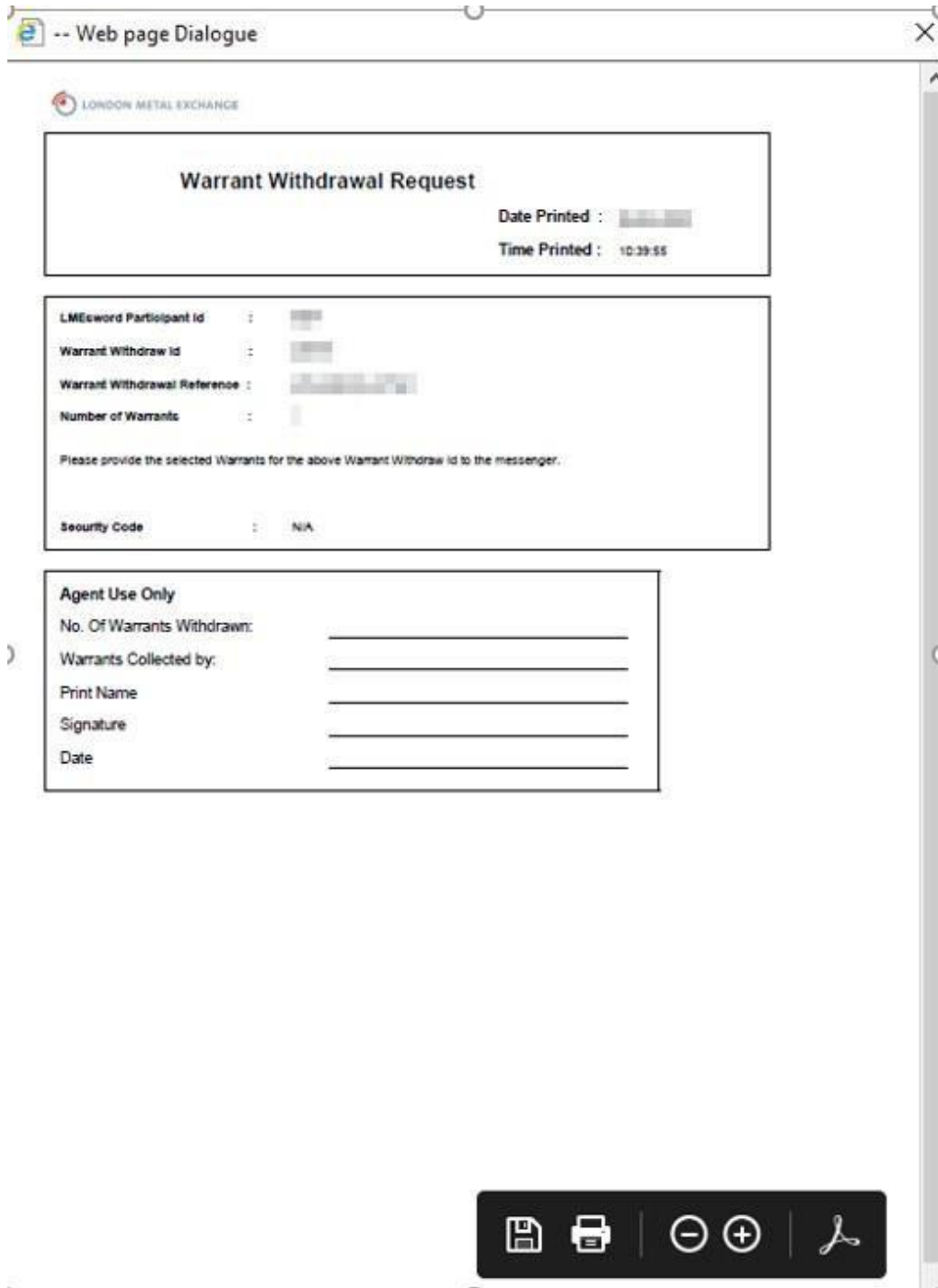
You will now be directed to the instruction page.



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



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;



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;



The following message will appear;



The instruction is now ready for authorisation.



12 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.

12.3 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.



12.4 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.

12.5 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 (0)	COMMENTS (0)
Reference *	<input type="text"/>	
Product *	<input type="text"/> <input type="button" value="..."/>	
Taker *	<input type="text"/>	
Number of Warrants *	<input type="text"/>	
Security Reference	<input type="text"/>	
Manual Release	<input checked="" type="checkbox"/>	

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.



The screenshot shows a web form with three tabs: 'DETAILS' (selected), 'WARRANTS (0)', and 'COMMENTS (0)'. The form contains the following fields:

- Reference**: A text input field with a red asterisk indicating it is mandatory.
- Prompt Date**: A date input field.
- Commitment**: A dropdown menu with a red asterisk and a downward arrow.
- Giver**: A text input field.
- Taker**: A text input field containing the value 'LME Clear Operations'.
- Number of Warrants**: A text input field with a red asterisk.
- Can Include Premium Warrants**: A checkbox.

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.

The screenshot shows a web form with three tabs: 'DETAILS' (selected), 'WARRANTS (0)', and 'COMMENTS (0)'. The form contains the following fields:

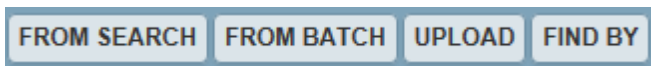
- Reference**: A text input field with a red asterisk.
- Target Account**: A dropdown menu with a red asterisk and a downward arrow. The dropdown is open, showing a list of account names.



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.

12.6 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; dependant on the instruction.

12.7 Validating Warrants in an Instruction

Create Excleared Transfer Instruction

SAVE CANCEL REMOVE REMOVE INVALID REVALIDATE FROM SEARCH FROM BATCH UPLOAD FIND BY

DETAILS WARRANTS (33) COMMENTS (0)

<input type="checkbox"/>	Warrant No.	Warrant Id	Notes	Product	Source Account	Rent Due	Net Weight
<input type="checkbox"/>	18_20	1818001		10	1818001	10.0	2000
<input type="checkbox"/>	18_20	1818002		10	1818002	10.0	2000
<input type="checkbox"/>	18_20	1818003		10	1818003	10.0	2000
<input type="checkbox"/>	1807_1801	1817001		00	1817001	11.0	2000
<input type="checkbox"/>	1807_1801	1817002		00	1817002	11.0	2000

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.



12.8 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.

12.9 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	
		REMOVE	
		CLEAR	



12.10 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-cleared Transfer Instructions

NEW AMEND DELETE AUTHORISE DOWNLOAD ACCEPT REJECT UNDO RELEASE UPLOAD Records 200

<input type="checkbox"/>	Reference	Request Id	Warrants	Giver	Taker	Status	Requested On	Requested By	Released On
<input type="checkbox"/>	123456	123456	1	Guidance Service International	Service User Pk	Authorised/Rejected	2017/01/11 12:00:00		
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00
<input type="checkbox"/>	123456789	123456	10	Guidance Service International	Service User Pk	Released	2017/01/11 12:00:00		2017/01/11 12:00:00

12.11 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.

File Management

USER VIEW: ON DELETE UPLOAD RESTART REFRESH SEARCH Records 200

<input type="checkbox"/>	Log File	File	Type	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
<input type="checkbox"/>	View...	Static Data Download - Brand		BRAND20130806.txt	Completed	Finished Processing					
<input type="checkbox"/>	View...	Static Data Download - LMEsword Participant Accounts		ACCN20130806.txt	Completed	Finished Processing					
<input type="checkbox"/>	View...	Download Warrant (level 2)		4_WarrantDownload.txt	Completed	Finished Processing					
<input type="checkbox"/>	View...	Upload Warrant Id (level 1)		5_WarrantDownload.txt	Failed	Finished Processing	✓				
<input type="checkbox"/>	View...	Static Data Download - Brand		BRAND20130806.txt	Completed	Finished Processing					
<input type="checkbox"/>	View...	Download Warrant Full Details (level 3)		CCOUNTER_194.txt	Completed	Finished Processing					
<input type="checkbox"/>	View...	Download Warrant Id (level 1)		3_WarrantDownload.txt	Completed	Finished Processing					

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).

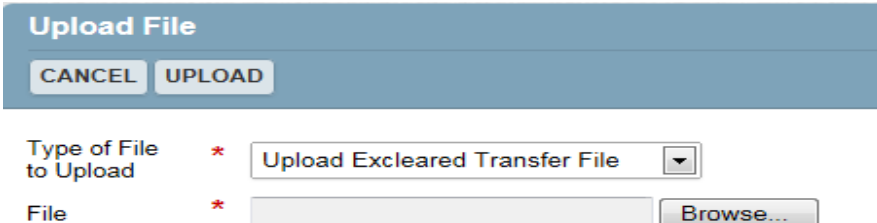
The User can save the file using any filename of their choice.

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.

12.12 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;



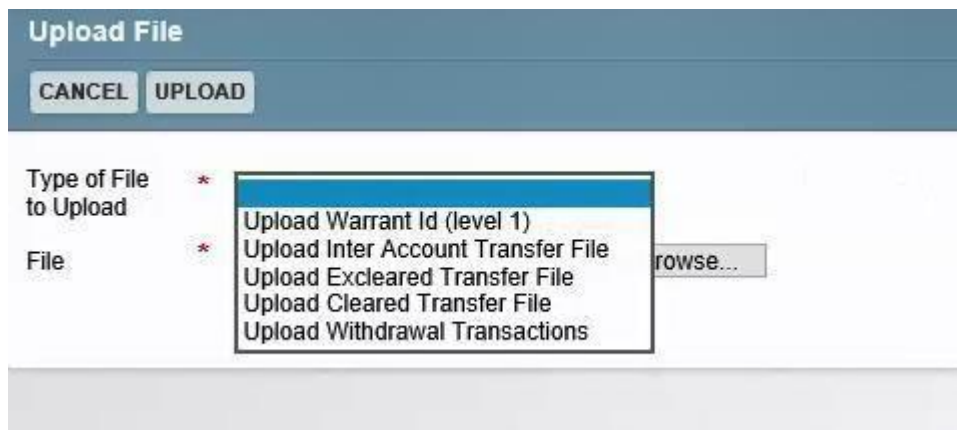
Upload File

Type of File to Upload * ▼

File *



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;



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.



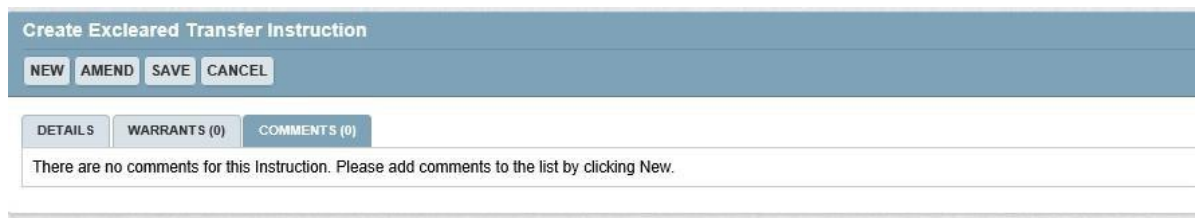
12.13 Adding comments to an instruction

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 3rd 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.



12.14 Authorising an Instruction

12.14.1 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;



The screenshot shows a dialog box titled "Authorise". It contains three input fields: "Username" with a red asterisk, "Password" with a red asterisk, and "Notes" (a text area). Below the fields are three buttons: "AUTHORISE", "REJECT", and "CANCEL".

End Status: Authorised Created.



12.14.2 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.

The screenshot shows a dialog box titled "Authorise". Inside the dialog, there is a label "Notes" followed by a text input field with a vertical scrollbar. Below the input field are three buttons: "AUTHORISE", "REJECT", and "CANCEL".



13 File Management

13.3 Downloads

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

The screenshot shows the 'FILE' menu with 'VIEW' selected, displaying options like 'COSTS DOWNLOAD', 'END OF DAY RECONCILIATION', and 'STATIC DATA DOWNLOAD'. Below is the 'File Management' table:

Log File	File	Type	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
	View...	Download Warrant (level 2)	5_WarrantDownload.bt	Completed	Finished Processing		20/01/2018 11:12	20/01/2018 11:12	DL/SL/SL	20/01/2018 11:17
	View...	Download Warrant Id (level 1)	21_WarrantDownload.bt	Completed	Finished Processing		20/01/2018 11:17	20/01/2018 11:17	DL/SL/SL	20/01/2018 11:18
	View...	Static Data Download - Brand	BRAND20130806.bt	Completed	Finished Processing		20/01/2018 11:17	20/01/2018 11:17	DL/SL/SL	20/01/2018 11:18
	View...	Download Warrant Full Details (level 3)	COUNTER_194.bt	Completed	Finished Processing		20/01/2018 11:12	20/01/2018 11:12	DL/SL/SL	20/01/2018 11:17
	View...	Download Warrant Id (level 1)	3_WarrantDownload.bt	Completed	Finished Processing		20/01/2018 11:17	20/01/2018 11:17	DL/SL/SL	20/01/2018 11:18

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.

The screenshot shows the 'FILE' menu with 'VIEW' selected, displaying options like 'COSTS DOWNLOAD', 'END OF DAY RECONCILIATION', and 'STATIC DATA DOWNLOAD'. Below is the 'Download' button for 'End Of Day Reconciliation - Warrants In/Out Download'.

End Of Day Reconciliation - Warrants In/Out Download

DOWNLOAD

Date of Download (dd/mm/yyyy) *



The screenshot shows the LMEsword web application interface. At the top, there is a navigation menu with links for HOME, WARRANT, TRANSFER, LODGE, WITHDRAWAL, FILE, REPORTS, ADMIN, and HELP. Below the navigation menu, there is a status bar indicating 6 unread messages and various account statistics. The main content area is titled "File Management" and includes a toolbar with buttons for USER VIEW, CN, DELETE, UPLOAD, RESTART, REFRESH, and SEARCH. A table below the toolbar displays log file information:

<input type="checkbox"/>	Log File	File	Type	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
<input type="checkbox"/>	View...	Download End of Day Reconciliation - Warrants In and Warrants Out Totals		RECIO20201113.txt	Completed	Finished Processing					

The screenshot shows a Notepad window titled "RECIO20201113.txt - Notepad". The window contains the following text:

```

RECIO 20201111 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
CustomerCollection 0 0 0 0
EXCESS 0 0 0 0
F&O NONSEG 0 0 0 0
FIN 07174 0 0 0 0
FIN 07175 0 0 0 0
HouseCollection 0 0 0 0
HOUSE-VEC 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
    
```



13.4 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;

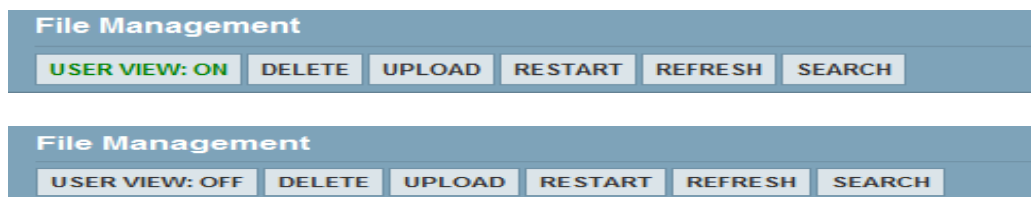
Select Download;

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.

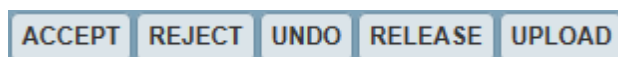


14 Transfers

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

14.3 Ex-Cleared Transfer

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



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:



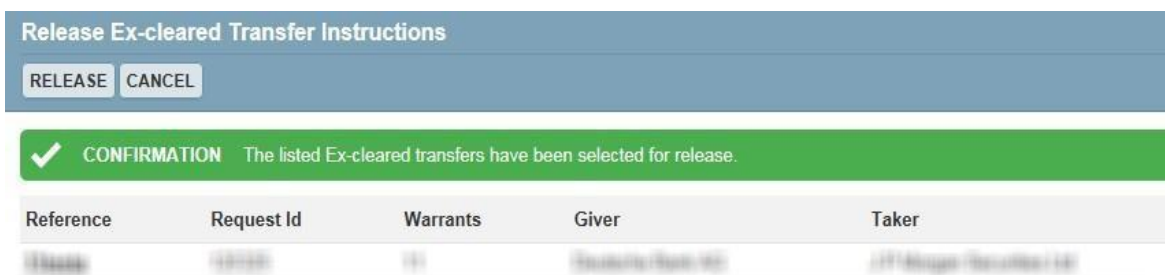
Status changes to *Authorised Accepted*;

Release – performed by the giver member after the taker has *authorised accepted*;

Select corresponding checkbox;

Select release Release;

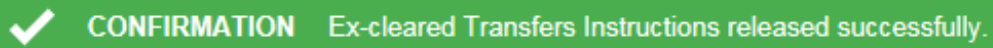
Release window opens;



Review and select Release;



System message appears;

A green rectangular banner with a white checkmark icon on the left. The text inside the banner reads "CONFIRMATION Ex-cleared Transfers Instructions released successfully." in white capital letters.

✓ CONFIRMATION Ex-cleared Transfers Instructions released successfully.

Status changed to *released*;

Reject – function performed by the taker member;

Select corresponding checkbox;

Select Reject;

View details;

Select Reject;

Status changed to *Unauthorised Rejected*;

Undo – function performed by the taker member;

Select corresponding checkbox;

Ensure status is *unauthorised accepted* / *unauthorised rejected*;

Select Undo;

Status reverts to *Authorised Created*.



14.4 Cleared Transfer

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

Amend 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.



15 Premium Warrant Contract

15.3 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.

15.4 From Search

Perform a search

Select warrants

Select Premium

Warrant Search Criteria (Filtered)

Warrants Select All Results Total Warrants Selected 3

DOWNLOAD BATCH FIND BY COLLATERALISE UNCOLL. INTER-ACC. EXCLEAR CLEARED WITHDRAW RENT ENDORSE **PREMIUM** Warrants 4865 Records 200 Page 1

Warrant No	Warrant Id	Product	Whse	Premium Contract
<input checked="" type="checkbox"/> AA2213040	2213040	AH	8298	
<input checked="" type="checkbox"/> AA2213334	2213334	AH	8298	
<input checked="" type="checkbox"/> AA2213536	2213536	AH	8298	

You will now be directed to the instruction page

LMEsword

HOME WARRANT TRANSFER LODGE WITHDRAWAL FILE REPORTS ADMIN HELP

Searching and Sorting

Premium Warrant Instruction List

NEW AMEND DELETE AUTHORISE Records 200

CONFIRMATION Instruction(s) Created Successfully

Reference	Id	Status	Warrants	User	Wh Agent	Created	Completed
<input checked="" type="checkbox"/>	204870	Unauthorised Create	3	DBLTHCA			

NB The instruction has been 'unauthorised created'



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

Authorise

Username *

Password *

Notes

✓ **CONFIRMATION** 1 Premium Warrant Instruction(s) Authorised successfully.

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									
Reference	Id	Status	Warrants	User	WH Agent	Created	Completed		
	204872	Completed	5	DBLTHCA					

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.

15.5 From Account Management

Navigate to Account Management

Select an account

Select Premium

You will now be directed to the instruction page



Premium Warrant Instruction List

NEW AMEND DELETE AUTHORISE Records: 200

✓ CONFIRMATION Instruction(s) Created Successfully

<input type="checkbox"/>	Reference	Id	Status	Warrants	User	WH Agent	Created	Completed
<input checked="" type="checkbox"/>	[REDACTED]	204870	Unauthorised Create	3	DLTHCA	[REDACTED]		

NB The instruction has been 'unauthorised created'

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

Authorise

Username *

Password *

Notes

✓ CONFIRMATION 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.



15.6 From Batch

Navigate to a
 batch Select
 warrants Select
 Premium

You will now be directed to the instruction page

Premium Warrant Instruction List									
Reference	Id	Status	Warrants	User	W/I Agent	Created	Completed		
	204870	Unauthorised Create	3	DLTHCA					

NB The instruction has been ‘unauthorised created’

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

Authorise

Username *

Password *

Notes

CONFIRMATION 1 Premium Warrant Instruction(s) Authorised successfully.

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

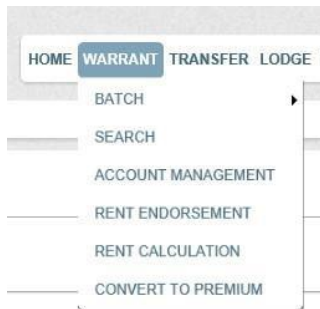
When the status is ‘Completed’ the warrants are Premium

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.



15.7 Convert to Premium Instruction

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



15.7.1 New instruction

Select New

Complete the details tab

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

Save the instruction

Reference	Id	Status	Warrants	User	WH Agent	Created	Completed
204870		Unauthorised Create	3	DBL THCA	Barnaby ...		

NB The instruction has been 'unauthorised created'



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

Authorise

Username *

Password *

Notes

✓ **CONFIRMATION** 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. 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.

15.7.2 Amend an Instruction

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

Select the instruction

Select Amend

Searching and Sorting +

Premium Warrant Instruction List

NEW **AMEND** DELETE AUTHORISE Records 200

<input type="checkbox"/>	Reference	Id	Status	Warrants	User	WH Agent	Created	Completed
<input checked="" type="checkbox"/>		204873	Unauthorised Create	4	DELTHCA			
<input type="checkbox"/>		204872	Completed	5	DELTHCA			



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

1 unread message (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 0 Lodge, 0 Withdrawal, 0 Rent Endorsement, 1 Pre

Amend Premium Warrant Instruction

SAVE CANCEL

DETAILS WARRANTS (4) COMMENTS (0)

Id 201072

Reference * 10141

Warehouse Agent * ES&L - C. (Insurance) Ltd

Save the instruction

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

15.7.3 Delete an Instruction

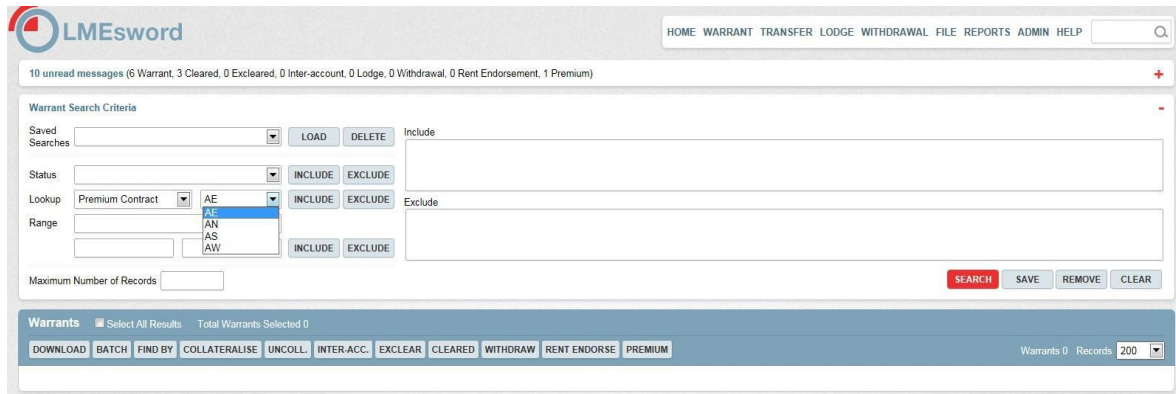
You will only be able to delete an instruction in the follow status

- Unauthorised Created
- Authorised Created
- Unauthorised Accepted



15.8 How to search for a premium warrant

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

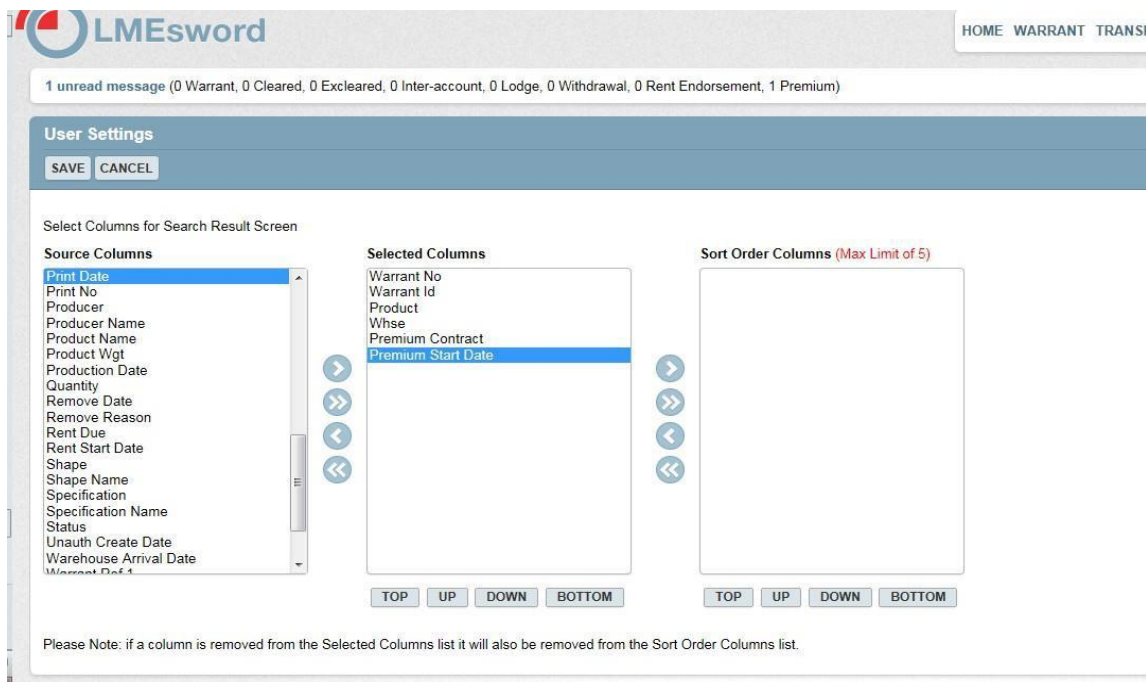


You may need to add Premium warrants to your search results screen.

Navigate to 'Settings'



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



Select Save and return to your search screen

Warrant No	Warrant Id	Product	Whee	Premium Contract	Premium Start Date
AA0000	99000	AH	2630	AW	
AA0001	99001	AH	2630	AW	
AA0002	99002	AH	2630	AW	
AA0003	99003	AH	2630	AW	
AA0004	99004	AH	2630	AW	
AA0005	99005	AH	2630	AW	
AA0006	99006	AH	2630	AW	
AA0007	99007	AH	2630	AW	
AA0008	99008	AH	2630	AW	
AA0009	99009	AH	2630	AW	
AA0010	99010	AH	2630	AW	

15.9 How to transfer Premium Warrants

15.9.1 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

Warrant No.	Warrant Id	Notes	Product	Source Account	Rent Due	Net Weight	Is Premium	Premium Contract
AA000006	990006		AH		994.50	24992		
AA000005	990005		AH		994.50	25016		
AA000003	990003		AH		994.50	24916		
AA000008	990008		AH		998.00	25147	✓	AW
AA000028	990028		AH		998.00	25110	✓	AW

15.9.2 Cleared Transfers

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

Reference	Id	Status	Warrants	Prompt	Contract	Is Premium	Acc.	Giver	Taker	Created	Completed
2015003A00	204875	Unauthorised Create	3		AH		H	Deutsche Bank A.	LME Clear Opera...		
2015003A0C	204876	Unauthorised Create	5		AH		C	Deutsche Bank A.	LME Clear Opera...		
2015003A0E	204878	Unauthorised Create	25		AE	✓	C	Deutsche Bank A.	LME Clear Opera...		

Member	Sub Account	Contract	Starting Commitment	Adjusted Commitment	Unauthorised Nominated	Authorised Nominated	Collected	Starting Entitlement	Adjusted Entitlement	Total Allocated	To Be Allocated	Partially Delivered	Delivered Warrants
DBL	C	AE	25		0	0	0						
DBL	H	AH	3		0	0	0						
DBL	C	AH	5		0	0	0						
DBL	C	CA						25		0	0	0	0
DBL	H	AE						15		0	0	0	0
DBL	C	AE						10		0	0	0	0
Total			33		0	0	0	50		0	0	0	0



15.9.3 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

1 unread message (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 0 Lodge, 0 Withdrawal, 0 Rent Endorsement, 1 Premium)

Create Inter-account Transfer Instruction

SAVE CANCEL REMOVE REMOVE INVALID REVALIDATE FROM SEARCH FROM BATCH UPLOAD FIND BY

Warrant No.	Warrant Id	Notes	Product	Source Account	Is Premium	Premium Contract
AA950568	950568		AH	\$16323	✓	AW
AA993386	999386		AH	\$16323		
AA965565	965565		AH	\$16323		
AA855528	855528		AH	\$16323	✓	AW

LMEsword - E2ED - Ver 1.6.1

15.10 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.

Amend Rent Endorsement

SAVE CANCEL REMOVE REMOVE INVALID REVALIDATE FROM SEARCH FROM BATCH UPLOAD FIND BY REPORT

Warrant No.	Warrant Id	Notes	Product	Warehouse Company	Location	Rent From	Not Endorsed	Rent to Target (\$)	Is Premium	Premium Contract
AA878274	878274		AH	1. The Netherlands	Rotterdam	1/1/2014		5,856.75	✓	AW
AA870990	870990		AH	1. The Netherlands	Rotterdam	1/1/2014		5,856.75	✓	AW



15.11 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

WRTID			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

WRTPD			4									
AA950568	ROTT	950568	AH	SAOALC	ING	20150521	1014.25	USD	25147	25147	KG	
AA960715	ROTT	960715	AH	SAOALC	ING	20150521	1007.25	USD	25073	25073	KG	
AA996816	ROTT	996816	AH	SAOALC	ING	20150521	1007.25	USD	25110	25110	KG	
AA855528	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

WRTFD			4											
AA950568	ROTT	950568	AH	SAOALC	ING	20150521	1014.25	USD	25147	25147	KG	BR	2630	91744
AA960715	ROTT	960715	AH	SAOALC	ING	20150521	1007.25	USD	25073	25073	KG	BR	2630	91744
AA996816	ROTT	996816	AH	SAOALC	ING	20150521	1007.25	USD	25110	25110	KG	BR	2630	91744
AA855528	ROTT	855528	AH	RUSALB	TBAR	20150521	1014.25	USD	25110	25110	KG	RU	2630	82753



15.12 Removing a Premium warrant

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

15.13 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.

Warrant No.	Warrant Id	Notes	Product	Warehouse Company	Location	Rent From	Not Endorsed	Rent to Target (\$)	Is Premium	Premium Contract
AA878274	878274		AH	Rotterdam	Rotterdam			5,856.75	✓	AW
AA870990	870990		AH	Rotterdam	Rotterdam			5,856.75	✓	AW

15.14 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

```

WRTID      4
AA878274   ROTT      878274
AA950568   ROTT      950568
AA960715   ROTT      960715
AA967693   ROTT      967693
    
```

Level 2 – Upload format

The premium warrants will have the underlying product code

```

WRTPD      4
AA950568   ROTT      950568   AH   SAOALC   ING   20150521   1014.25   USD   25147   25147   KG
AA960715   ROTT      960715   AH   SAOALC   ING   20150521   1007.25   USD   25073   25073   KG
AA996816   ROTT      996816   AH   SAOALC   ING   20150521   1007.25   USD   25110   25110   KG
AA855528   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

WRTFD		4												
AA950568	ROTT	950568	AH	SAOALC	ING	20150521	1014.25	USD	25147	25147	KG	BR	2630	91744
AA960715	ROTT	960715	AH	SAOALC	ING	20150521	1007.25	USD	25073	25073	KG	BR	2630	91744
AA996816	ROTT	996816	AH	SAOALC	ING	20150521	1007.25	USD	25110	25110	KG	BR	2630	91744
AA855528	ROTT	855528	AH	RUSALB	TBAR	20150521	1014.25	USD	25110	25110	KG	RU	2630	82753

15.15 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.

15.16 Cancelling Premium Warrant files

15.16.1 Creating separate Batches

Search for Premium warrants

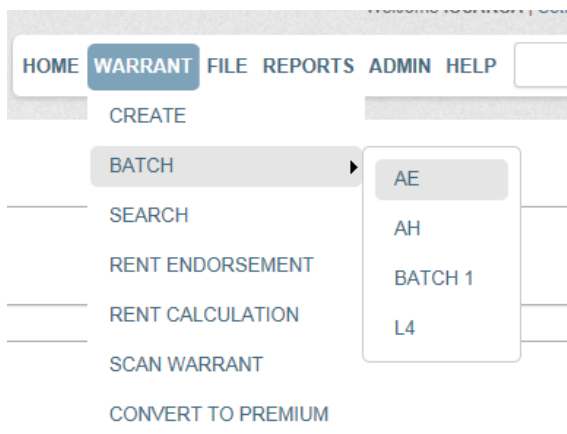
Select warrants > Select Batch

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.



Cancel the warrants from within the batch screens



Warrant Batch - AE Process all in Batch Total Warrants Selected 3

DELETE CLEAR DOWNLOAD AUTHORISE AMEND RE-ISSUE **CANCEL** REMOVE PRINT UPLOAD FIND BY RENT ENDORSE

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	Is Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	Is Suspended		
✓	123613	236309	AH	BUSA			BBY	TBAR		adfsdfv	25000	25000		AU		Authorised Printed								
✓	123613	236309	AH	BUSA			BBY	TBAR		adfsdfv	25000	25000		AU		Authorised Printed								
✓	123617	236307	AH	BUSA			BBY	TBAR		adfsdfv	25000	25000		AU		Authorised Printed								

Warrant Batch - AH Process all in Batch Total Warrants Selected 3

DELETE CLEAR DOWNLOAD AUTHORISE AMEND RE-ISSUE **CANCEL** REMOVE PRINT UPLOAD FIND BY RENT ENDORSE

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	Is Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	Is Suspended			
✓	1663	236429	AH	BUSA			ALMA	TBAR		12	25000	25000		CA		Authorised Printed									
✓	1663	236428	AH	BUSA			ALMA	TBAR		12	25000	25000		CA		Authorised Printed									
✓	1667	236427	AH	BUSA			ALMA	TBAR		12	25000	25000		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.

Warrant Batch - AE Process all in Batch Total Warrants Selected 3

DELETE CLEAR **DOWNLOAD** AUTHORISE AMEND RE-ISSUE CANCEL REMOVE PRINT UPLOAD FIND BY RENT ENDORSE

CONFIRMATION Warrants authorised successfully

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	Is Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	Is Suspended			
✓			AH	BUSA			BBY	TBAR		adfsdfv	25000	25000		AU		Authorised Cancelled									
✓			AH	BUSA			BBY	TBAR		adfsdfv	25000	25000		AU		Authorised Cancelled									
✓			AH	BUSA			BBY	TBAR		adfsdfv	25000	25000		AU		Authorised Cancelled									

Warrant Batch - AH Process all in Batch Total Warrants Selected 3

DELETE CLEAR **DOWNLOAD** AUTHORISE AMEND RE-ISSUE CANCEL REMOVE PRINT UPLOAD FIND BY RENT ENDORSE

CONFIRMATION Warrants authorised successfully

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	Is Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	Is Suspended				
✓	1663	236429	AH	BUSA			ALMA	TBAR		12	25000	25000		CA		Authorised Cancelled										
✓	1663	236428	AH	BUSA			ALMA	TBAR		12	25000	25000		CA		Authorised Cancelled										
✓	1667	236427	AH	BUSA			ALMA	TBAR		12	25000	25000		CA		Authorised Cancelled										

15.16.2 Download Files

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

Authorised cancellation as normal.



Cancel Warrant

BACK CLEAR SAVE

INFORMATION The following Warrants have been selected for cancelling. Optionally enter some Notes below and then click on the Save button.

Warrant Id	Product Code	Warrant Number	Warehouse Company	Warehouse Location	Brand Status	Status	Premium	Premium Contract
2398236	AH	2398236	ALBA	Busan		Authorised Printed	✓	AE
2398236	AH	2398236	ALBA	Busan		Authorised Printed	✓	AE
2398236	AH	2398236	ALBA	Busan		Authorised Printed	✓	AE
2398236	AH	2398236	ALBA	Busan		Authorised Printed		
2398236	AH	2398236	ALBA	Busan		Authorised Printed		
2398236	AH	2398236	ALBA	Busan		Authorised Printed		

Notes

LMEsword - Member Test B

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

Warrant Search Criteria (Filtered)

Saved Searches LOAD DELETE

Status INCLUDE EXCLUDE

Lookup INCLUDE EXCLUDE

Range INCLUDE EXCLUDE

Maximum Number of Records

Include
Cancel Date From

Exclude
Premium Contract AE

SEARCH SAVE REMOVE CLEAR

Warrants Select All Items Total Warrants Selected 9

NEW DOWNLOAD AUTHORISE DELETE AMEND PRINT CANCEL REMOVE RE-ISSUE BATCH FIND BY RENT ENDORSE

Warrant No	Warrant Id	Product	Whse Co	Location	Whse Name	Whse	Brand	Shape	Specification	Quantity	Net Wgt	Gross Wgt	Reet Start Date	Country Of Origin	Old Warrant No	Status	Is Lodged	Cancel Date	Remove Date	Remove Reason	Unauth Create Date	Is Susp
<input type="checkbox"/>	2398236	AH	BUSA				ALBA	ING		25	25000	25000		EH		Authorised Cancelled						
<input type="checkbox"/>	2398234	AH	BUSA				ALBA	ING		25	25000	25000		EH		Authorised Cancelled						
<input type="checkbox"/>	2398233	AH	BUSA				ALBA	ING		25	25000	25000		EH		Authorised Cancelled						

LMEsword - Member Test B



Download the file

Navigate to search with Cancellation Date and include premium AE

The screenshot shows the LMEsword application interface. At the top, there is a navigation bar with 'HOME WARRANT FILE REPORTS ADMIN HELP' and a search icon. Below this is the 'Warrant Search Criteria (Filtered)' section, which includes fields for 'Saved Searches', 'Status', 'Lookup', and 'Range', each with 'INCLUDE' and 'EXCLUDE' buttons. There are also 'LOAD' and 'DELETE' buttons. A search criteria box contains 'Premium Contract : AE' and 'Cancel Date : From'. A 'SEARCH' button is highlighted in red. Below the search criteria is a 'Warrants' section with a toolbar containing buttons: 'NEW', 'DOWNLOAD' (circled in red), 'AUTHORISE', 'DELETE', 'AMEND', 'PRINT', 'CANCEL', 'REMOVE', 'RE-ISSUE', 'BATCH', 'FIND BY', and 'RENT ENDORSE'. Below the toolbar is a table with the following columns: 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, Is Lodged, Cancel Date, Remove Date, Remove Reason, and Unauth Create Date. The table contains five rows of data, all with a status of 'Authorised Cancelled'.

Download the file



16 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.

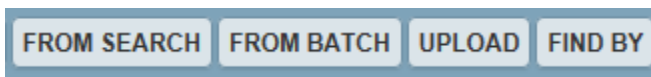
16.3 Rent Endorsement Process (Rent Paid)

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;

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.

16.4 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 * (dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for

Total Rent (\$) The amount of rent due for the selected Warrants, up to and including the target date

User enters warrants in the warrant tab;

Rent Calculation

REPORT

CONFIRMATION Warrants revalidated

DETAILS WARRANTS (2)

Target Date * (dd/mm/yyyy) The date, up to and including, that the rent payment amount is to be calculated for

Total Rent (\$) 1,327.50 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

Rent Calculation By Account

Rent Calculation By Agent

16.5 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 Endorsement

SAVE
CANCEL
REPORT

DETAILS

WARRANTS (5)

COMMENTS (0)

Id	125266
Reference	* <input type="text" value="125266"/>
Warehouse Agent	* <input type="text" value="125266"/> <input type="button" value="..."/>
Warehouse Company	* <input type="text" value="Warehouse Company (London & Co. PLC)"/> <input type="button" value="..."/>
Target Date	* <input type="text" value="30/06/2018"/> (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

Below is an example of the Rent Due by Agent Report

Reports - Windows Internet Explorer
 https://10.138.246.54/LMEsword/Reporting/DialogReportViewer.aspx

LMEsword **Rent Due By Agent** Date Printed: [] [] [] [] [] []
International Commodity Services Ltd Time Printed: [] [] [] []

Hamburg Group GmbH & Co KG

Hamburg

Copper

Warrant Number	Warrant Id	Rent From Date	Rent End Date	Duration (days)	Rent Rate (\$)	Rent Due (\$)
1819602	1819602	18-08-2013	18-02-2014	652	0.4100	6683.0000
1819603	1819603	18-08-2013	18-02-2014	652	0.4100	6683.0000
1819604	1819604	18-08-2013	18-02-2014	652	0.4100	6683.0000
1819609	1819609	18-08-2013	18-02-2014	652	0.4100	6683.0000
1819610	1819610	18-08-2013	18-02-2014	652	0.4100	6683.0000
Product Total						33415.0000
Location Total						33415.0000
Warehouse Company Total						33415.0000
Warehouse Agent Total						33415.0000



16.6 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.

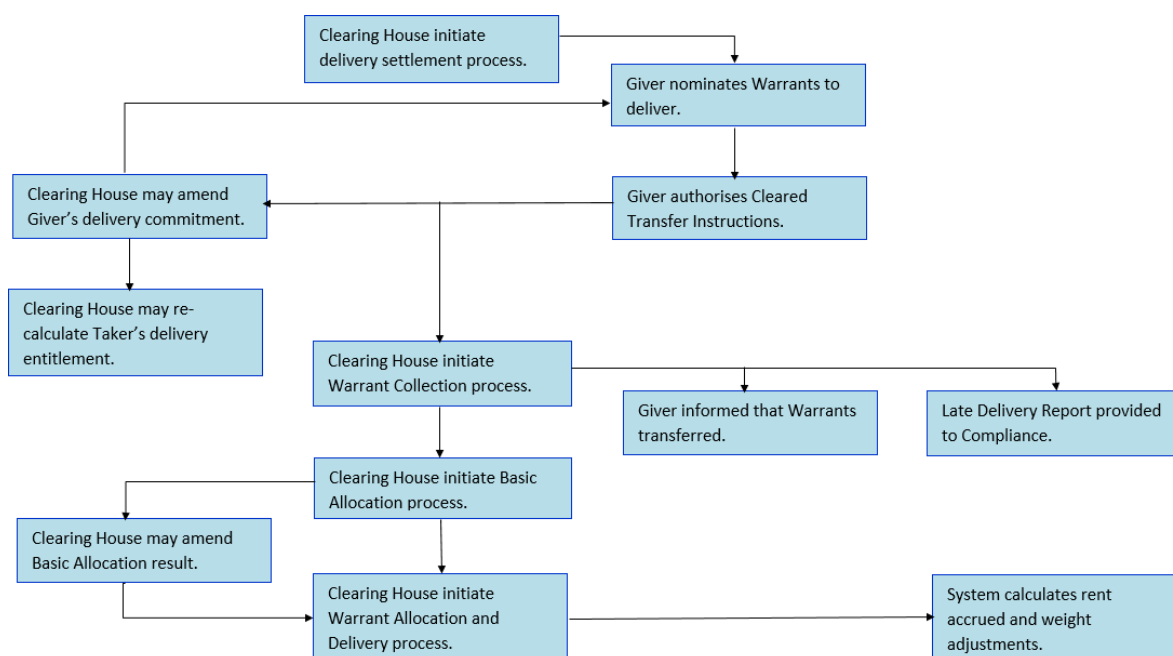
The reference field will automatically populate with the Warehouse Company name, this can be changed by amending the instruction.

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

17 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.

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.

17.3 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.

18 Collateralising 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.

18.3 Adding the Collateralised Column

Select Settings;



Select 'Is Collateralised' from the source column;

User Settings

SAVE CANCEL

Select Columns for Search Result Screen

<p>Source Columns</p> <div style="border: 1px solid #ccc; padding: 5px; min-height: 200px;"> <ul style="list-style-type: none"> Amendment Date Brand Name Cancel Date Cert Of Analysis Country Of Origin Create Date Create Username Creation Type FTZ No <li style="border: 2px solid red;">Is Collateralised Is Lodged Is Suspended Issuing Member Issuing Member Name Location Old Warrant No Org Print Date Package Type </div>	<p>Selected Columns</p> <div style="border: 1px solid #ccc; padding: 5px; min-height: 200px;"> <ul style="list-style-type: none"> 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 </div>	<p>Sort Order Columns (Max Limit of 5)</p> <div style="border: 1px solid #ccc; padding: 5px; min-height: 200px;"> <!-- Empty list --> </div>
<p>> >> << <</p>	<p>> >> << <</p>	<p>> >> << <</p>
<p>TOP UP DOWN BOTTOM</p>	<p>TOP UP DOWN BOTTOM</p>	<p>TOP UP DOWN BOTTOM</p>

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



Move selection to Selected Column using arrows;

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 Lodged
- Is Suspended
- Issuing Member
- Issuing Member Name
- Location
- Old Warrant No
- Org Print Date
- Package Type
- Packing List Date and Number

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
- Account Name
- Rent Start Date
- Participant

Sort Order Columns (Max Limit of 5)

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.

Select Save;

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

Warrant Search Criteria

Saved Searches: LOAD DELETE

Status: INCLUDE EXCLUDE

Lookup: INCLUDE EXCLUDE

Range: INCLUDE EXCLUDE

SEARCH SAVE REMOVE CLEAR

Maximum Number of Records:

Warrants Select All Results Total Warrants Selected 0

DOWNLOAD
BATCH
FIND BY
COLLATERALISE
UNCOLL.
INTER-ACC.
EXCLEAR
CLEAR
WITHDRAW
RENT ENDORSE

Warrants 39866 Records 200 Page 1

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
00000	170000	001		001	001	001	001	001	001	001	001	001	001	001	001	001
00000	170000	001		001	001	001	001	001	001	001	001	001	001	001	001	001
00000	170000	001		001	001	001	001	001	001	001	001	001	001	001	001	001
00000	170000	001		001	001	001	001	001	001	001	001	001	001	001	001	001



18.4 Marking Warrants as Collateralised from Search

Navigate to search screen;

Perform a search;

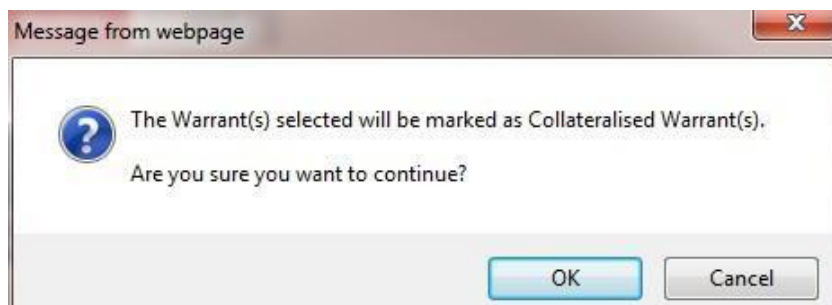
Select warrants;

Select Collateralise;

The screenshot shows the 'Warrant Search Criteria (Filtered)' interface with search filters and a table of warrants. The 'COLLATERALISE' button in the table toolbar is circled in red. In the table below, several rows are selected with checkboxes, and the 'COLLATERALISE' button is also circled in red.

Warrant No	Warrant Id	Is Collateralised	Whse Co Name	Location	Product	Net Wgt	Brand	Shape	Rent Start Date	Rent Due	Specification	Not Endorsed	Quantity	Production Date
<input type="checkbox"/>	71417		Metro International Trade Services (UK) Ltd	BUSA	CA	25421	REC	CATH	01/01/2014	-3392.75			13 Bundles	
<input checked="" type="checkbox"/>	71416		Metro International Trade Services (UK) Ltd	BUSA	CA	24582	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input checked="" type="checkbox"/>	71415		Metro International Trade Services (UK) Ltd	BUSA	CA	25372	REC	CATH	01/01/2014	-3392.75			13 Bundles	
<input checked="" type="checkbox"/>	71414		Metro International Trade Services (UK) Ltd	BUSA	CA	24550	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input checked="" type="checkbox"/>	71413		Metro International Trade Services (UK) Ltd	BUSA	CA	24613	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input type="checkbox"/>	71412		Metro International Trade Services (UK) Ltd	BUSA	CA	25226	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input checked="" type="checkbox"/>	71411		Metro International Trade Services (UK) Ltd	BUSA	CA	25306	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input checked="" type="checkbox"/>	71410		Metro International Trade Services (UK) Ltd	BUSA	CA	24811	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input checked="" type="checkbox"/>	71409		Metro International Trade Services (UK) Ltd	BUSA	CA	24592	REC	CATH	01/01/2014	-3392.75			12 Bundles	
<input type="checkbox"/>	71408		Metro International Trade Services (UK) Ltd	BUSA	CA	24886	REC	CATH	01/01/2014	-3392.75			12 Bundles	

Pop up appears for confirmation;



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

Warrant No	Warrant Id	Is Collateralised	Whse Co Name	Location	Product	Net Wgt	Brand	Shape	Rent Start Date	Rent Due	Specification	Not Endorsed	Quantity	Production Date
71409	178499	✓	Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	
71410	178499	✓	Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	
71411	178499	✓	Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	
71414	178499	✓	Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	
71415	178499	✓	Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	
71416	178499	✓	Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	
71417	178499		Metco International Trade Services (UK) Ltd	260504	124	24000	9802	124574	20110101	2012-12			1200000	

18.5 Marking Warrants as Collateralised from Batch

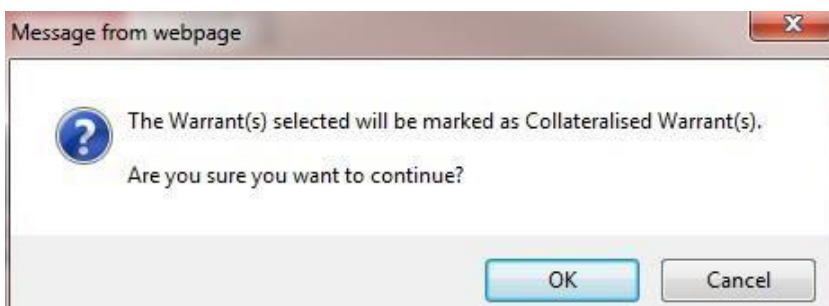
Navigate to a batch;

Select warrants;

Select Collateralise;

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	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111531	178499	124	<input checked="" type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111516	178499	124	<input checked="" type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111510	178499	124	<input checked="" type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111494	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111493	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111492	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111491	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111495	178499	124	<input type="checkbox"/>	1221	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111480	178499	124	<input checked="" type="checkbox"/>	1221	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111462	178499	124	<input checked="" type="checkbox"/>	1221	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111461	178499	124	<input checked="" type="checkbox"/>	1221	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111460	178499	124	<input type="checkbox"/>	1221	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111418	178499	124	<input type="checkbox"/>	1221	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111392	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111348	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124
111341	178499	124	<input type="checkbox"/>	1784	184029	9802	9802	24000	24000	Warehouse	2012-12		BP Finance Ltd	BP Finance Ltd	20110101	124

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 Process all in Batch Total Warrants Selected 0

DELETE CLEAR DOWNLOAD UPLOAD FIND BY COLLATERALISE UNCOLL INTER-ACC EXCLEAR CLEARED WITHDRAW RENT ENDORSE Warrants 17 Records 200

CONFIRMATION 6 Warrants marked as Collateralised Warrant(s) successfully.

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
<input type="checkbox"/>	111461	1748100	750	✓	1221	1440750	80750	800	20110	20110	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111462	1748107	750	✓	1221	1440750	80750	800	20102	20102	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111480	1748105	750	✓	1221	1440750	80750	800	20140	20140	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111516	1748224	750	✓	1700	1440750	80750	800	20470	20470	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111531	1748225	750	✓	1700	1440750	80750	800	20440	20440	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111532	1748220	750	✓	1700	1440750	80750	800	20420	20420	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111510	1748216	750		1700	1440750	80750	800	20280	20280	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111494	1748211	750		1700	1440750	80750	800	20260	20260	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111493	1748210	750		1700	1440750	80750	800	20250	20250	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111492	1748209	750		1700	1440750	80750	800	20400	20400	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111491	1748208	750		1700	1440750	80750	800	20390	20390	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111495	1748198	750		1221	1440750	80750	800	20270	20270	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111460	1748150	750		1221	1440750	80750	800	20200	20200	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111418	1748080	750		1221	1440750	80750	800	20020	20020	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111392	1748017	750		1700	1440750	80750	800	20440	20440	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000

18.6 Removing Collateralised Flag

Perform a search;

Select warrants that are collateralised;

Select Uncoll;

Warrant Search Criteria (Filtered)

Saved Searches LOAD DELETE

Status INCLUDE EXCLUDE

Lookup INCLUDE EXCLUDE

Range INCLUDE EXCLUDE

Include: Status: Collateralised

Exclude:

SEARCH SAVE REMOVE CLEAR

Maximum Number of Records

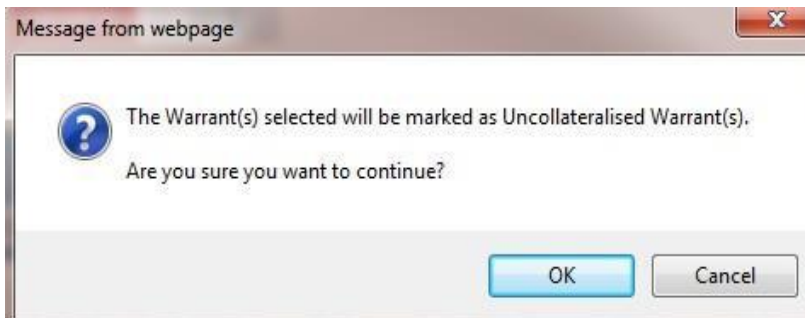
Warrants Select All Results Total Warrants Selected 3

DOWNLOAD BATCH FIND BY COLLATERALISE UNCOLL INTER-ACC EXCLEAR CLEARED WITHDRAW RENT ENDORSE Warrants 15 Records 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
<input checked="" type="checkbox"/>	111461	1748100	750	✓	1221	1440750	80750	800	20110	20110	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input checked="" type="checkbox"/>	111462	1748107	750	✓	1221	1440750	80750	800	20102	20102	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input checked="" type="checkbox"/>	111480	1748105	750	✓	1221	1440750	80750	800	20140	20140	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111516	1748224	750	✓	1700	1440750	80750	800	20470	20470	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111531	1748225	750	✓	1700	1440750	80750	800	20440	20440	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	111532	1748220	750	✓	1700	1440750	80750	800	20420	20420	Wagon	1500%	84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	71409	1748480	100	✓	7100	1401750	800	10070	10070	Beam	1500%		84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	71410	1748481	100	✓	7100	1401750	800	10071	10071	Beam	1500%		84P7480001	84P7480001	01/01/2014	000
<input type="checkbox"/>	71411	1748482	100	✓	7100	1401750	800	10070	10070	Beam	1500%		84P7480001	84P7480001	01/01/2014	000



Pop up appears for confirmation.



19 Reporting

Select Reports > Reports Menu from the main screen;

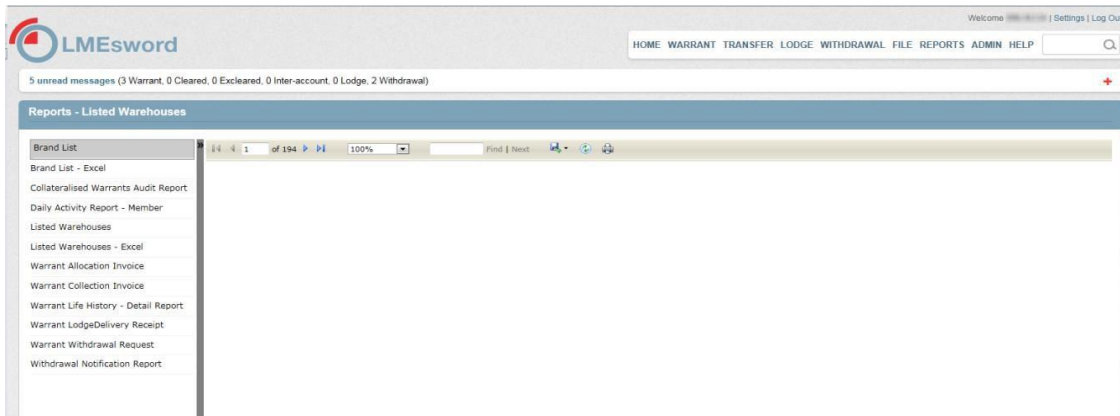
The reports screen appears with a list of all the reports available to you;

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;
- 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

20 Warrants



Warrant Menu view dependent on your defined system access.

20.3 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.

20.4 Downloading Warrants

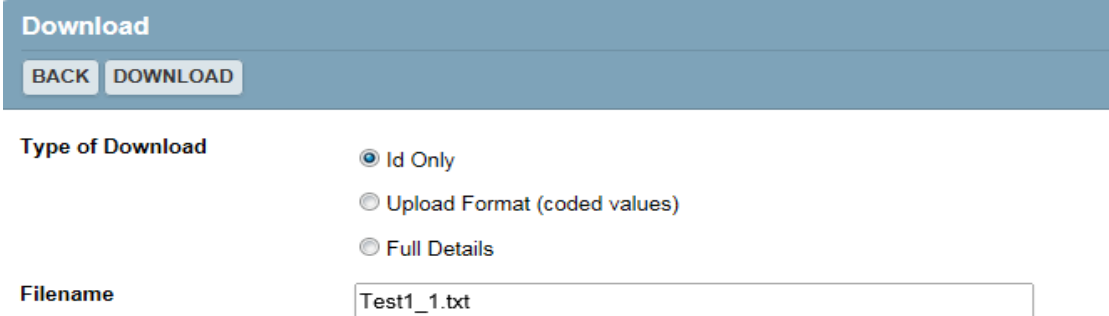
Warrants can be downloaded from the warrant search screen or the batch screen. The three download types remain:

- 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

Id Only

Upload Format (coded values)

Full Details

Filename

Test1_1.txt

Select type;

- i. **ID Only** – Provides the User with a file with warrant IDs 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 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;

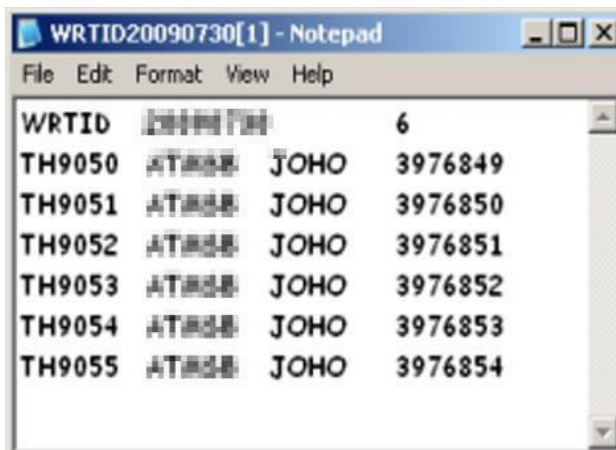
The following file download dialogue box will open;





Select the Open button;

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



Save the file locally in .txt format.



21 Search Functionality

21.3 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.

21.4 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*).

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.

21.5 Including and Excluding Search Criteria

Warrant Search Criteria

Saved Searches LOAD DELETE

Status INCLUDE EXCLUDE

Lookup INCLUDE EXCLUDE

Range INCLUDE EXCLUDE

Include

Exclude

SEARCH SAVE REMOVE CLEAR

Maximum Number of Records

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

Status INCLUDE EXCLUDE

Lookup INCLUDE EXCLUDE

Range INCLUDE EXCLUDE

Maximum Number of Records

Include
Product : AH

Exclude
Warehouse Company : FLBART

SEARCH SAVE REMOVE CLEAR

Warrants Select All Results Total Warrants Selected 0

DOWNLOAD BATCH FIND BY COLLATERALISE UNCOLL INTER.ACC. EXCLEAR CLEARED WITHDRAW RENT ENDORSE Warrants Records 200 Page 1

<input type="checkbox"/>	Warrant No	Warrant Id	Rent Due	Rent Start Date	Location	Net Wgt	Is Collateralised
<input type="checkbox"/>	123456	123456	123456	123456	1234	1234	
<input type="checkbox"/>	123457	123457	123457	123457	1234	1234	

21.6 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 Search Criteria

Saved Searches LOAD DELETE

Status INCLUDE EXCLUDE

Lookup ABRA - ABRA INCLUDE EXCLUDE

Range INCLUDE EXCLUDE

Maximum Number of Records

Include
Product : CA

Exclude
Brand : ABRA

SEARCH SAVE REMOVE CLEAR

A pop up will appear;

Save Search Criteria

Search Criteria

Name *

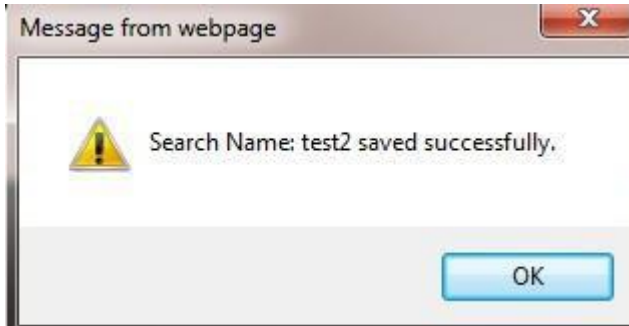
SAVE CANCEL

Enter a name;



Select Save;

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



21.7 Overwriting a saved search name

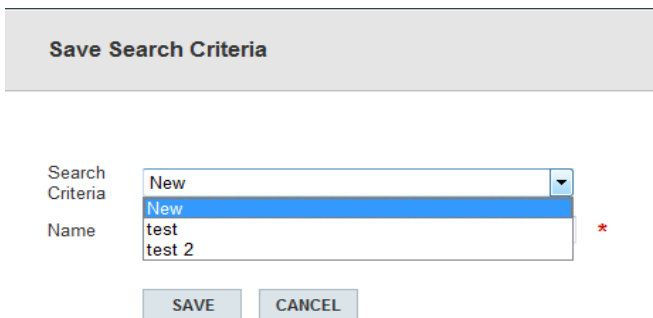
Navigate to the search screen;

Enter Criteria into the search screen;

Select Save;

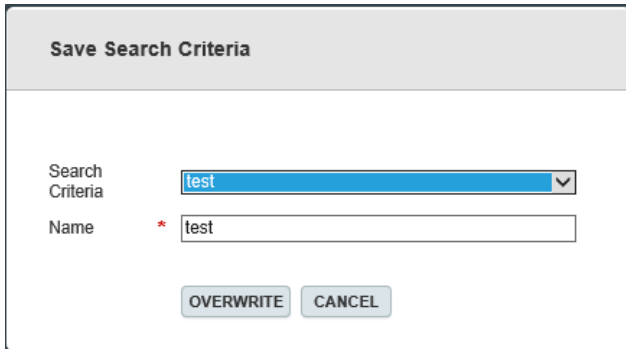
A pop up will appear;

Use the drop down to select an existing named search;



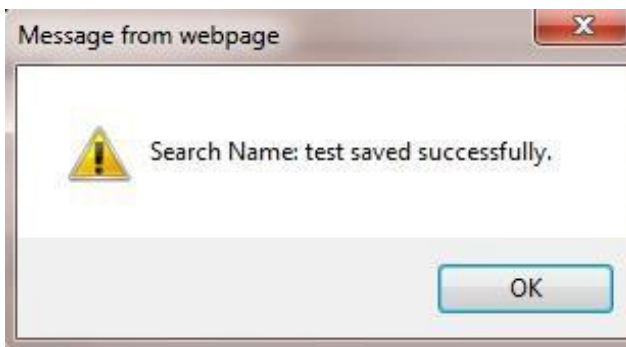
Select overwrite;





The dialog box is titled "Save Search Criteria". It contains two input fields: "Search Criteria" with a dropdown menu showing "test" and "Name" with a text box containing "test". There are two buttons at the bottom: "OVERWRITE" and "CANCEL".

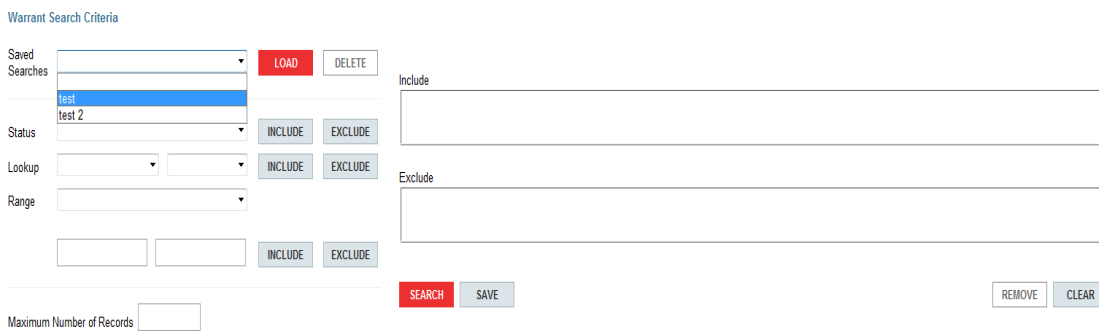
You will then receive a confirmation message.



21.8 Load saved searches

Navigate to search screen;

Select a saved search from the drop down menu;



The search screen is titled "Warrant Search Criteria". It includes a "Saved Searches" dropdown menu with "test" and "test 2" options, a "LOAD" button, and a "DELETE" button. Below this are "Status", "Lookup", and "Range" dropdown menus, each with "INCLUDE" and "EXCLUDE" buttons. On the right, there are "Include" and "Exclude" text input fields. At the bottom, there are "SEARCH", "SAVE", "REMOVE", and "CLEAR" buttons, and a "Maximum Number of Records" input field.

Select Load;



Warrant Search Criteria (Filtered)

Saved Searches: test LOAD DELETE

Status: INCLUDE EXCLUDE

Lookup: INCLUDE EXCLUDE

Range: INCLUDE EXCLUDE

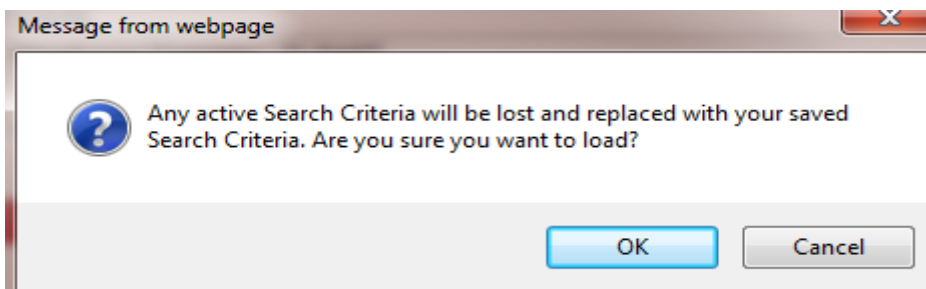
Include: Product : AH

Exclude: Location : Detroit

SEARCH SAVE REMOVE CLEAR

Maximum Number of Records:

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



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

Select Search.

21.9 Deleting Saved Searches

Navigate to search screen;

Select a saved search from the drop down menu;

Select Delete;

Warrant Search Criteria (Filtered)

Saved Searches: test LOAD DELETE

Status: INCLUDE EXCLUDE

Lookup: INCLUDE EXCLUDE

Range: INCLUDE EXCLUDE

Include: Product : AH

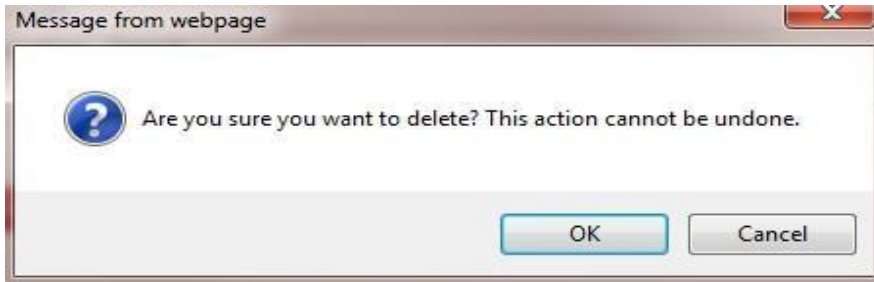
Exclude: Location : Detroit

SEARCH SAVE REMOVE CLEAR

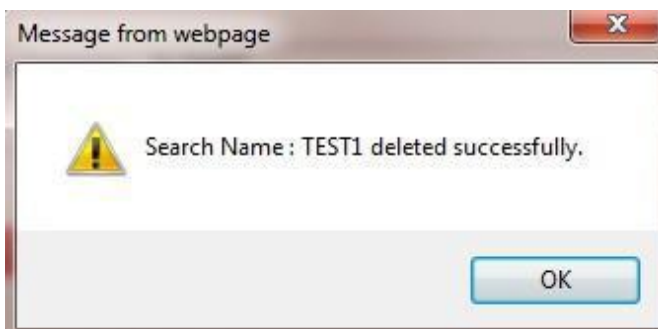
Maximum Number of Records:



A pop up will appear asking for confirmation;

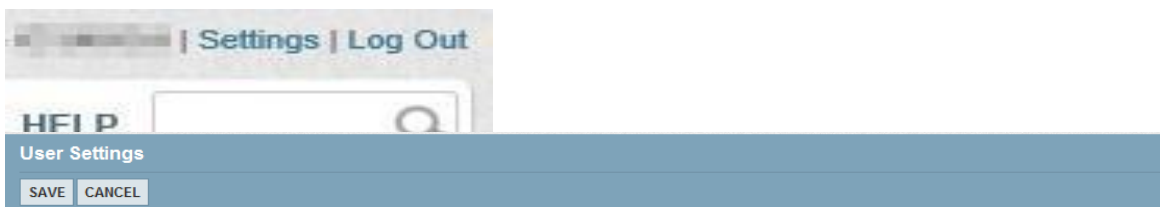


Confirmation saved search has been deleted.



21.10 Applying a sort order to search results

Select Settings;



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 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	
	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.



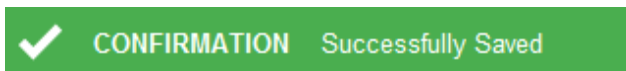
Select an item(s) from ‘selected columns’;

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.



21.11 Warrant Selection Counter

Navigate to search screen;

Enter a search criteria;

Select Search;

Select warrants;

‘Total Warrants Selected’ will display number of warrants selected.

Warrant Search Criteria (Filtered)

Include
 Product : PB
 Brand : BERA

Exclude

Maximum Number of Records

Warrants **Total Warrants Selected 6**

Warrants 17 Records 200

<input type="checkbox"/>	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
<input checked="" type="checkbox"/>	11100	116000	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input checked="" type="checkbox"/>	11101	116010	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11102	116020	PB		010	00000	BERA	SC	2010	2010	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11103	116030	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input checked="" type="checkbox"/>	11104	116040	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input checked="" type="checkbox"/>	11105	116050	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input checked="" type="checkbox"/>	11106	116060	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11107	116070	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11108	116080	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11109	116090	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11110	116100	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11111	116110	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000
<input type="checkbox"/>	11112	116120	PB		010	00000	BERA	SC	2000	2000	Warehouse	75.00	<input checked="" type="checkbox"/>	001000001	0010000000001	20110001	000



21.12 Using search in Instructions

Create a new instruction;

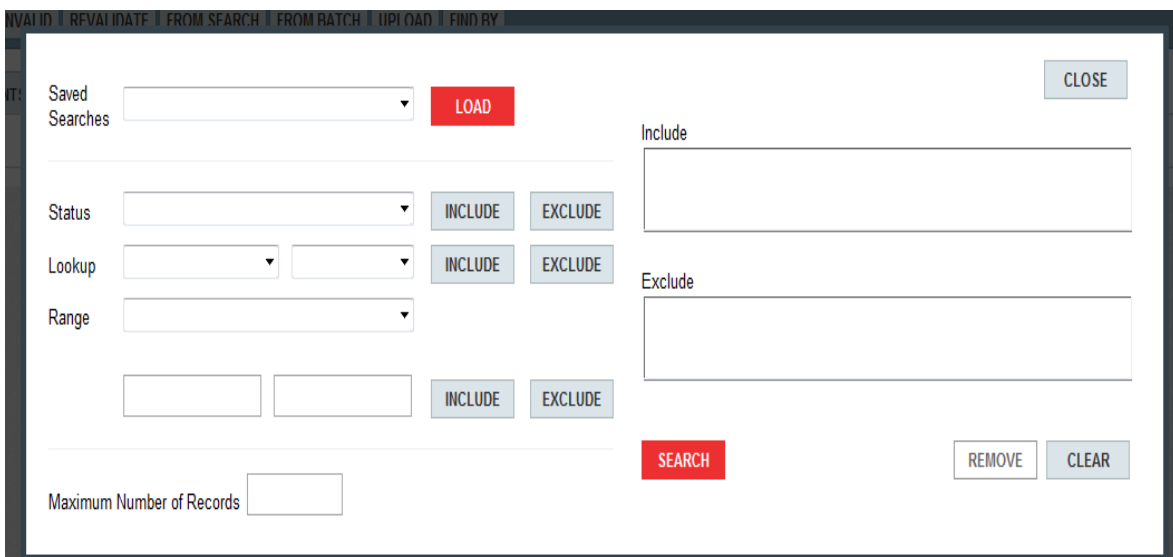
Complete the details tab of instruction;

Navigate to warrants tab within the instruction;



Select From Search;

A pop up will appear with the search functionality;



Complete the criteria;

Select Search;

Select warrants;

Select Transfer;



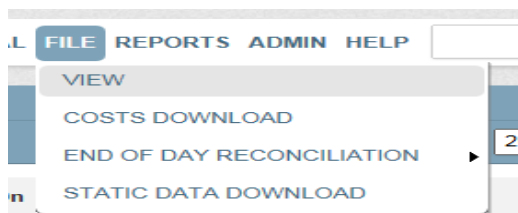
Warrant No	Warrant Id	Product	Whse	Whse Co	Brand	Shape	Gross Wgt	Net Wgt	Location Name	Rent Due	Not Endorsed	Account	Account Name	Rent Start Date	Participant
...

Save instruction.

22 File Management

22.3 Downloads

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



File Management

USER VIEW: OFF | DELETE | UPLOAD | RESTART | REFRESH | SEARCH Records 200

Log File	File	Type	File Name	Status	Message	Upload	Started On	Completed On	Created By	Created On
	View...	Download Warrant (level 2)	5_WarrantDownload.bt	Completed	Finished Processing		2013-11-14 12:00	2013-11-14 12:00	...	2013-11-14 12:00
	View...	Download Warrant Id (level 1)	21_WarrantDownload.bt	Completed	Finished Processing		2013-11-14 12:00	2013-11-14 12:00	...	2013-11-14 12:00
	View...	Static Data Download - Brand	BRAND20130806.bt	Completed	Finished Processing		2013-11-14 12:00	2013-11-14 12:00	...	2013-11-14 12:00
	View...	Download Warrant Full Details (level 3)	COUNTER_194.bt	Completed	Finished Processing		2013-11-14 12:00	2013-11-14 12:00	...	2013-11-14 12:00
	View...	Download Warrant Id (level 1)	3_WarrantDownload.bt	Completed	Finished Processing		2013-11-14 12:00	2013-11-14 12:00	...	2013-11-14 12:00



22.4 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;

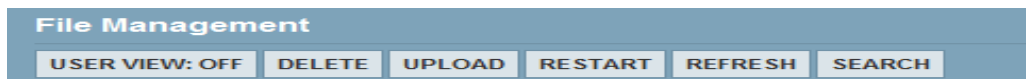
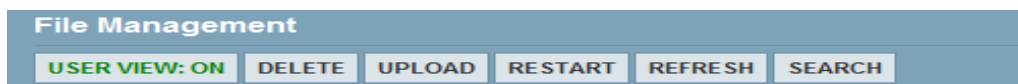
Select Download;

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.

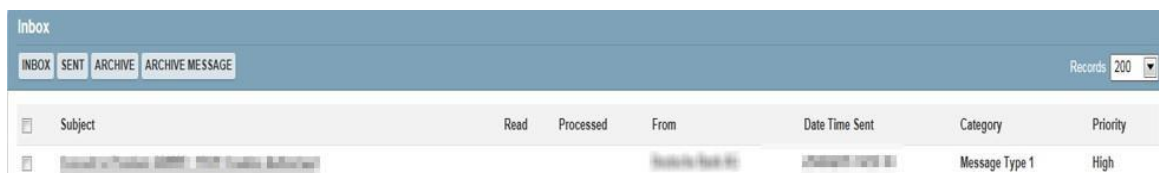


23 Premium Warrants for London Agent

23.3 How to convert to a premium

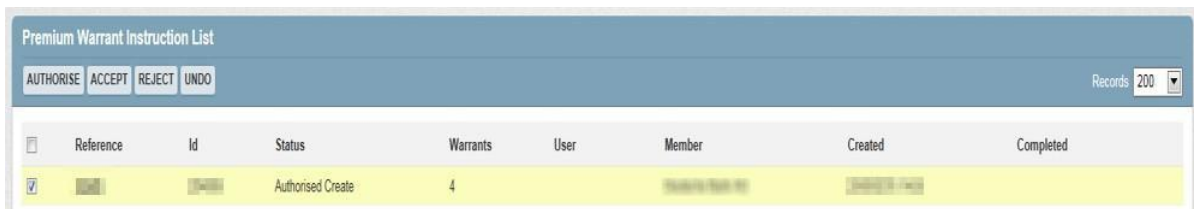
23.3.1 Message

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





Selecting the hyperlink will take you to the instruction.



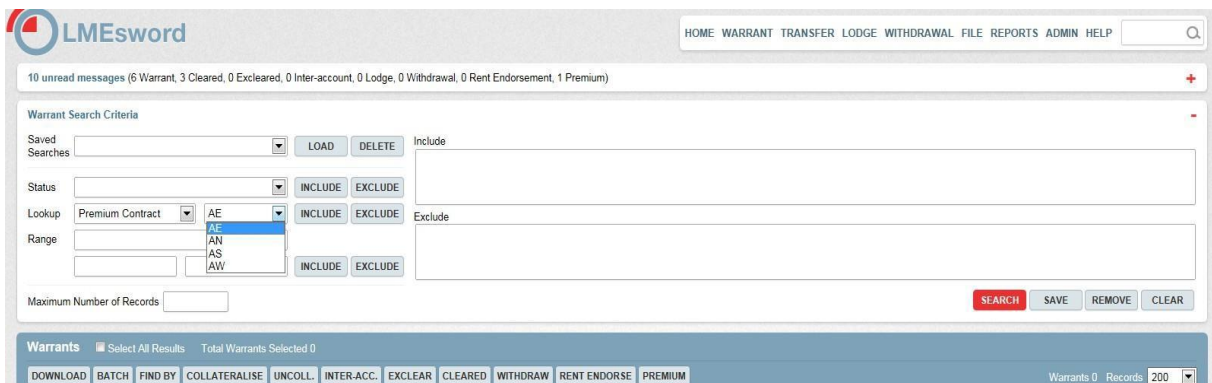
23.3.2 Instruction View

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.

23.4 How to search for a premium warrant

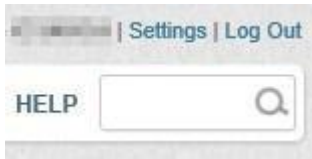
Navigate to search screen, the premium contract can be found on the 'Look Up' list.



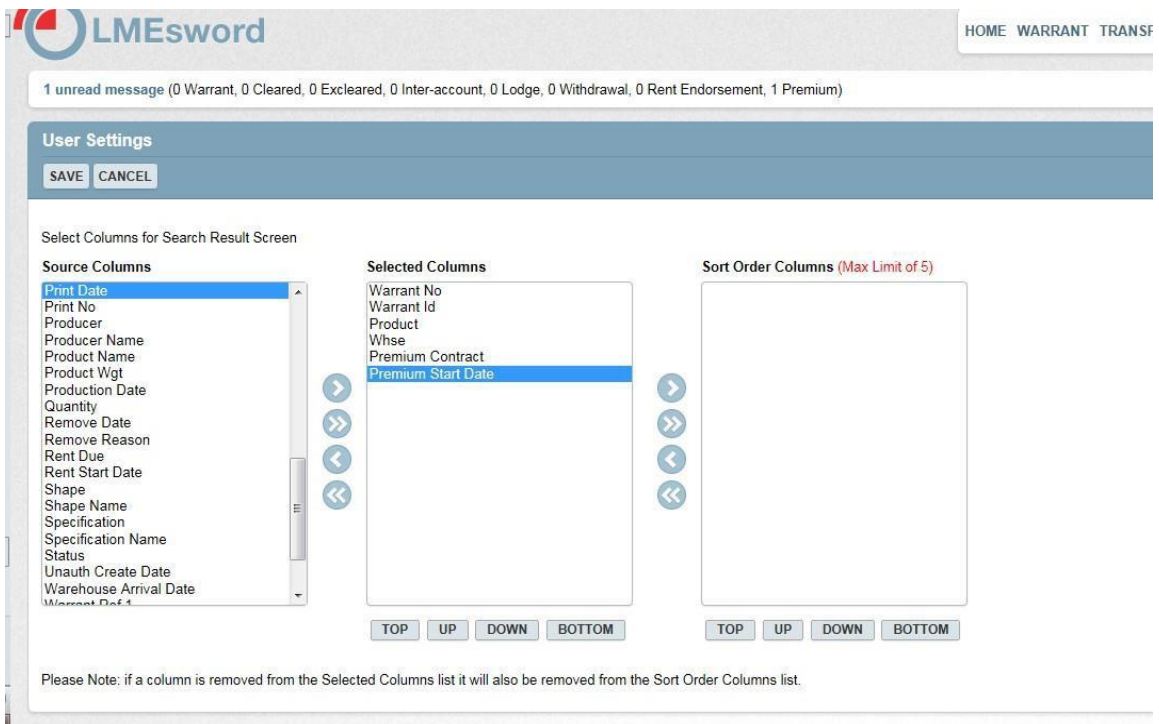
You may need to add Premium warrants to your search results screen.

Navigate to 'Settings'





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



Select Save and return to your search screen

The screenshot displays the 'Warrants' search results page. At the top, there are navigation buttons: DOWNLOAD, BATCH, FIND BY, COLLATERALISE, UNCOLL., INTER-ACC., EXCLEAR, CLEARED, WITHDRAW, RENT ENDORSE, and PREMIUM. The table below has columns for Warrant No, Warrant Id, Product, Whse, Premium Contract, and Premium Start Date. The 'Premium Contract' and 'Premium Start Date' columns are circled in red. The table contains several rows of data, with the first row showing Warrant No AA50568, Warrant Id 90068, Product AH, Whse, Premium Contract AW, and Premium Start Date.

Warrant No	Warrant Id	Product	Whse	Premium Contract	Premium Start Date
AA50568	90068	AH		AW	
AA50523	89823	AH		AW	
AA73274	878274	AH		AW	
AA72990	87090	AH		AW	
AA72636	87936	AH		AW	
AA82215	90215	AH			

23.5 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.



Amend Rent Endorsement

SAVE CANCEL REMOVE REMOVE INVALID REVALIDATE FROM SEARCH FROM BATCH UPLOAD FIND BY REPORT

DETAILS WARRANTS (2) COMMENTS (0)

Warrant No.	Warrant Id	Notes	Product	Warehouse Company	Location	Rent From	Not Endorsed	Rent to Target (\$)	Is Premium	Premium Contract
AA878274	878274		AH	B. Borsari	Rotterdam	20150521		5,856.75	✓	AW
AA870990	870990		AH	B. Borsari	Rotterdam	20150521		5,856.75	✓	AW

23.6 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

4_WarrantDownload.txt - Notepad

WRTID	Product	Warehouse	Warrant
AA878274	ROTT	B. Borsari	878274
AA950568	ROTT	B. Borsari	950568
AA960715	ROTT	B. Borsari	960715
AA967693	ROTT	B. Borsari	967693

Level 2 – Upload format

The premium warrants will have the underlying product code

4_WarrantDownload.txt - Notepad

WRTPD	Product	Warehouse	Warrant	Product	Warehouse	Location	Rent From	Not Endorsed	Rent to Target (\$)	Unit	Weight
AA950568	ROTT	B. Borsari	950568	AH	SAOALC	ING	20150521		1014.25 USD	25147	25147 KG
AA960715	ROTT	B. Borsari	960715	AH	SAOALC	ING	20150521		1007.25 USD	25073	25073 KG
AA996816	ROTT	B. Borsari	996816	AH	SAOALC	ING	20150521		1007.25 USD	25110	25110 KG
AA855528	ROTT	B. Borsari	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 - Notepad

WRTFD	Product	Warehouse	Warrant	Product	Warehouse	Location	Rent From	Not Endorsed	Rent to Target (\$)	Unit	Weight	Contract
AA950568	ROTT	B. Borsari	950568	AH	SAOALC	ING	20150521		1014.25 USD	25147	25147 KG	BR .2630 91744
AA960715	ROTT	B. Borsari	960715	AH	SAOALC	ING	20150521		1007.25 USD	25073	25073 KG	BR .2630 91744
AA996816	ROTT	B. Borsari	996816	AH	SAOALC	ING	20150521		1007.25 USD	25110	25110 KG	BR .2630 91744
AA855528	ROTT	B. Borsari	855528	AH	RUSALB	TBAR	20150521		1014.25 USD	25110	25110 KG	RU .2630 82753

24 Rent

24.3 Rent Endorsement Process

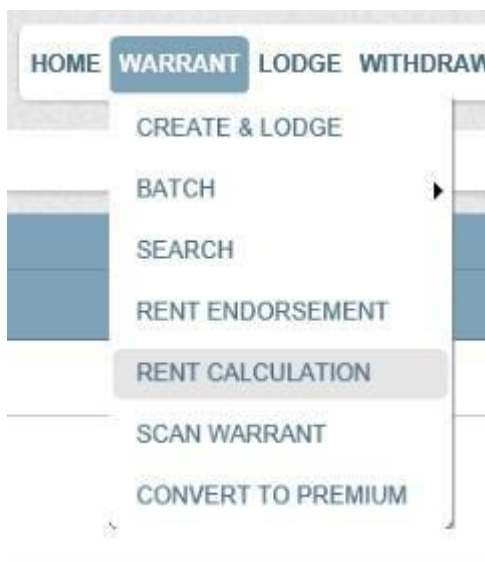


1. Once a member has created and authorised a rent endorsement instruction, a message will appear in the agent Inbox.
2. Selecting the hyperlink will take you to the instruction.
3. As a London Agent, you can Accept or Reject the rent indorsement instruction. Once accepted or rejected the instruction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

24.4 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



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

Rent Calculation

REPORT

DETAILS

WARRANTS (0)

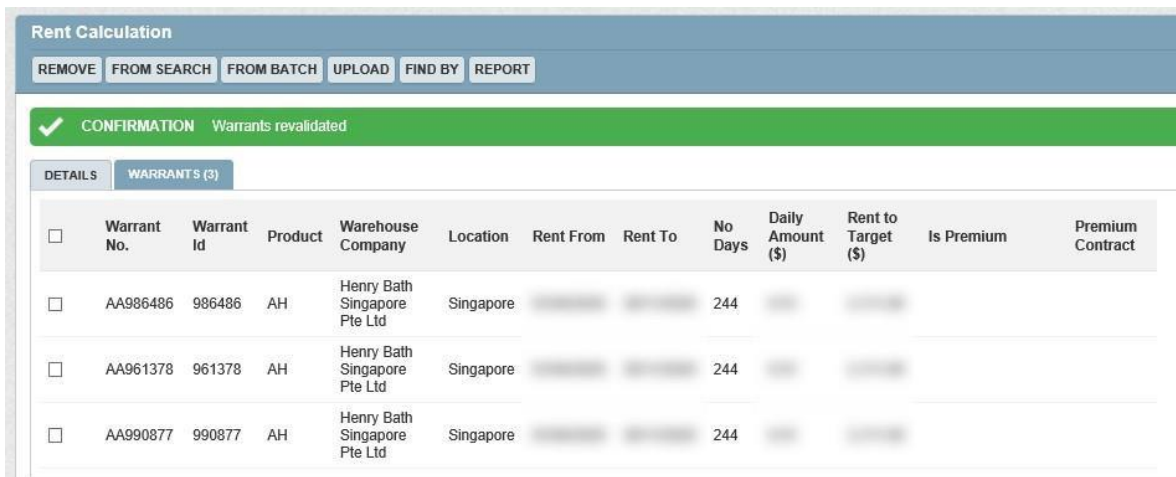
Target Date	*	<input style="width: 90%;" type="text" value=""/>	(dd/mm/yyyy)	The date, up to and including, that the rent payment amount is to be calculated for
Total Rent (\$)				The amount of rent due for the selected Warrants, up to and including the target date



Click the Warrants tab to open the warrant search screen.



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.



The report will open in a separate browser window.

The screenshot shows a browser window titled "Reports - Internet Explorer". The address bar contains "1 of 1" and "100%". The report title is "Rent Due By Agent". The date and time printed are "Date Printed" and "Time Printed 09:45". The report content is as follows:

Primary Aluminium						
Warrant Number	Warrant Id	Rent From Date	Rent End Date	Duration (days)	Rent Rate (\$)	Rent Due (\$)
AA990877	990877			244		
AA961378	961378			244		
AA986486	986486			244		
					Product Total	
					Location Total	
					Warehouse Company Total	
					Warehouse Agent Total	

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



25 Reporting

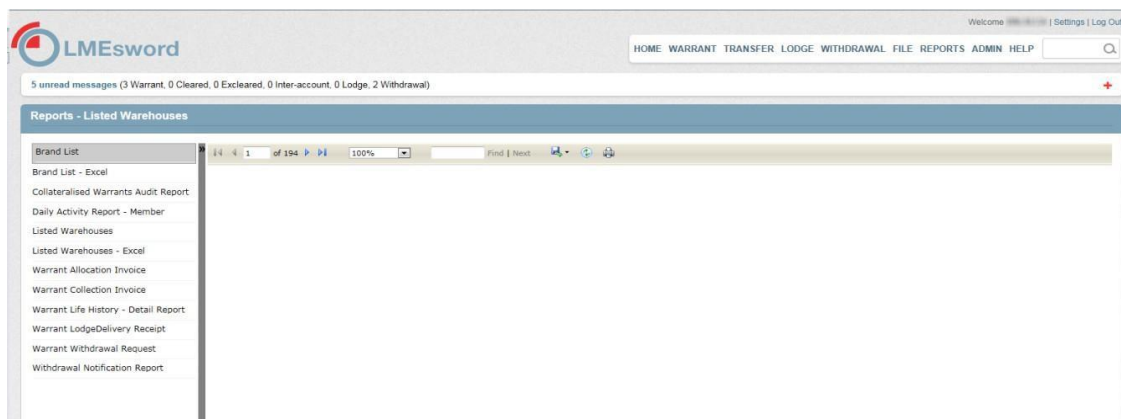
Select Reports > Reports Menu from the main screen;

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.

26 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.

27 Create a Lodgement with Warrants

Lodgements and the associated new warrants 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 [Via File Upload](#)

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



Input the relevant details pertaining to the warrants to be created

The screenshot shows the 'Create & Lodge' form in the LMEsword application. The form is titled 'Create & Lodge' and has three buttons: 'NEXT', 'CLEAR', and 'CANCEL'. The form contains the following fields:

- Number of Warrants:
- Member:
- Lodge Security Code:
- Creation Type: **New**
- Product:
- Shape:
- Warehouse Company:
- Warehouse:
- Brand:
- Certificate of Analysis Reference:
- First Warrant No:
- Reference:
- Product Spec:
- Package Type:
- Location:
- Country of Origin:

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.



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.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed
<input type="checkbox"/>	[REDACTED]	[REDACTED]	1	Unauthorised Create	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]



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.

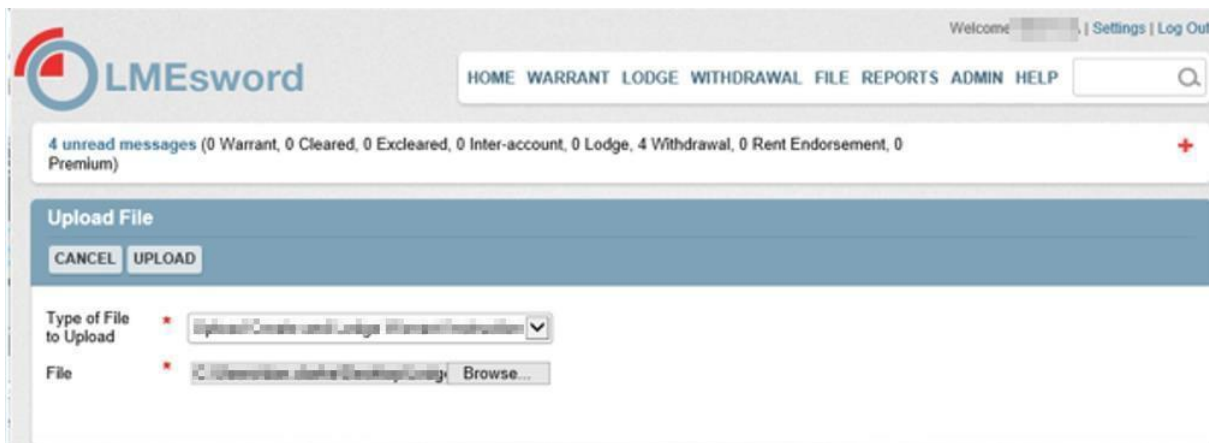
Prepare the input file per the format and structure set out in the LMEsword Technical Guide and save locally on your PC. The file must include member name and warrant details.

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

Click Upload in the resulting screen.

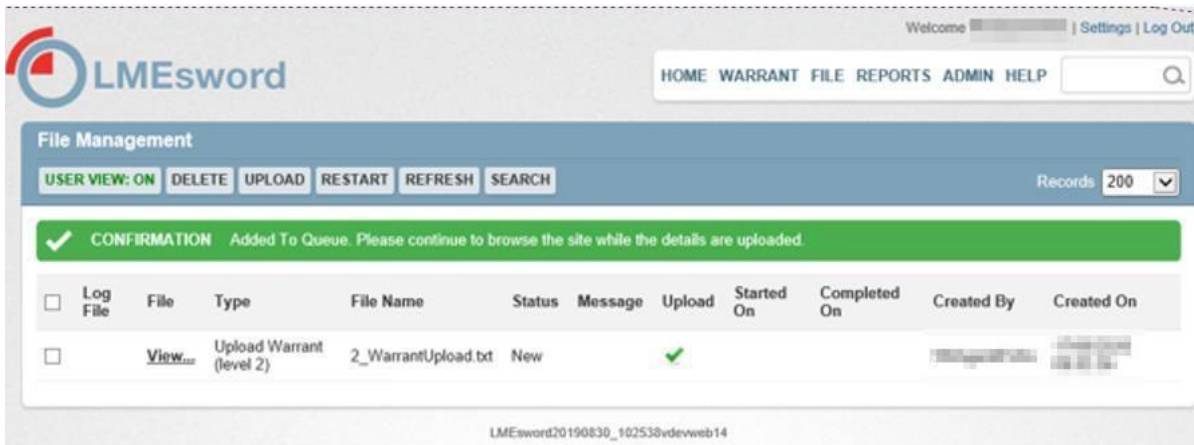
Set the 'Type of File to Upload' to 'Upload Create and Lodge Warrant Instruction'

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



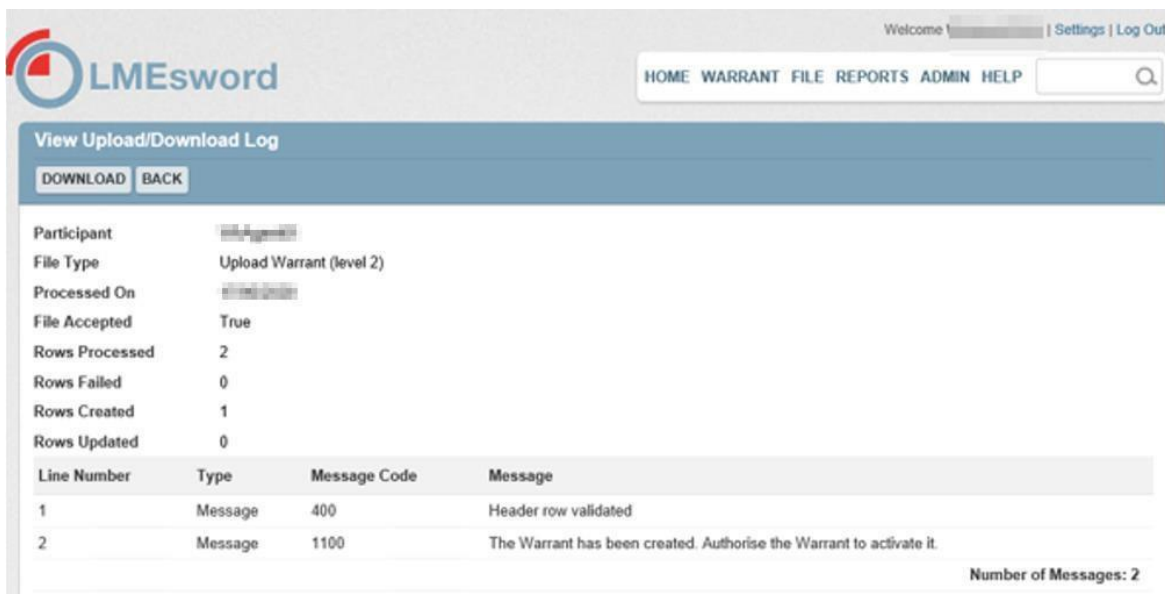
Click 'Upload'. The file will be loaded into LMEsword and will return to the File Management screen.





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.



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

```
<lmeSword_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>
    <message>The uploaded file contains an invalid Warehouse Company-Location combination, please amend and retry the upload</message>
    <code>
    </code>
  </line>
</lmeSword_interface_results>
```

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.



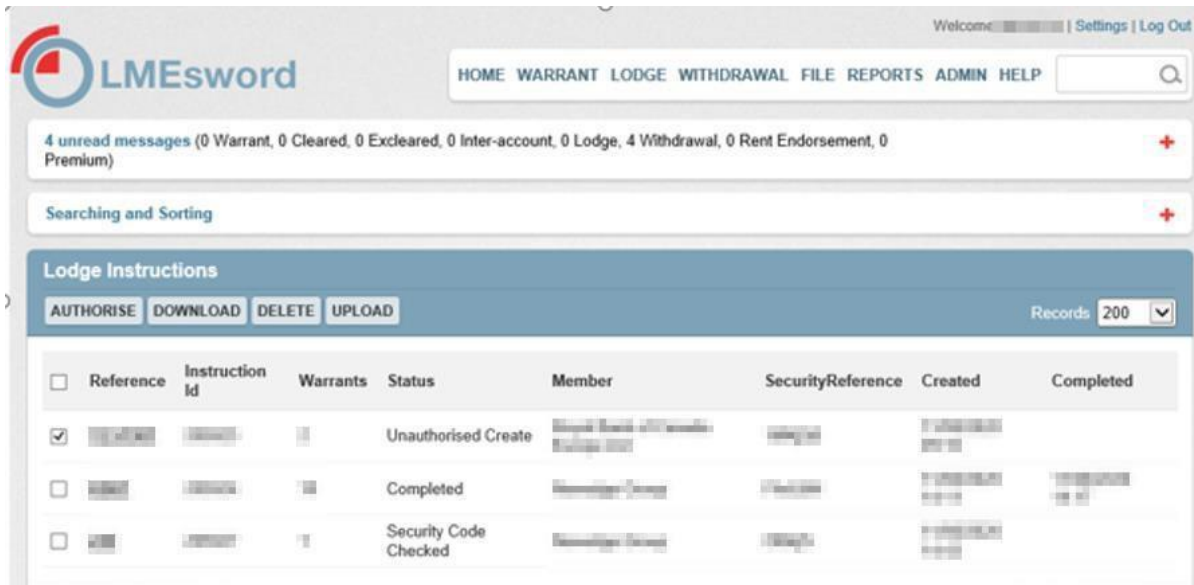
Identify the lodgement to be authorised. This will be one of the instructions in Unauthorised Create status. Clicking on the Reference link of the relevant lodgement will open the instruction and display all pertinent details.

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

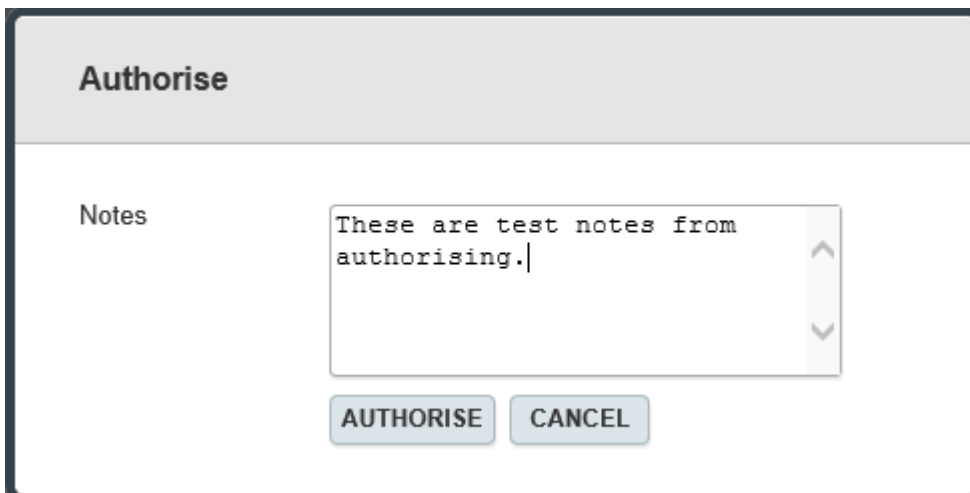


to the Lodge Instructions screen.

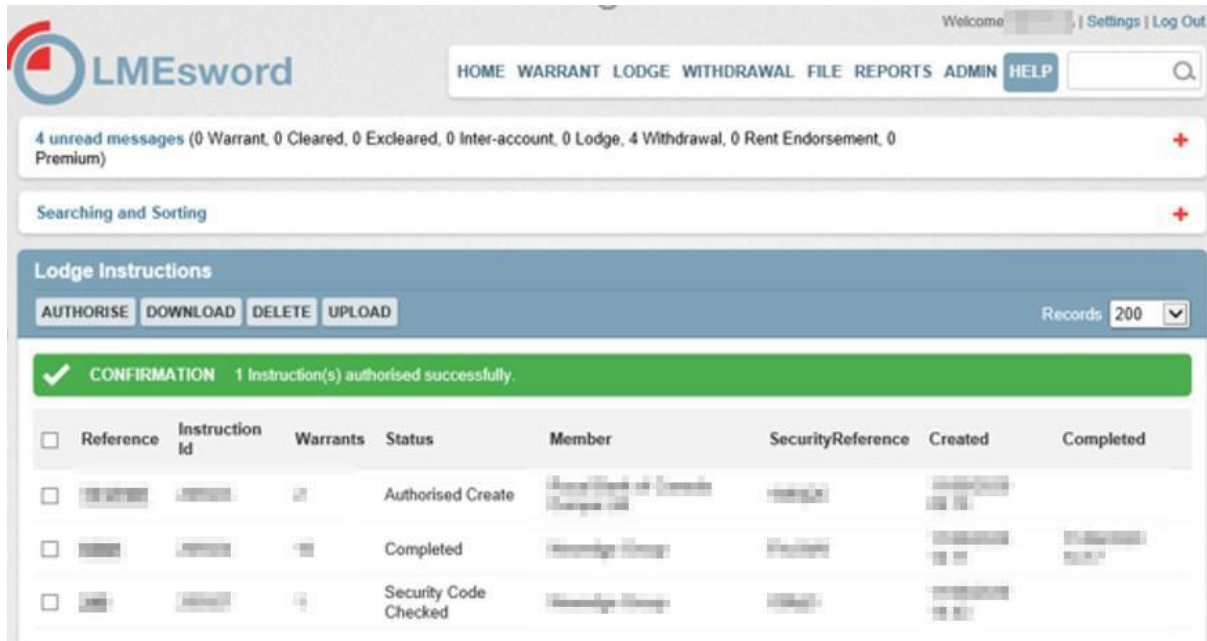
Click the checkbox for the relevant instruction and then click Authorise.



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



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



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.



The screenshot shows the LMEsword dashboard. At the top, there is a navigation menu with links for HOME, LODGE, WITHDRAWAL, PRINT, REPORTS, ADMIN, and HELP. Below the navigation is a message notification: "14 unread messages (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 4 Lodge, 10 Withdrawal, 0 Rent Endorsement, 0 Premium)". A "Searching and Sorting" section is also visible. The main content area is titled "Lodge Instructions" and includes a "DAILY VIEW: ON" button and a "CONFIRM PRINT" button. A "Records" dropdown menu is set to "200". Below this is a table with the following columns: Reference, Instruction Id, Warrants, Status, Participant Id, Created, and Completed. The table contains three rows of data:

Reference	Instruction Id	Warrants	Status	Participant Id	Created	Completed
[Redacted]	[Redacted]	1	Unauthorised Create	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	1	Authorised Create	[Redacted]	[Redacted]	[Redacted]
[Redacted]	[Redacted]	1	Completed	[Redacted]	[Redacted]	[Redacted]

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

The screenshot shows the "View Instruction - Lodge" page. It features a "BACK" button and a "REFRESH" button. The page is divided into several sections:

- Details:** A table showing the instruction's Reference, Instruction Id, Participant Id, and Status (Authorised Create).
- Comments:** A section indicating "No Comments".
- Selected Warrants:** A table with columns for Warrant No., Warrant Id, Print Confirmed, Reject Reason, and Premium Contract. It lists five warrants.
- Request Audit:** A table with columns for Participant, Username, From State, To State, and Date & Time. It shows two entries related to "Unauthorised Create" and "Authorised Create".

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

The screenshot shows the LMEsword web application interface. At the top, there is a navigation menu with items: HOME, WARRANT, LODGE, WITHDRAWAL, FILE, REPORTS, ADMIN, HELP. Below the menu is a notification bar showing '3 unread messages (0 Warrant, 0 Cleared, 0 Explored, 0 Inter-account, 0 Lodge, 3 Withdrawal, 0 Rent Endorsement, 0 Premium)'. Below that is a 'Searching and Sorting' section. The main content area is titled 'Lodge Instructions' and contains buttons for 'AUTHORISE', 'DOWNLOAD', 'DELETE', and 'UPLOAD'. A 'Records' dropdown is set to '200'. Below the buttons is a table with the following columns: Reference, Instruction Id, Warrants, Status, Member, SecurityReference, Created, and Completed. Two rows are visible in the table:

Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed
[blurred]	[blurred]	[blurred]	Authorised Create	[blurred]	[blurred]	[blurred]	[blurred]
[blurred]	[blurred]	[blurred]	Unauthorised Create	[blurred]	[blurred]	[blurred]	[blurred]



Locate the instruction to be deleted and click the check box

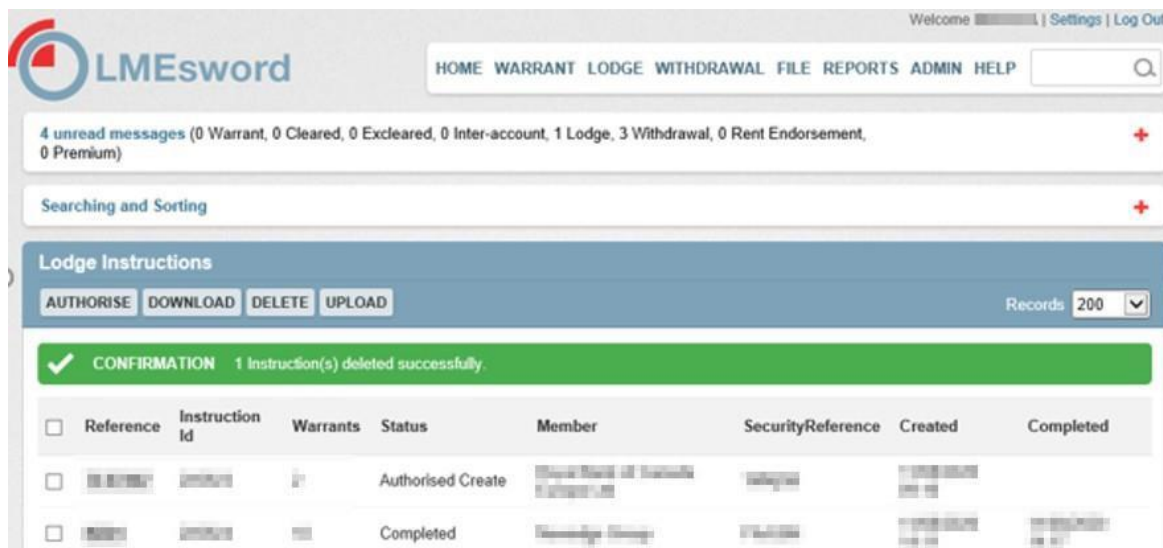
The screenshot shows the LMEsword web application interface. At the top, there is a navigation bar with the LMEsword logo and a search bar. Below the navigation bar, there is a notification bar indicating 3 unread messages. The main content area is titled 'Lodge Instructions' and contains a table with the following columns: Reference, Instruction Id, Warrants, Status, Member, SecurityReference, Created, and Completed. The table contains two rows of data. The first row is 'Authorised Create' and the second row is 'Unauthorised Create'. The 'Unauthorised Create' row is selected, indicated by a checkmark in the first column.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed
<input type="checkbox"/>	00000000	00000000	1	Authorised Create	00000000	00000000	00000000	00000000
<input checked="" type="checkbox"/>	00000000	00000000	1	Unauthorised Create	00000000	00000000	00000000	00000000

Click Delete, and then click Ok and the prompt

The screenshot shows a confirmation dialog box titled 'Message from webpage'. The dialog contains a question mark icon and the text 'Are you sure you want to delete?' and 'This action cannot be undone.' Below the text are two buttons: 'OK' and 'Cancel'.

As the delete action does not need dual-authorisation, the lodgement is deleted immediately and the warrants are deleted along with it.



28 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.

28.3 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.



5 unread messages (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 1 Lodge, 4 Withdrawal, 0 Rent Endorsement, 0 Premium)

Searching and Sorting

Withdrawal Instructions

ACCEPT AUTHORISE **DAILY VIEW: ON** DOWNLOAD CONFIRM PRINT REPRINT COLLECT Records 200

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>				Authorised Create		

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

14 unread messages (0 Warrant, 0 Cleared, 0 Excleared, 0 Inter-account, 4 Lodge, 10 Withdrawal, 0 Rent Endorsement, 0 Premium)

View Instruction - Withdrawal

BACK REFRESH

Details

Reference		Instruction Id	
Participant Id		Status	Authorised Create
Withdraw Reason	For Cancellation		

Comments
No Comments

Selected Warrants

Warrant No.	Warrant Id	Product	Print Confirmed	Premium Contract

Request Audit

Participant	Username	From State	To State	Date & Time
			Unauthorised Create	
		Unauthorised Create	Authorised Create	

28.4 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



Withdrawal Instructions						
ACCEPT AUTHORISE DAILY VIEW: ON DOWNLOAD CONFIRM PRINT REPRINT COLLECT						Records 200
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	[REDACTED]	[REDACTED]		Authorised Create	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	[REDACTED]		Unauthorised RePrint	[REDACTED]	[REDACTED]

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	[REDACTED]	Instruction Id	[REDACTED]	
Participant Id	[REDACTED]	Status	Authorised Create	
Withdraw Reason	For Cancellation			
Comments				
No Comments				
Selected Warrants				
Warrant Id	Product	Print Confirmed	Premium Contract	
[REDACTED]	[REDACTED]			
[REDACTED]	[REDACTED]			
Request Audit				
Participant	Username	From State	To State	Date & Time
[REDACTED]			Unauthorised Create	[REDACTED]
[REDACTED]		Unauthorised Create	Authorised Create	[REDACTED]

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.

Withdrawal Instructions						
ACCEPT AUTHORISE DAILY VIEW: ON DOWNLOAD CONFIRM PRINT REPRINT COLLECT						Records 200
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input checked="" type="checkbox"/>	[REDACTED]	[REDACTED]		Authorised Create	[REDACTED]	[REDACTED]
<input type="checkbox"/>	[REDACTED]	[REDACTED]		Unauthorised RePrint	[REDACTED]	[REDACTED]



Once successful, a green confirmation banner will display and the instruction is now accepted and will need to be authorised.



28.5 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.

Click the checkbox for the instruction to be accepted, and then click Authorise.



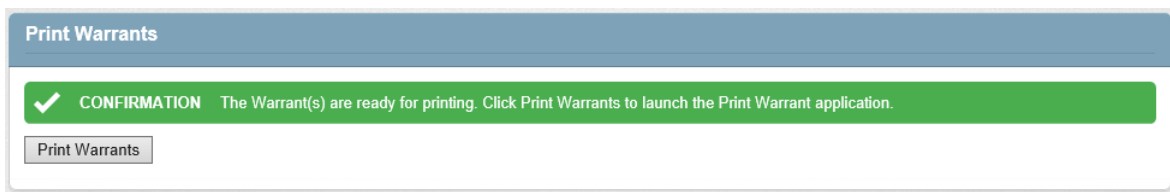
There is free-text pop where any notes can be added



The image shows a dialog box titled "Authorise". At the top, there is a grey header bar with the word "Authorise" in bold. Below the header, on the left, is the label "Notes". To the right of the label is a large, empty text input field with a vertical scrollbar on its right side. At the bottom of the dialog box, there are three buttons: "AUTHORISE", "REJECT", and "CANCEL", all in a light blue color with dark text.

Click Authorise

Once authorised, the warrants are ready to be printed. Click 'Print Warrants' to start the print job.



The image shows a confirmation screen titled "Print Warrants". At the top, there is a blue header bar with the text "Print Warrants". Below the header, there is a green bar containing a white checkmark icon, the word "CONFIRMATION", and the text "The Warrant(s) are ready for printing. Click Print Warrants to launch the Print Warrant application." Below this green bar, there is a button labeled "Print Warrants".



28.6 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.

28.6.1 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 & Conditions

Standard terms of business of the Warehouse are available from the 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.



H&M Metal Warehousing (S) Pte. Ltd.

LME WARRANT No. YL100/2

60 Paya Lebar Road
#12-32 Paya Lebar Square
Singapore 409051

Created: 12/11/2020
Warrant Id: 2357076

Location: Gwangyang
Warehouse: ISPC Warehouse B
Address: 18-35, Hangman 8-ro, Gwangyang-si, Jeollanam-do, , , ,

BEARER

is entitled to

Product: Primary Aluminium

Shape: Ingots

Brand: AD

Quantity: 15

Country of Origin: France

Certificate of
Analysis & Date: 1

Net Weight(Kg): 25,000

Rent: 0.47 USD P.T.P.V.D

Commencing: 12/11/2020

Period of Storage: Unspecified

Rent must be paid in accordance with the London Metal Exchange's Rules and Regulations.

Metal quality adheres to the London Metal Exchange's Rules and Regulations.
Printed in the UK by the London Metal Exchange.

This warrant is issued as a Warehouse Certificate (Chango Jeung Kwon) under article 156 of the Korean Commercial Act, and the transfer and creation of pledge, or exercise of any other rights and entitlements, over the underlying metal represented by this Warrant shall be made and perfected by way of the transfer, delivery or presentation of this

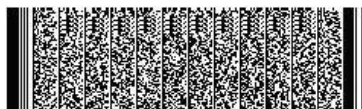
This warrant is issued in accordance with and is subject to the London Metal Exchange's Rules and Regulations, as in force from time to time.

The Underlying Metal is not insured by the Warehouse: insurance is the responsibility of the Account Holder. Unauthorised seizures will render the warrant null and void.
WARNING: The buyer is advised that this metal may contain crevices and hidden recesses holding entrapped moisture. The metal should be handled and processed with this possibility in mind. Entrapped moisture may cause an explosion if the metal is introduced into a melting furnace without proper drying.

Reference:

Signed.....

International Commodity Services Ltd
The Houses
16-18 Blackfriars Lane
London EC4V 6EB
UK



12/11/2020 17:03:39



LME WARRANT No [redacted]

Created: [redacted]
Warrant Id: [redacted]
Cancelled: [redacted]

Location: Barcelona
Warehouse: [redacted]

Specimen
BEARER

is entitled to

Product: Aluminium Alloy Specification: [redacted]
Shape: Large Sows
Brand: BMC
Quantity: 100
Country of Origin: Russia
Certificate of Analysis & Date: coal23
Net Weight(Kg): 20,000
Rent: USD P.T.P.D Commencing: [redacted]


Rent must be paid in accordance with the LME rules and regulations. Check with issuing London Agent for the current rate.

This warrant is issued in accordance with and is subject to the LME rules and regulations, as in force from time to time.
The material is not insured by LME and is the responsibility of the Bearer of the warrant. Unauthorised transfers will render the warrant null and void.

WARNING : The buyer is advised that this metal may contain asbestos and hidden residues holding entrapped moisture. The m

Reference:

Signed: [redacted]



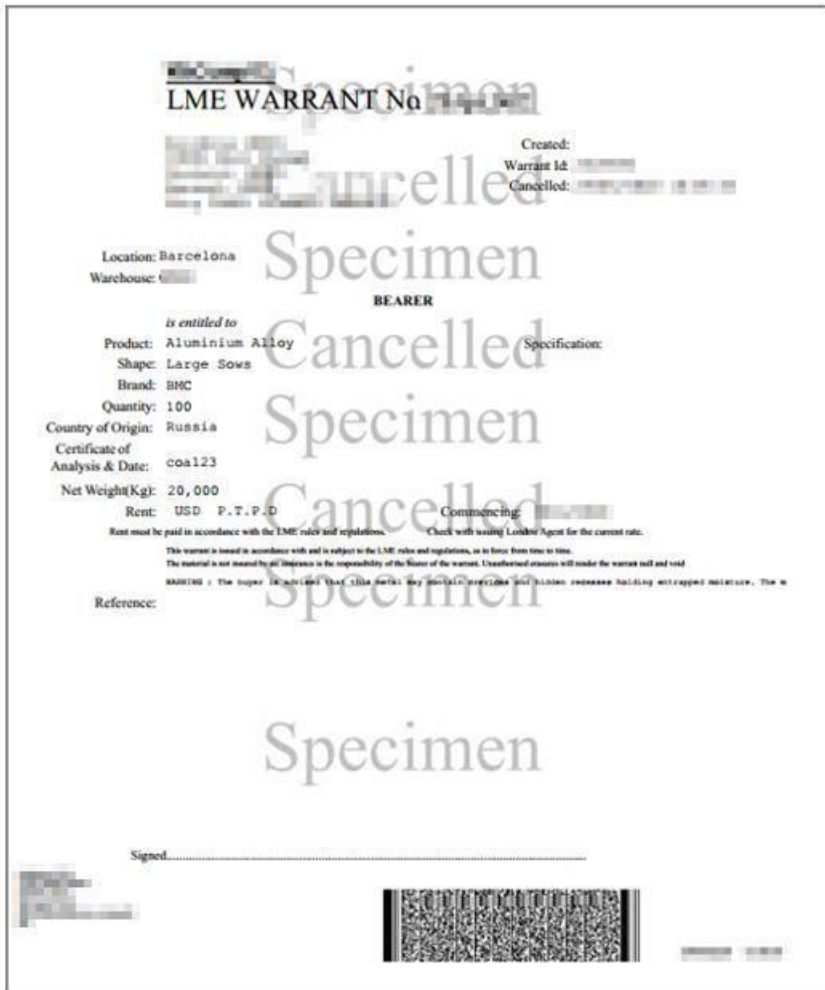
A print copy is also triggered the LME Depository where the warrant will be watermarked with Mobilised if the warrant is for an immobilised jurisdiction.



28.6.2 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.



28.7 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

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input checked="" type="checkbox"/>	Authorised Withdrawal
<input type="checkbox"/>	Unauthorised RePrint

This will navigate to the Withdrawal Instruction Confirm Printed Warrants. Clicking the Warrants tab will display all warrants associated with the withdrawal

<input type="checkbox"/>	Warrant Id	Product	Print Confirmed	Premium Contract
<input type="checkbox"/>
<input type="checkbox"/>

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



Withdrawal Instruction Confirm Printed Warrants

CONFIRM PRINT BACK Records 200

DETAILS WARRANTS (2) COMMENTS (0)

Selected Warrants

<input type="checkbox"/>	Warrant Id	Product	Print Confirmed	Premium Contract
<input checked="" type="checkbox"/>	12345678	EUR		
<input type="checkbox"/>	12345679	EUR		

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.

Withdrawal Instructions

ACCEPT AUTHORISE DAILY VIEW: ON DOWNLOAD CONFIRM PRINT REPRINT COLLECT Records 200

CONFIRMATION Instruction confirm printed successfully.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input type="checkbox"/>	12345678	12345678	2	Authorised Withdrawal	2023-01-01 10:00	
<input type="checkbox"/>	12345679	12345679	1	Unauthorised RePrint	2023-01-01 10:00	

Navigating back into the instruction shows which warrants were marked as being successfully printed

View Instruction - Withdrawal

BACK REFRESH

Details

Reference: 12345678 Instruction Id: 12345678

Participant Id: 12345678 Status: Authorised Withdrawal

Withdraw Reason: For Cancellation

Comments

No Comments

Selected Warrants

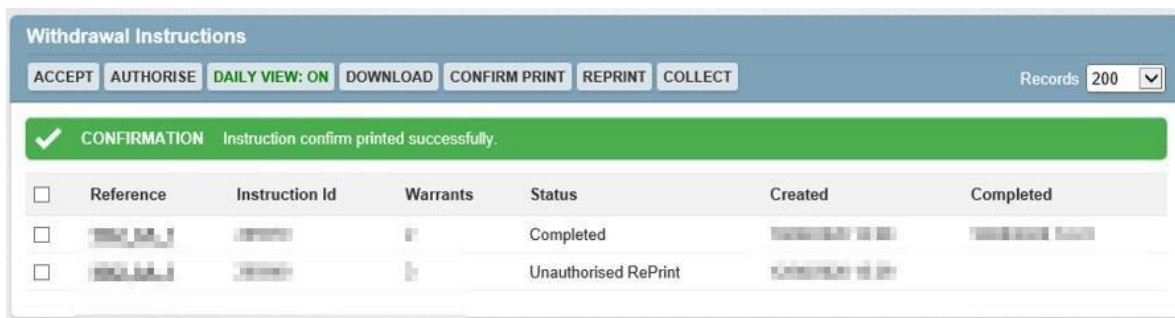
Warrant Id	Product	Print Confirmed	Premium Contract
12345678	EUR		
12345679	EUR	<input checked="" type="checkbox"/>	



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



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 [Reprint from a Withdrawal](#)

28.8 Completing Withdrawals for Cancellation

To complete the warrant cancellation process, refer to the [Removing Warrants](#) section below.

28.9 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.



<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input checked="" type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	Ready for Collection	[REDACTED]	[REDACTED]

Click the Collect button. This will navigate to the Withdrawal Instruction Collect screen. Enter the security code provided by the Member’s delegate

Withdrawal Instruction Collect

SAVE BACK

DETAILS WARRANTS (2) COMMENTS (0)

WarrantId [REDACTED]

Reference [REDACTED]

Enter Security Code * [REDACTED]

Click Save. If the security code is correct, the instruction will go to a Completed status and the warrant will become Mobilised.

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Created	Completed
<input checked="" type="checkbox"/>	CONFIRMATION Instruction collected successfully.					
<input type="checkbox"/>	[REDACTED]	[REDACTED]	[REDACTED]	Completed	[REDACTED]	[REDACTED]

If the code is incorrect then an error will display and you will be prompted to reenter the code.



29 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.

<input type="checkbox"/>	Warrant No	Warrant Id	Status	Cancel Date	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location
<input type="checkbox"/>	XXXXXXXXXX	XXXXXXXXXX	Authorised Cancelled	XXXXXXXXXX		1	1000	1000	100	1000	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
<input type="checkbox"/>	XXXXXXXXXX	XXXXXXXXXX	Authorised Cancelled	XXXXXXXXXX		1	1000	1000	100	1000	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

Click the check boxes to select the warrants for removal and click Remove

<input type="checkbox"/>	Warrant No	Warrant Id	Status	Cancel Date	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location
<input checked="" type="checkbox"/>	XXXXXXXXXX	XXXXXXXXXX	Authorised Cancelled	XXXXXXXXXX		1	1000	1000	100	1000	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX
<input checked="" type="checkbox"/>	XXXXXXXXXX	XXXXXXXXXX	Authorised Cancelled	XXXXXXXXXX		1	1000	1000	100	1000	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX

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 [Re-Issuing Withdrawn Warrants](#) section below.



Remove Warrant

BACK
CLEAR
SAVE
REMOVE INVALID

The following Warrants have been selected for removing. Select a Removal Reason and then click on the Save button.

Remove Reason Product-Takeup

Warrant Id	Product Code	Warrant Number	Warehouse Company	Warehouse Location	Brand Status	Status	Premium	Premium Contract
10000000	000	10000000_00	Warehouse Company	London		Authorised Cancelled		
10000000	000	10000000_00	Warehouse Company	London		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

DOWNLOAD
AUTHORISE
CANCEL
AMEND
PRINT
REMOVE
RE-ISSUE
BATCH
FIND BY
RENT ENDORSE

✓
CONFIRMATION
Warrants authorised successfully.

<input type="checkbox"/>	Warrant No	Warrant Id	Status	Cancel Date	Remove Date	Quantity	Net Wgt	Gross Wgt	Whse	Whse Co	Whse Name	Rent Start Date	Location
<input type="checkbox"/>	10000000	10000000_00	Authorised Removed	10000000-00-00	10000000-00-00	10	10000	10000	0000	000000	Warehouse 10	10000000	0000
<input type="checkbox"/>	10000000	10000000_00	Authorised Removed	10000000-00-00	10000000-00-00	10	10000	10000	0000	000000	Warehouse 10	10000000	0000

30 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 SPM Systems should you have any immediate questions.

30.3 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 ReIssue. See [Removing Warrants](#) 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 Search Criteria (Filtered)

Saved Searches: [Dropdown] [LOAD] [DELETE]

Status: [Dropdown] [INCLUDE] [EXCLUDE]

Lookup: [Dropdown] [INCLUDE] [EXCLUDE]

Range: [Dropdown] [INCLUDE] [EXCLUDE]

Include: Status : Authorised Removed

Exclude:

Maximum Number of Records: [Input]

[SEARCH] [SAVE] [REMOVE] [CLEAR]

Warrants [Select All Results] Total Warrants Selected 1

[DOWNLOAD] [AUTHORISE] [CANCEL] [AMEND] [PRINT] [REMOVE] [RE-ISSUE] [BATCH] [FIND BY] [RENT ENDORSE]

Warrants 309 Records 200 Page 1

<input type="checkbox"/>	Warrant No	Warrant Id	Product	Whse	Cancel Date	Rent Start Date	Is Lodged	Whse Co Name	Remove Date	Whse Co	Status	Whse Name	Location	Brand	Old Warrant No	Print No	Remove Reason
<input checked="" type="checkbox"/>											Authorised Removed						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 * [Dropdown]

Warrant Number	New Warrant Number	Warrant Id	Product Code	Warehouse Company	Location	Status
						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

✓ CONFIRMATION ReissueSuccessful

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status	Member	SecurityReference	Created	Completed
<input type="checkbox"/>			1	Unauthorised Create				



The instruction will be in the Unauthorised Create status and will follow the normal lodgement workflow. See [Authorise a Lodgement](#) 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.

31 Ancillary Processes

31.3 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:

31.3.1 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:

- 31.3.1.1 Reprint individual Warrant from a particular Withdrawal Instruction
- 31.3.1.2 Reprint several Warrants from a particular Withdrawal Instruction
- 31.3.1.3 Reprint Warrants for a whole Withdrawal Instruction

If the printing was not successful during the [Confirming Warrant Printing](#) 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	123456789	Instruction Id	12345678
Participant Id	123456	Status	Authorised Withdrawal
Withdraw Reason	For Cancellation		

Comments
No Comments

Selected Warrants

Warrant Id	Product	Print Confirmed	Premium Contract
12345678	AA		
12345679	AA		
12345680	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.

Withdrawal Instructions				
<input type="button" value="ACCEPT"/> <input type="button" value="AUTHORISE"/> <input type="button" value="DAILY VIEW: OFF"/> <input type="button" value="DOWNLOAD"/> <input type="button" value="CONFIRM PRINT"/> <input type="button" value="REPRINT"/> <input type="button" value="COLLECT"/>				
<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status
<input checked="" type="checkbox"/>	1111111	111111	3	Authorised Withdrawal

In the pop-up text box add the reason for the reprint and click Create.

Re-Print Reason

Printer out of toner

*

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.



Withdrawal Instructions

ACCEPT AUTHORISE DAILY VIEW: OFF DOWNLOAD CONFIRM PRINT REPRINT COLLECT

✓ CONFIRMATION Withdrawal Instruction RePrint created

<input type="checkbox"/>	Reference	Instruction Id	Warrants	Status
<input checked="" type="checkbox"/>	12345678	98765432	3	Unauthorised RePrint

Click Print Warrants at the prompt. The warrant print job will be sent to the printer for the remaining unconfirmed prints.

Print Warrants

✓ CONFIRMATION The Warrant(s) are ready for printing. Click Print Warrants to launch the Print Warrant application.

Print Warrants

Once the warrants have printed at the printer, they can be confirmed on the withdrawal instruction per the previous [Confirming Warrant Printing](#) process.

31.3.2 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)

Saved Searches Include Warrant Id : From

Status

Lookup Exclude

Range

Maximum Number of Records

Warrants Select All Results Total Warrants Selected 2

Warrants 3 Records 200

<input type="checkbox"/>	Warrant No	Warrant Id	Product	Whse	Cancel Date	Rent Start Date	Is Lodged	Whse Co Name	Remove Date	Whse Co	Status	Whse Name	Location	Brand	Old Warrant No	Print No	Remove Reason
<input checked="" type="checkbox"/>			AA								Authorised Cancelled		ANTW	CASA		2	
<input checked="" type="checkbox"/>			AA								Authorised Cancelled		ANTW	CASA		2	

Click Print, enter a re-print reason in the pop-up box, and click Create

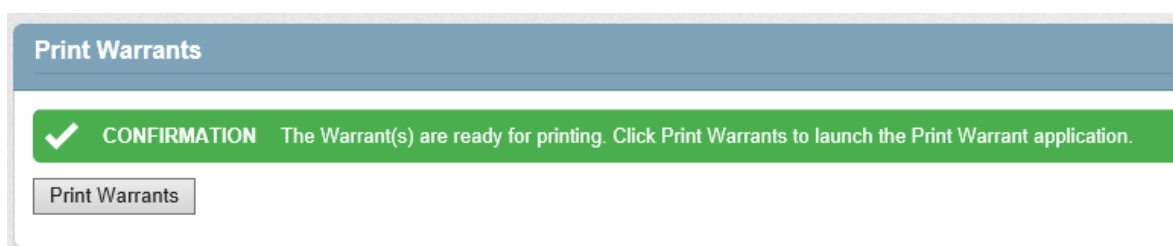
Re-Print Reason

Warrants damaged



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.



31.4 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.

Click the checkbox for the appropriate warrant and click Amend.



Amend Warrants

Warrant Number	<input type="text" value="00000000000000000000"/>
Product	AA
Premium Contract	
Warehouse	* <input type="text" value="0000"/> <input type="button" value="v"/>
Certificate of Analysis	* <input type="text" value="00000000000000000000"/>
Quantity	* <input type="text" value="5"/>
Reference 1	<input type="text" value=""/> <input type="button" value="^"/> <input type="button" value="v"/>
Reference 2	<input type="text" value=""/> <input type="button" value="^"/> <input type="button" value="v"/>
Off Warrant	<input type="text" value=""/> <input type="button" value="^"/> <input type="button" value="v"/>



In the resulting screen, edit the values as needed

Amend Warrants

SAVE
CANCEL

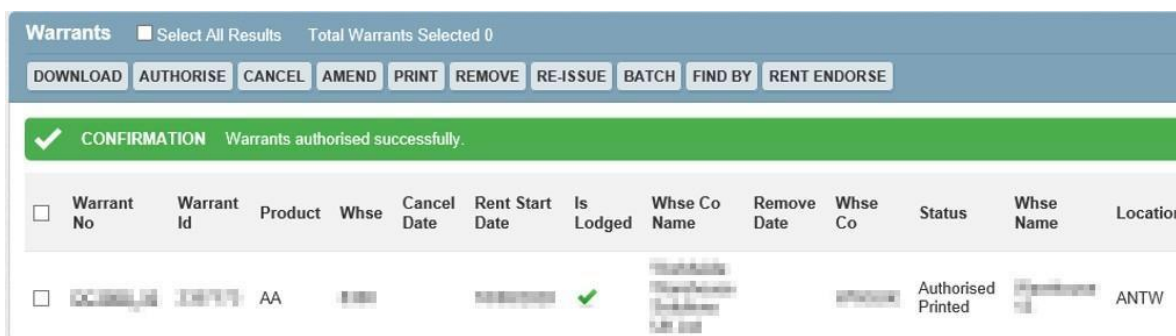
WARRANT_ID	Warrant Number	<input type="text" value="00000000_00"/>
	Product	<input type="text" value="AA"/>
	Premium Contract	<input type="text" value=""/>
	Warehouse	* <input type="text" value="AAWH"/> ▼
	Certificate of Analysis	* <input type="text" value="COA01"/>
	Quantity	* <input type="text" value="5"/>
	Reference 1	<input type="text" value="A new reference in here"/> ^
	Reference 2	<input type="text" value=""/> ^
	Off Warrant	<input type="text" value=""/> ^

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.



31.5 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.

The available reports include:

1. **Brand List / Brand List – Excel** (*Official LME list of the brands deliverable in fulfilment of its various contracts*)

Aluminium Alloy Brands

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
USA	ALUMINUM	ALUMINUM		
USA	ALUMINUM	ALUMINUM		
USA	ALUMINUM	ALUMINUM		
USA	ALUMINUM	ALUMINUM		
USA	ALUMINUM	ALUMINUM		
USA	ALUMINUM	ALUMINUM		
USA	ALUMINUM	ALUMINUM		



2. Daily Activity Report / Daily Activity Report - Excel (List of all actions performed by Agent)

Business Day: [Date]

Warehouse Agent Daily Activity Report for [Date]

Participant Number: [Value] Warehouse Company Code: [Value]
 Participant Name: [Value] Warehouse Company Name: [Value]

Removed

Warrant No.	Status	Location	Initiated	When	Authorised	When	Reference

3. Listed Warehouses / Listed Warehouses – Excel (List of all warehouses and their details)

Listed Warehouses

Country Code	Country Desc	Location Code	Location Name	Warehouse Company Code	Warehouse Company Name	Warehouse Company Address	Warehouses/Compounds	Warehouse Address	Products Stored	DeListed Date

4. Stock Consolidation Report (Aggregate stock report by warehouse)

Report Date: [Date]

LME Stock Consolidation Report

Stock as at: [Date]

Date Printed: [Date]
 Time Printed: [Time]

Aluminium Alloy Ingots 226

Country	Location	Warehouse Company	Opening Stock	Delivered In	Closing Stock				Total
					Delivered Out	Open Tonnage	Cancelled Tonnage	Pending Tonnage	



7. **Withdrawal Notification Report** (*List of warrants withdrawn per day and associated warehouse/location details*)

Business Day: [Date]

1 of 1 | 100% | Find | Next

Withdrawal Notification Report | Date Printed: [Date]

Stock as at: [Date]

Product: [Product Name] | Warehouse Agent: [Warehouse Agent Name]

Product	Premium Contract	Warehouse Agent	Withdrawing Member	Warrant No.	Withdrawal Date	Warehouse Company	Location	Country
[Product]	[Contract]	[Warehouse Agent]	[Withdrawing Member]	[Warrant No.]	[Withdrawal Date]	[Warehouse Company]	[Location]	[Country]

Page 1 of 1

32 Appendix

32.3 Contact details

Group Name	Contact Details
SPM Systems	spmsystems@lme.com

