



上海期货信息技术有限公司

SHANGHAI FUTURES INFORMATION TECHNOLOGY Co.,Ltd

上海期货交易所成员单位 AN SHFE COMPANY

Shanghai International Energy Exchange_Standard Warrant Management System_User Guide (Overseas Special Brokerage Participants)

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Things to note

If you have an outdated copy of this User Guide, please contact Shanghai Futures Information Technology to receive the latest edition.

This User Guide is intended for staff members with some basic computer skills. Although the user-friendly design of our products makes this User Guide not essential for using our products, it will help more experienced staff members to do so with greater ease.

While every care has been taken in the preparation of this User Guide, certain errors may still arise due to time constraints. Please direct your comments and questions to the address below. We will respond at the earliest time possible.

Version Statement

The current version of this User Guide is V1.28 updated on November 3rd, 2023.

Chapter 1 System Overview

System Introduction

The Standard Warrant System of the Shanghai International Energy Exchange is an innovative warrant management system newly constructed by Shanghai International Energy Exchange ("the Exchange") based on the NGES System to make preparations for the listing of crude oil futures and accommodate the needs of the development of new products. At present, the Standard Warrant System supports the crude oil futures while the NGES backs up the existing listed products.

The Standard Warrant System of the Exchange is intended for the users of the system administrators of relevant business and technological departments of Shanghai International Energy Exchange as well as other system participants, such as the Members, Clients, depots, Customs, Overseas Intermediaries and Overseas Special Participants ("OSPs").

Note:

The Members of the Exchange are classified into two types: Futures Firm Members ("FF Members") and Non-Futures Firm Members ("Non-FF Members").

The Exchange may appoint Special Members according to the needs of trading and settlement.

Overseas Special Participants are classified into two types: Overseas Special Brokerage Participants ("OSBPs") and Overseas Special Non-Brokerage Participants ("OSNBPs").

This Guide is designed to provide functional operating instructions to the users and system administrators of the OSBPs.

System Functions

This System provides the OSBPs with warrant operation and daily management functions.

The table below lists the operations available to OSBPs for Medium Sour Crude Oil.

[OSBP] Medium Sour Crude Oil	To-do Tasks	New Tasks	Task Tracking
Load-in	Forwarding/Confirmation	Initiating the task	Tracking/Print a Load-in Application
Deposit/withdrawal of margin collateral	Forwarding		Tracking
(Delivery) Submit a notice of interest Check a notice of interest Allocate the warrant Confirm/Cancel the warrant allocation		Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
(EFP delivery) EFP intention	Confirmation	Initiating the task	Tracking
(EFP delivery) EFP Application Submit a warrant Allocate the warrant		Initiating the task	Tracking
Return of authorization		Initiating the task	
Warrant transfer(settlement via the Exchange)	Review		Tracking

The table below lists the operations available to OSBPs for TSR 20.

[OSBP] TSR20	To-do Tasks	New Tasks	Task Tracking
Load-in	Forwarding/Confirmation	Initiating the task	Tracking/Print a Load-in Application
Deposit/withdrawal of margin collateral	Forwarding		Tracking
(Delivery) Submit a notice of interest Check a notice of interest Allocate the warrant Confirm/Cancel the warrant allocation		Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
(EFP delivery) EFP intention	Confirmation	Initiating the task	Tracking
(EFP delivery) EFP Application Submit a warrant Allocate the warrant		Initiating the task	Tracking
Return of authorization		Initiating the task	
Warrant transfer(settlement via the Exchange)	Review		Tracking
Change Quality Inspection Date	Forwarding	Initiating the task	Tracking
Modify Warrant Member	Review		Tracking

The table below lists the operations available to OSBPs for LSFO.

[OSBP] LSFO	To-do Tasks	New Tasks	Task Tracking
Load-in	Forwarding/Confirmation	Initiating the task	Tracking/Print a Load-in Application
Deposit/withdrawal of margin collateral	Forwarding		Tracking
(Delivery) Submit a notice of interest Check a notice of interest Allocate the warrant Confirm/Cancel the warrant allocation		Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
(EFP delivery) EFP intention	Confirmation	Initiating the task	Tracking
(EFP delivery) EFP Application Submit a warrant Allocate the warrant		Initiating the task	Tracking
Return of authorization		Initiating the task	
Warrant transfer(settlement via the Exchange)	Review		Tracking
Overseas Delivery-Taking by Agreement	Review		Tracking

The table below lists the operations available to OSBPs for Copper.

[OSBP] Copper	To-do Tasks	New Tasks	Task Tracking
Load-in	Forwarding/Confirmation	Initiating the task	Tracking/Print a Load-in Application
Deposit/withdrawal of margin collateral	Forwarding		Tracking
(Delivery) Submit a notice of interest Check a notice of interest Allocate the warrant Confirm/Cancel the warrant allocation		Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
(EFP delivery) EFP intention	Confirmation	Initiating the task	Tracking
(EFP delivery) EFP Application Submit a warrant Allocate the warrant		Initiating the task	Tracking
Return of authorization		Initiating the task	
Warrant transfer(settlement via the Exchange)	Review		Tracking
Modify Warrant Member	Review		Tracking

This Guide describes the following query and management functions.

Query	System management
Operation query	User role
Summary query	Circular query
General query	Client warrant account management

This Guide describes the following Invoicing section :

Tax information settings	Output VAT invoice	Input VAT invoice	Negative VAT invoice
Tax information settings	Output VAT invoice submission	Input VAT invoice search	Submit negative VAT invoice
Action search	Output VAT invoice search		Negative VAT invoice search

Notice to Users

Before using this System, make sure you verify the following:

- Request the access permission of the Standard Warrant Management System of Shanghai International Energy Exchange from the system administrator.
- Please use Chrome 96 or above or Edge 93 or above to visit INE's Standard Warrant Management System.

System Login

After being granted with the access permission, use the Google Chrome to access the Standard Warrant Management System of Shanghai International Energy Exchange via the URL of <http://ew.ine.cn>.

Note:

Please contact the system administrator for the access permission of the System.

Login via Password + Certificate

Acting as a trusted third party, a CA certificate certifies the online identity via digital signature, equivalent to an online ID card. It helps the entities identify each other and provides the functions of authenticity and non-repudiation. With safety, confidentiality and tamper-proofing, it realizes the effective protection and safe transmission of online information of the Intranet.

Under such a login approach, a user can access the login page of the Exchange's Standard Warrant Management System only after being identified by the System with the plug-in of the USB-KEY.

Note: Please request the USB-KEY for login from competent departments.

(1) Plug the USB-KEY into your computer, open the browser and input the URL of the Standard Warrant Management System into the address bar.

Input your username, password and verification code into the login prompt window and click the "Login" button.

INE 上海国际能源交易中心 SHANGHAI INTERNATIONAL ENERGY EXCHANGE | Authentication

INE Warrant System 中文

Sign In

Authentication: Password+USBKey

User Name: Remember me

Password:

Security Code:

i You should open a new window to access the system.

Downloads

[Root Certification](#)

[HaiKey Driver](#)

Help Tips

Please connect your USBKey to the computer (If you access the system first, please download and install the root certification and usbkey driver), it would be recognized by the system; Then enter login information to sign in.

If you are unable to log on to the system after you install the root certificate and usbkey driver, please reopen IE and try again.

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(2)

INE 上海国际能源交易中心 SHANGHAI INTERNATIONAL ENERGY EXCHANGE | Authentication

INE Warrant System 中文

Sign In

Authentication: USBKey

User Name: Remember me

Password:

Security Code:

Downloads

[Root Certification](#)

[HaiKey Driver](#)

Help Tips

Please connect your USBKey to the computer (If you access the system first, please download and install the root certification and usbkey driver), it would be recognized by the system; Then enter login information to sign in.

If you are unable to log on to the system after you install the root certificate and usbkey driver, please reopen IE and try again.

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Select the certificate and click "OK".

(3)



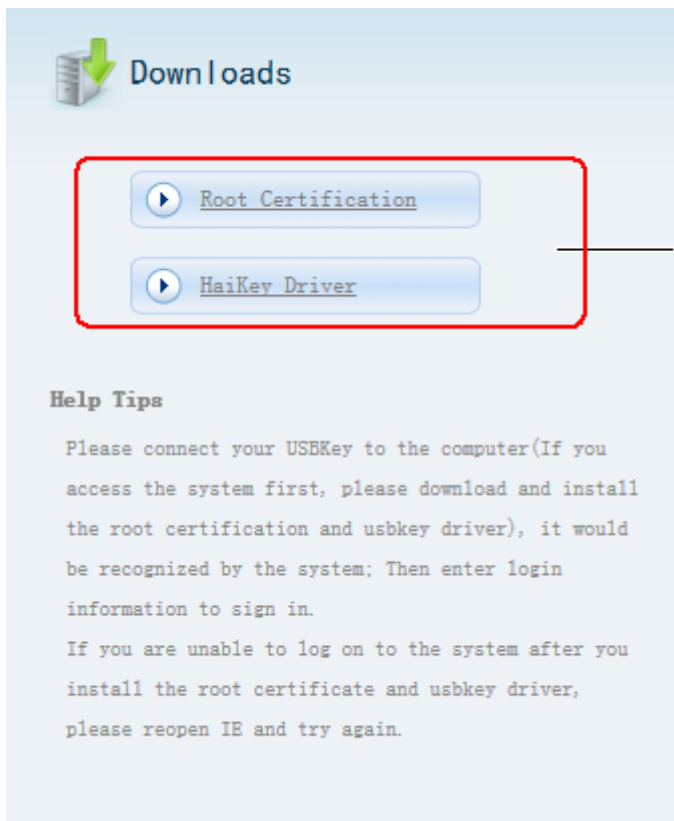
Input the PIN, click "OK" to login the System.

If no certificate is installed :

If you are a first-time user of the USB-KEY and no certificate is installed, then no certificate can be selected from the list of the digital certificates. In such a case, you need to download and install both the root certificate and the digital certificate. The System will automatically direct you to the certificate download page.

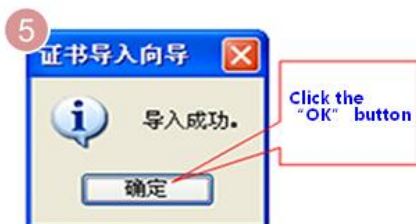
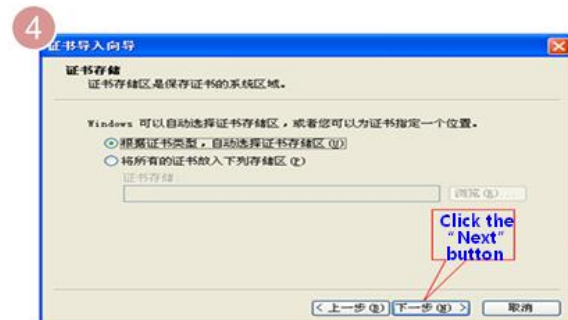
Note: First-time login user must download and install the Root Certificate and the Haitai Digital Certificate Driver.

(1)



Download the certificate

(2)



Click the link of "Download the Root Certificate" in the certificate downloading area. Complete the certificate installation according to the install wizard.

(3)

Click the link of "Download and Install the Haitai Digital Certificate Driver" in the certificate downloading page after the completion of the installation of the root certificate. Likewise, follow the install wizard to complete the installation of the digital certificate.

(4)

Upon completion of the installation of all necessary certificates, plug the USB-KEY into your computer once again, open the Google Chrome and type in the URL of the Standard Warrant System. Select the digital certificate accordingly in the popup window and then login the System.

System UI

Note: While care has been taken to ensure consistency between the screenshots in this User Guide and the actual system interfaces, the screenshots are for reference only. In the interest of information security, screenshots do not contain real data. This User Guide is meant to provide instructions on the relevant operations rather than data.

As for the OSBPs, the System is displayed as follows:

The screenshot displays the INE Warrant System interface. At the top, there is a navigation bar with the system name 'INE WARRANT SYSTEM' and a user name 'S8006'. A message alert indicates 'Hello, You have 0 New Messages, Have 0 New Circular(s)'. The interface is divided into several sections: a left-hand navigation menu with options like 'To do', 'Task Tracking', and 'New Task'; a main content area with 'Application Info' (including fields for Product, Duty-paid Status, Client ID, Member, Crude, Country, Proposed Load-in Date, and Exchange Physicals for Futures); 'Transportation and Place of Storage' (including Depot, Port of Departure, and Vehicle and Vessel No. of Declaration); and 'Operator' (including Name, Telephone, Mobile, and Fax). A 'Note' section is also present at the bottom of the main content area. The footer contains copyright information: '©2008-2015 All Rights reserved by Shanghai Futures Information Technology Co.,Ltd IPV6 support'.

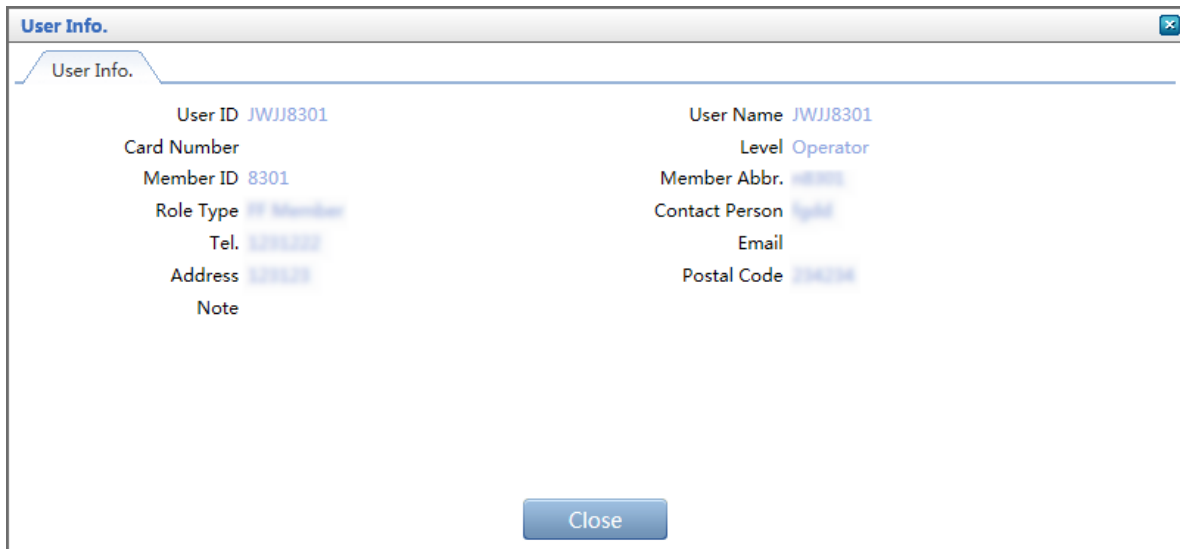
- Navigation Menu: the navigation menu is shown at the far left of the entire page. Click a specific sub-menu to enter the relevant page.
- In the navigation menu, the red badge counter appearing at the top-right corner of the To-do Tasks indicates how many to-do tasks the user currently has.



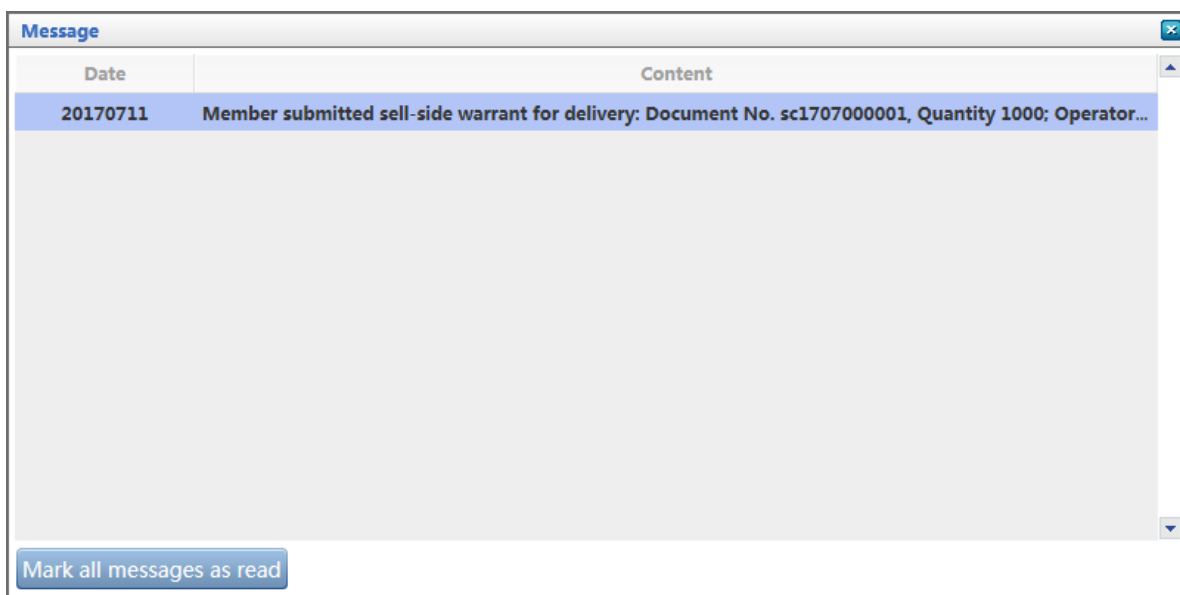
- Page Navigation Menu: the page navigation menu is shown at the top-left of the content area, indicating the path to the current page. On the page navigation, you may click any underlined title for quick access to the relevant page.

Click any underlined page for quick access to the relevant page.

- User Name: the user name is underlined and shown above the page navigation menu. Click it to view the account and the user information.



- Message alert: just as the user name, the message alert is also underlined and shown in the welcome line. Click it to view the list of current messages.



Message list presents the messages that indicate the status of relevant business of the user. Unread messages are shown in the boldface. You may click any unread message to mark it as read or click "Mark All Message as Read" located at the bottom of the list to mark all unread messages as read.

- Circular Reminder: You may see the circular page after login. The list of unread circulars is shown in the page. Click the title of a circular to view the details on the popup window. Circular reminder is also shown following the welcome line. The underlined number indicates the number of unread circulars. Click the number of unread circular to open a popup window. You may inquire about any circular in the System as per the date or title of a circular.

Bulletin Board

Circular Title :

Circular Date: -

Circular Title	Circular Date
Notice on the 2nd Term of Crude Oil Futures Related Business Training Tour	20170713

Current:1-1,Total:1

Page 1 / Total 1

Click the link of "Circular Title" to view the details on the page.

Bulletin Board

Notice on the 2nd Term of Crude Oil Futures Related Business Training Tour

Issue Date:20170713

Circular No.:20170108

The Shanghai International Energy Exchange ("INE"), together with Futures Industry Association across the country, plan to start the 2nd term of crude oil futures related business training tour in Chengdu, Zhengzhou, Dalian, Qingdao, Ningbo and Xiamen respectively on July 11th, 13th, 18th, 20th, 25th and 27th (See Attachment 1 for agenda), in order to satisfy the market needs for crude oil futures related business trainings. The specific arrangements are as below:

System Roles Description

Trading Members: Entities that can participate in the futures trading directly, including FF Members, Non-FF Member, OSBPs and OSNBPs.

Clearing Members: Entities that are qualified for the clearing business, including FF Members, Non-FF Members and Special Members.

Chapter 2 General Functions

This Chapter introduces a few of general functions commonly used in the System, such as Query, Form and Print.

Query

The System provides multiple query filters for you to perform relevant operation or view the details according to the search results. The operation in all search criteria areas is similar, which shows as follows:

Search criteria area

1 Search

2 Perform relevant operation in the search results

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
🗑	Maintain the ...		2308FP000006	Pending	New organization tax information (initiated by Clearing Me...	Application	20230817	20230817
	Copper	Delivery	bc2308000186	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	Copper	Delivery	bc2308000187	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	Copper	Delivery	bc2308000189	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	Copper	Delivery	bc2308000191	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	LSFO	Delivery	lu2308000339	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	LSFO	Delivery	lu2308000343	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808

Page 1 / Total 3 | Go to

(1)

Define the search criteria and find all matched records:

Step 1: Define the search criteria. You may select or define the matched condition entities here.

- **Tile-options search criteria:** You only need to click the criteria you want, and make it selected.

Task Status: **All** Pending Reject Cancel Completed Aborted

- **Date picker:** You may use it to define a date range or a single date. Click the date picker to open a floating popup calendar. Use the arrows at the left or right side of Year and Month to define the month and year, and finally click a specific date in the calendar.

20170613 - 20170713

2017						
SUN	MON	TUE	WED	THU	FRI	SAT
25	26	27	28	29	30	1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31	1	2	3	4	5
Today 2017-07-13						

- **Text-field search criteria:** click the text field and input the details.

Application No. :

Note: An asterisk in front of a condition indicates that that condition must be defined, such as the contract as shown below.

*Client ID:

Note: If there are too many search criteria, some criteria not commonly used will be hidden automatically by the System. You may click "More" at the bottom of the search criteria area to expand the view for all the search criteria, and then click "Hide" to collapse the view.

Search Criteria

Product: CrudeOil TSR 20 LSFO Copper

Operation Type: Load-in Margin Deposit Margin Withdrawal Warrant Transfer Delivery EFP Application Create Client Account
Load-in Compensation Create User Seller's delivery invoice Change Quality Inspection Date Modify Warrant Member
Overseas Delivery-Taking by Agreement Account/User Change Maintain the tax information of organizations in the VAT invoice section

Task Status: Pending Rejected Cancelled Completed Aborted

Application Date: Last Three Days Last Week Last Two Weeks Last Month

Processing Date: Last Three Days Last Week Last Two Weeks Last Month

Click "More" to expand all search criteria.

Search Criteria

Product: CrudeOil TSR 20 LSFO Copper

Operation Type: Load-in Margin Deposit Margin Withdrawal Warrant Transfer Delivery EFP Application Create Client Account
Load-in Compensation Create User Seller's delivery invoice Change Quality Inspection Date Modify Warrant Member
Overseas Delivery-Taking by Agreement Account/User Change Maintain the tax information of organizations in the VAT invoice section

Task Status: Pending Rejected Cancelled Completed Aborted

Application Date: Last Three Days Last Week Last Two Weeks Last Month

Processing Date: Last Three Days Last Week Last Two Weeks Last Month

Application No.:

Step 2: After defining all the search criteria, click the "Search" button at the bottom of the search criteria area to view all the matched records.

(2)

Search results are usually displayed in the form format. If you want to perform relevant operation in the search results, you may view, delete or cancel a specific record in the form. See the next section "Chapter2 General Functions ->Form" for more details.

Form

This System frequently uses the form to display the data containing the same fields orderly. Users may view the data in a form, or in some cases, perform relevant operation in a certain record of a form, such as modification, deletion or cancellation.

This System includes two kinds of typical forms as shown below:

One is the form containing an operation column.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr1900000011	Load-in (Member 7003 initiated, Client ID 60010012, W...	Application Su...	20190704	15:02:17	20190704	16:03:01
TSR 20	Load-in	nr1900000014	Load-in (Member 7003 initiated, Client ID 60010012, W...	Application Su...	20190705	14:44:43	20190712	14:16:13
TSR 20	Load-in	nr1900000020	Load-in (Member 7003 initiated, Client ID 60010012, W...	Application Su...	20190715	12:23:27	20190715	12:28:19
TSR 20	Margin Wit...	nr1900000001	Collateralization for Margin - Withdraw(initiated by Cli...	Margin Withdr...	20190802	16:06:07	20190802	16:06:07
Medium So...	Load-in	sc1900000009	Load-in (Member 7003 initiated, Client ID 60010012, Q...	Application Su...	20190709	12:38:24	20190710	16:37:16

The other is the form with operation buttons at the bottom.

User ID	User Name	Level	Status	Account Openi...	Expiry Date of Certificate
JWJJ8301	JWJJ8301	Operator	Activate	20150227	

[+ Add](#)
[Modify](#)
[Delete](#)
Page 1 / Total 1 [Go to](#)

Operation column

Some forms in the System contain an operation column. The operation column of each record corresponds to a button. You may perform relevant operation in a record, such as cancellation or modification, by clicking the button in the operation column of the same record.

Note: If no button is shown in the operation column of some records, then you cannot perform the same operation in such records as you do to other records with a button.

Operation Column Medium Sour...

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sour...	Load-in	sc1700000061	Pendi...	Load-in (Member 8301 initiated, Client ID 83010001, Quanti...	Load-in Appli...	20170808	20170818
	Medium Sour ...	Load-in	sc1700000062	Pendi...	Load-in (Overseas Intermediary 80008 initiated, Client ID 83...	Load-in Appli...	20170808	20170818
	Medium Sour ...	Load-in	sc1700000060	Pendi...	Load-in (Overseas Intermediary 80008 initiated, Client ID 83...	Load-in Appli...	20170808	20170808
	Medium Sour ...	Collateralizat...	sc1700000026	Pendi...	Collateralization for Margin - Deposit(initiated by Member ...	Apply for Ma...	20170808	20170808
	Medium Sour ...	Margin With...	sc1700000015	Pendi...	Collateralization for Margin - Withdraw(initiated by Client 8...	Margin With...	20170808	20170808
	Medium Sour ...	Margin With...	sc1700000016	Cancel	Collateralization for Margin - Withdraw(initiated by Membe...	Margin With...	20170808	20170808
	Medium Sour ...	Margin With...	sc1700000017	Pendi...	Collateralization for Margin - Withdraw(initiated by Membe...	Margin With...	20170808	20170808
	Medium Sour ...	Delivery	sc1708000001	Pendi...	Member submitted sell-side warrant for delivery(initiated b...	Approved by ...	20170808	20170808

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Link

Some forms in the System may have underlined content in the fields, such as the "Application No." as shown below. You may click such a link to view the details or handle relevant business on the details page of the record.

Links are underlined.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Load-in	sc1700000033	Load-in (Member 8301 initiated, Client ID 83010001, Q...	Application Su...	20170522	04:43:38	20170522	22:14:22
Medium Sou...	Load-in	sc1700000034	Load-in (Overseas Intermediary 80008 initiated, Client L...	Warrant Gene...	20170522	04:50:10	20170523	01:27:57
Medium Sou...	Load-in	sc1700000041	Load-in (Overseas Intermediary 80008 initiated, Client L...	Warrant Gene...	20170531	21:48:05	20170531	22:01:33

Display the Details of Warrant Accounts

As for some forms in the page of review confirmation, you may view the details of warrant. As shown below, the details of a warrant will be displayed if you click any field of the form.

To do ▶ Forward margin collateral withdrawal application

Commodity Info.

Application No. of Margin: sc170000009 Application Date: 20170602
 Withdrawal: Margin Type: Margin Collateral
 Product: Medium Sour Crude Oil Client Name: dgg
 Client ID: 83010002[Overseas Intermediary's Client] Withdrawal Method: Normal
 Collateralization for: Margin Withdrawal Applied by Client
 Margin Status: Note:

Deposit No. of Collatera...	Warrant Acco...	Duty-pa...	Depot	Crude	Contract	Expiry Date	Last Delivery Period	Last Delivery Price	Qty. Sub...
sc1700000014	scB000000084	Bonded	SHC	CHINA Crude1		29991231			1,000

Product Property - Storage Location : Qty. Submitted
 • EIKNIK 123 -- : 1000
Start/End Date of Storage - Paid storage period: Qty. Submitted
 • 20170519-20181212 : 1000

Click the data bar to view the warrant details of relevant record.

Qty. Submitted:1000

OK

Print

Printing is commonly used in the System, such as the data forms and vouchers. Just click the "Print" button and follow the prompts to complete the printing.

Quantity Submitted

Quantity Submitted is frequently used in this System. For instance, you need to fill in the Quantity Submitted for the Margin Collateral.

Document N...	Warrant Acco...	Duty-...	Depot Abbr.	Client Name	Crude	Last Deliver...	Last Delivery ...	Authorization Busi...	Available Qty.	Qty. Submit...
sc1700000015	scO000010517	Bond...	SHC	CHINA dgg	CHINA Crude1			Authorization for C...	988000	5000

Please select by product property - Storage Location : Qty. Submitted/Qty. Available
 • -- : / 988000

Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available
 • 20170519-20181212 : / 988000

Set up the overall Qty. Submitted

Assign the overall Qty. Submitted according to storage space and end date of storage fees, respectively.

When a user clicks the text box of Quantity Submitted, a sub-list will be displayed at the bottom of the task. In the sub-list, you may assign the overall Quantity Submitted according to storage space and end date of storage fee, respectively.


Note: If a user only inputs the overall Quantity Submitted, the commodities ranking the first place in terms of storage space and end date of storage fee will be selected in default in the sub-list. If the quantity of such commodities is not sufficient, the remaining quantity will be allotted to the commodities with subsequent rankings.

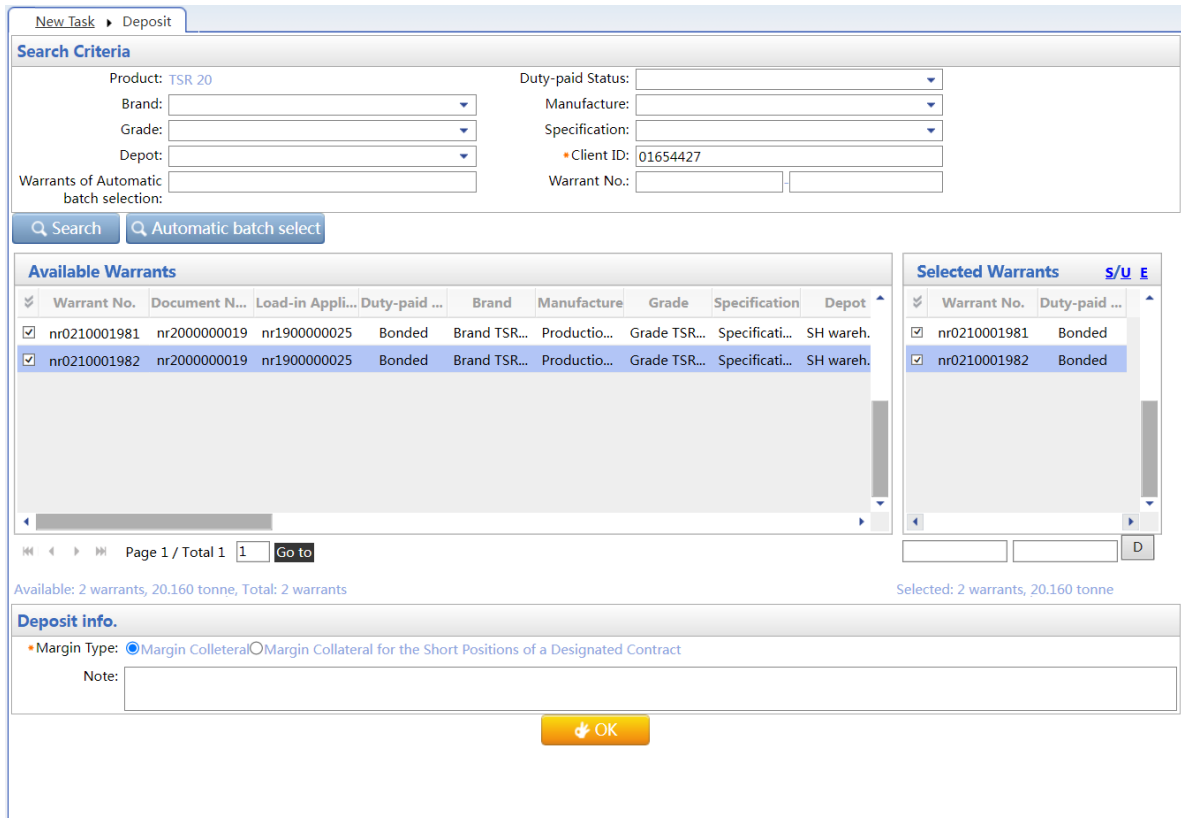
Select Warrants

In many operations involving TSR 20, LSFO and Copper, users will need to select one or more warrants. For example, on the "Deposit" page under "Margin Collateral", a user needs to search for selectable warrants according to the search criteria, then filter the results and perform relevant actions with the selection.

Product: TSR 20, Copper

(1)

Select the "Single Record Mode" tab, define the search criteria, and click the "Search" button to show the list of results in the "Available Warrants" section. Tick the warrants as needed and the selections will be shown in the "Selected Warrants" section on the right. The select-all button "  " allows you to select or deselect all the available warrants.



Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 Warrants of Automatic batch selection:

Duty-paid Status:
 Manufacture:
 Specification:
 Client ID: 01654427
 Warrant No.:

Available Warrants									
Warrant No.	Document N...	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.

Page 1 / Total 1

Available: 2 warrants, 20.160 tonne, Total: 2 warrants

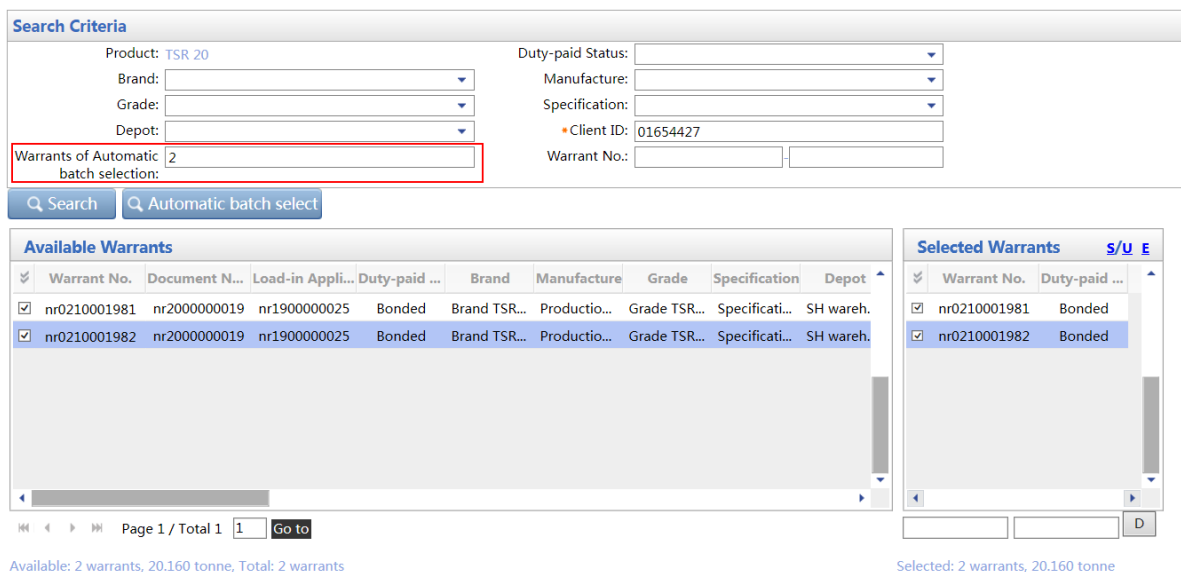
Selected Warrants		S/U E
Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nr0210001981	Bonded
<input checked="" type="checkbox"/>	nr0210001982	Bonded

Deposit info.

Margin Type: Margin Colateral Margin Collateral for the Short Positions of a Designated Contract

Note:

The "Automatic Batch Select" function allows you to quickly filter out the desired warrants. To use it, define the search criteria, fill in a number in "Warrants of Automatic Batch Selection", and click "Automatic Batch Select" to display the search results and automatically select the indicated number of warrants. These warrants will also be automatically listed in the "Selected Warrants" section.



Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 Warrants of Automatic batch selection:

Duty-paid Status:
 Manufacture:
 Specification:
 Client ID: 01654427
 Warrant No.:

Available Warrants									
Warrant No.	Document N...	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.

Page 1 / Total 1

Available: 2 warrants, 20.160 tonne, Total: 2 warrants

Selected Warrants		S/U E
Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nr0210001981	Bonded
<input checked="" type="checkbox"/>	nr0210001982	Bonded

(2)

In "Selected Warrants", the selected warrants can be displayed individually or as a sequential series, and can also be exported.

- Individual display: Click "S" and all listed warrants will be shown individually.

Selected Warrants		S/U E
Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/> nrbjc0002275	Bonded	
<input checked="" type="checkbox"/> nrbjc0002276	Bonded	

- Series display: Click "U" and all listed warrants will be shown as a sequential series. You can modify the count of warrants in the blank of "Count", and the smaller count than the current one is available.

Selected Warrants		S/U E
Warrant No.	Count	
<input checked="" type="checkbox"/> nrbjc0002275-0002276	2	

- Export: Click "E" to save the selected warrants to a local disk.

(3)

Cancel the selections made in "Selected Warrants"

Deselect any unwanted warrants in "Selected Warrants" to remove them from "Selected Warrants". These will be shown in "Available Warrants" in unselected state. The select-all button allows you to select or deselect all warrants.

You may also enter the range of the warrants to be deselected into the input boxes below "Selected Warrants" and click the "D" button to remove them.

Product: LSFO

Warrants of LSFO can be selected in two ways:

- Search under the "Single Record Mode" and then select the warrants for the operation;


- Search under the “Union WarrantID Mode” and then select the warrants for the operation.

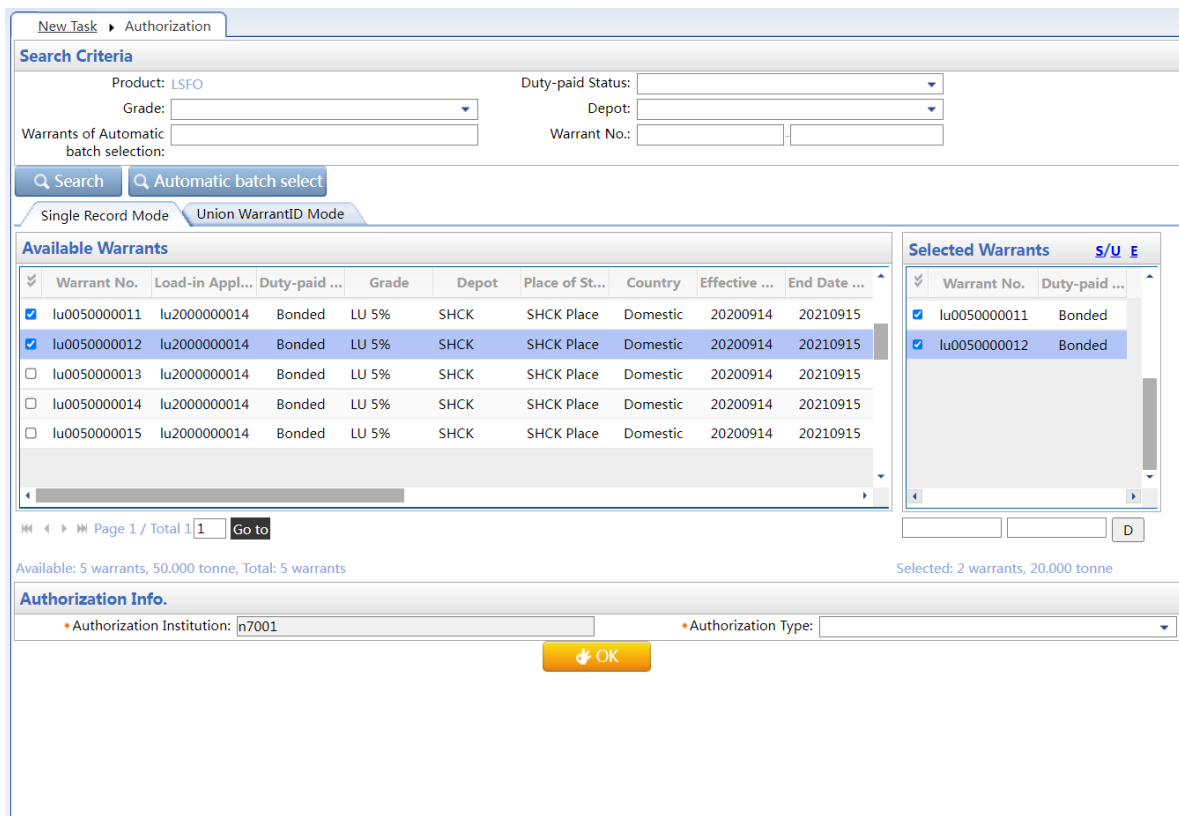
[Note] Switching between the two modes will clear any selections already made. In this case the warrants need to be selected again.

The sections below will explain each of the two modes.

Search and Select Warrants under “Single Record Mode”

(1)

Select the “Single Record Mode” tab, define the search criteria, and click the “Search” button to show the list of results in the “Available Warrants” section. Tick the warrants as needed and the selections will be shown in the “Selected Warrants” section on the right. The select-all button "  " allows you to select or deselect all the available warrants.



The screenshot displays the 'Authorization' interface. At the top, there are search criteria fields: Product (LSFO), Grade (dropdown), Duty-paid Status (dropdown), Depot (dropdown), Warrants of Automatic batch selection (input), and Warrant No. (input). Below these are buttons for 'Search' and 'Automatic batch select'. The interface has two tabs: 'Single Record Mode' (selected) and 'Union WarrantID Mode'. The main area is divided into 'Available Warrants' and 'Selected Warrants'. The 'Available Warrants' table lists 5 warrants with columns for Warrant No., Load-in Appl..., Duty-paid..., Grade, Depot, Place of St..., Country, Effective..., and End Date. Two warrants (lu0050000011 and lu0050000012) are selected. The 'Selected Warrants' table shows the same two selected warrants. At the bottom, there is an 'Authorization Info' section with fields for 'Authorization Institution' (n7001) and 'Authorization Type' (dropdown), and an 'OK' button.

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...
<input checked="" type="checkbox"/> lu0050000011	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input checked="" type="checkbox"/> lu0050000012	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000013	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000014	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000015	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/> lu0050000011	Bonded
<input checked="" type="checkbox"/> lu0050000012	Bonded

Page 1 / Total 1 | Go to

Available: 5 warrants, 50.000 tonne, Total: 5 warrants | Selected: 2 warrants, 20.000 tonne

Authorization Info:

- Authorization Institution: n7001
- Authorization Type: [dropdown]

OK

The “Automatic Batch Select” function allows you to quickly filter out the desired warrants. To use it, define the search criteria, fill in a number in “Warrants of Automatic Batch Selection”, and click “Automatic Batch Select” to display the search results and automatically select the indicated number of warrants. These warrants will also be automatically listed in the “Selected Warrants” section.

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Depot:

Warrants of Automatic batch selection:

Warrant No.:

Single Record Mode Union WarrantID Mode

Available Warrants										Selected Warrants		
Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...		Warrant No.	Count	
<input checked="" type="checkbox"/>	lu0050000011	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input checked="" type="checkbox"/>	lu0050000011-0000012	2
<input checked="" type="checkbox"/>	lu0050000012	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915			
<input type="checkbox"/>	lu0050000013	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915			
<input type="checkbox"/>	lu0050000014	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915			
<input type="checkbox"/>	lu0050000015	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915			

Page 1 / Total 1 Go to

Available: 5 warrants, 50,000 tonne, Total: 5 warrants Selected: 2 warrants, 20,000 tonne

(2)

In "Selected Warrants", the selected warrants can be displayed individually or as a sequential series, and can also be exported.

- Individual display: Click "S" and all listed warrants will be shown individually.

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/> lu0050000011	Bonded
<input checked="" type="checkbox"/> lu0050000012	Bonded

- Series display: Click "U" and all listed warrants will be shown as a sequential series. You can modify the count of warrants in the blank of "Count", and the smaller count than the current one is available.

Selected Warrants		S/U E
Warrant No.	Count	
<input checked="" type="checkbox"/> lu0050000011-0000012	2	

- Export: Click “E” to save the selected warrants to a local disk.

(3)

Cancel the selections made in “Selected Warrants”

Deselect any unwanted warrants in “Selected Warrants” to remove them from “Selected Warrants”. These will be shown in “Available Warrants” in unselected state. The select-all button allows you to select or deselect all warrants.

You may also enter the range of the warrants to be deselected into the input boxes below “Selected Warrants” and click the “D” button to remove them.

Selected Warrants		S/U E
Warrant No.	Count	
<input checked="" type="checkbox"/> lu0050000011-0000012	2	

<input type="text"/>	<input type="text"/>	D
----------------------	----------------------	---

Search and Select Warrants under “Union WarrantID Mode”

(1)

Select the “Union WarrantID Mode” tab.

(2)

Define the search criteria and click the “Search” button to display the results in “Available Warrants”.

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection: 2 Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

Warrant No.	Available ...	Selected Warr...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Ex
<input type="checkbox"/> lu0050000011-0000015	5		lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2

5 warrants are available,0 warrants are selected

Here the warrants in a sequence will be shown as a single record. Selecting a record will select all corresponding warrants. You may also click on the “Selected Warrants Number” and enter a number N into the input box that has just appeared, in order to select the first N warrants in the record.

The select-all button allows you to select or deselect all the available warrants.

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection: 2 Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

Warrant No.	Available ...	Selected Warr...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Ex
<input type="checkbox"/> lu0050000011-0000015	5	<input type="text" value="2"/>	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2

5 warrants are available,0 warrants are selected

(3)

The “Automatic Batch Select” function allows you to quickly filter out the desired warrants. To use it, define the search criteria, fill in a number in “Warrants of Automatic Batch Selection”, and click “Automatic Batch Select” to display the search results and automatically select the indicated number of warrants.

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection: 2 Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

Warrant No.	Available ...	Selected Warr...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Ex
<input checked="" type="checkbox"/> lu0050000011-0000015	5	2	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2

5 warrants are available,2 warrants are selected

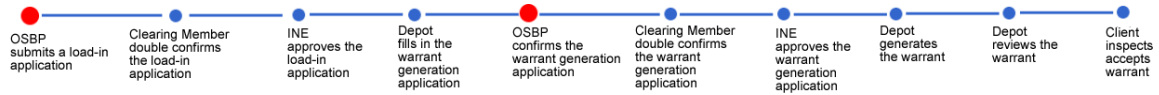
(4)

To export the warrants found: Click "Export" to save the list of warrants to a local disk.

Process nodes diagram

This Guide exhibits the process of relevant business in the form of process nodes diagram, which is divided into the following two types:

Type 1: the whole process nodes diagram that displays the complete picture of the business operation, as shown below:



- Blue nodes indicate the tasks that need to be done by other roles in the entire process.
- Red nodes indicate the tasks that need to be done by this role in the entire process.

Type 2: the process nodes diagram that exhibits the general overview of an ongoing business, including already done, to-be-done and undone tasks, as shown below:



- Blue nodes indicate the finished tasks in the process.
- Red nodes indicate the to-do tasks by this role.
- Grey nodes indicate the undone tasks in the process.

Chapter 3 Business Operation

The business operations are mainly conducted through the three sections in the navigation menu, including "To-do", "Task Tracking" and "New Task".

You may handle any task to be done in "To-do", which is a task that is assigned to an OSBP in the entire process. You can also initiate a new task in "New Task", i.e., the operation on the first node of the entire process. Then you can view the tasks initiated by yourself, to be done or done in "Task Tracking".

To-do

The page of "To-do" is the default home page when an OSBP logs the System, which shows all to-do tasks of an OSBP as below:

To do

Search Criteria

Product: [All](#) Medium Sour Crude Oil TSR 20 LSFO Copper

Operation Type: [All](#) Load-in Margin Deposit Margin Withdrawal Warrant Transfer Delivery EFP Application Create Client Account
 Load-in Compensation Create User Seller's delivery invoice Change Quality Inspection Date Modify Warrant Member
 Overseas Delivery-Taking by Agreement Account/User Change Maintain the tax information of organizations in the VAT invoice section

Application No.:

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Margin Wit...	sc2300000118	Collateralization for Margin - Withdraw(initiated by INE...	Margin Withdr...	20230727	13:36:06	20230727	14:18:19
Medium So...	Margin Wit...	sc2300000282	Collateralization for Margin - Withdraw(initiated by INE...	Margin Withdr...	20230802	13:51:29	20230802	14:12:09
Medium So...	Margin Wit...	sc2300000303	Collateralization for Margin - Withdraw(initiated by INE...	Margin Withdr...	20230803	13:20:34	20230808	16:37:25

Define the search criteria at the top of "To do" page and find the tasks that need to be done in the query results displayed at the lower part of the same page. Click the "Application No." to view the details of such tasks.

To do **Confirm Warrant Generation**

Declaration Warrant Count:

Proposed Load-in Date: 20190704

The Proposed Inspection Agency: TSR_CERT

Name: [IPB34234](#)

Telephone: 1234

Mobile: 1234

Fax: 1234

Note

234

Warrant Generation Application Information

Actual Arrived Vehicle and Vessel No.:

Actual Load-in Date: 20190704

Actual Load-in Weight (tonne): 100.000

Max Warrants can be Issued: 9

Production Date: 20190704

Quality Inspection Result: Qualified

Customs declaration No.: 3123123

Load-in Amount: 12312.00

Currency: RMB

Application Notes:

Certificate of Load-in

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Locator Code (separa...	Note
Inspection certificate ...	123123	100.000	20190704	TSR_CERT	TSR1-1-2,TSR1-1-3	234
Bonded Right to Cash...	234234	10.000	20190704	121312312312312312		234

You may handle the To-do Tasks in the page of detailed information about To-do Tasks.

Task Tracking

OSBPs may inquire about and view the status of tasks initiated by themselves as well as of the processed tasks in the page of "Task Tracking". Follow-up processing node(s) will also be displayed if a task is not finished yet.

Task Tracking
Search Criteria

Product: All Medium Sour Crude Oil TSR 20 LSFO Copper

Operation Type: All Load-in Margin Deposit Margin Withdrawal Warrant Transfer Delivery EFP Application Create Client Account
 Load-in Compensation Create User Seller's delivery invoice Change Quality Inspection Date Modify Warrant Member
 Overseas Delivery-Taking by Agreement Account/User Change Maintain the tax information of organizations in the VAT invoice section

Task Status: All Pending Rejected Cancelled Completed Aborted

Application Date: All Last Three Days Last Week Last Two Weeks Last Month

Processing Date: All Last Three Days Last Week Last Two Weeks Last Month

Q Search
More ▾

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processing...
		Maintain the...	2308FP000006	Pending	New organization tax information (initiated by Clearing Me...	Application	20230817	20230817
	Copper	Delivery	bc2308000186	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	Copper	Delivery	bc2308000187	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	Copper	Delivery	bc2308000189	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	Copper	Delivery	bc2308000191	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	LSFO	Delivery	lu2308000339	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808
	LSFO	Delivery	lu2308000343	Pending	Member submitted sell-side warrant for delivery(initiated b...	Application f...	20230808	20230808

Page 1 / Total 3 Go to

Similar to To-do Tasks, you may define the search criteria area at the top of "Task Tracking" page and make the search. You will find the tasks in the search results displayed at the lower part of the same page.





Click the "Application No." to view the details of such tasks as below:

Task Tracking ▶ Load-in Application Detail

Trading Member (S8008)	INE(AEAT)	Trading Member (S8008)	INE	Warehouse	Trading Member	INE	Warehouse	Warehouse	Client
Applied Load-in Application	Rejected Load-in Application	Modified Load-in Application	Verify load-in filling	Submit filled warrant generation form	Confirm Warrant Generation	Approve warrant generation	Fill in warrant generation form	Warrant generation verification	Inspection Accept v
20200110 14:22	20200116 10:08	20200116 14:31							

Application Info.

Load-in Application Form No.: nr200000007	Duty-paid Status: Bonded
Product: TSR 20	Client ID: 01654375
Source of Cargo: Imported	Member: 8008(8008)
Client Name: 5yhgh	Manufacture: Production plant
Brand: Brand TSR20	Grade: Grade TSR20
Country: Domestic	Declaration Weight 100.000 (tonne) :
Specification: Specification 1	Proposed Load-in Date:
Declaration Warrant Count: 10	Depot: BJ warehouse
The Proposed Inspection Agency: Certificate Issue	Port of Departure (Country Singapore Name):
Place of Storage: Jing Yi warehouse	Transportation: Waterway
Port of Departure (Port Name):	
Vehicle and Vessel No. of Declaration:	
Name: [Redacted]	Telephone: 13012012012
Mobile: 13012012012	Fax: 01021232141
Note for Load-in Application:	

- : the task at the node has been finished;
- : the process is at the node;
- : the process has not reached that node yet;
- : the process has ended after being rejected.

New Task

All new tasks that can be initiated by OSBPs are shown in the page of "New Task". You may select a product at the top of the page, and then select a specific task type to initiate a new task. For instance, you will initiate a load-in application task if you select the "Load-in Application".

New Task

Medium Sour Crude Oil | TSR20 | LSFO | Copper

<p>Load-in</p> <p>Load-in Application</p>	<p>Collateralization For Margin</p> <p>Deposit Withdrawal</p>
<p>Delivery</p> <p>Submit a Notice of Interest Submission of Warrants</p> <p>Buy-Side Warrant Allocation</p> <p>Warrant Released By Buy-side Clearing Member</p> <p>Confirm/Cancel Buy-Side Warrant Allocation</p> <p>Seller's Delivery Invoice Check a Notice of Interest</p>	<p>EFP Delivery</p> <p>EFP Application Submission of Warrants</p> <p>Buy-Side Warrant Allocation</p> <p>Warrant Released By Buy-side Clearing Member EFP Intention</p> <p>Seller's Delivery Invoice</p>
<p>Authorization</p> <p>Return of Authorization</p>	

Medium Sour Crude Oil

TSR20

LSFO

Copper



Load-in

[Load-in Application](#)



Delivery

[Submit a Notice of Interest](#) [Submission of Warrants](#)
[Buy-Side Warrant Allocation](#)
[Warrant Released By Buy-side Clearing Member](#)
[Confirm/Cancel Buy-Side Warrant Allocation](#)
[Seller's Delivery Invoice](#) [Check a Notice of Interest](#)



Authorization

[Return of Authorization](#)



Collateralization For Margin

[Deposit](#) [Withdrawal](#)



EFP Delivery

[EFP Application](#) [Submission of Warrants](#)
[Buy-Side Warrant Allocation](#)
[Warrant Released By Buy-side Clearing Member](#) [EFP Intention](#)
[Seller's Delivery Invoice](#)



Change Quality Inspection Date

[Change Quality Inspection Date](#)

Medium Sour Crude Oil

TSR20

LSFO

Copper



Load-in

[Load-in Application](#)



Delivery

[Submit a Notice of Interest](#) [Submission of Warrants](#)
[Buy-Side Warrant Allocation](#)
[Warrant Released By Buy-side Clearing Member](#)
[Confirm/Cancel Buy-Side Warrant Allocation](#)
[Seller's Delivery Invoice](#) [Check a Notice of Interest](#)



Authorization

[Return of Authorization](#)



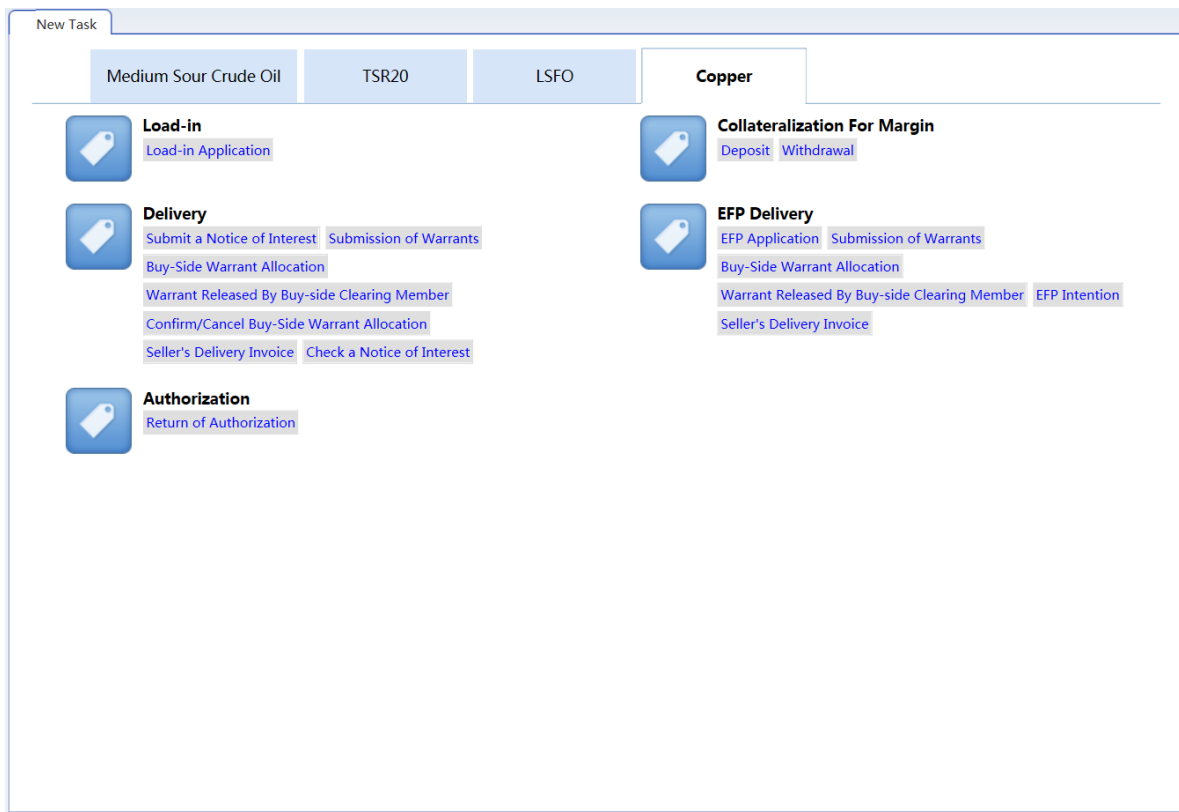
Collateralization For Margin

[Deposit](#) [Withdrawal](#)



EFP Delivery

[EFP Application](#) [Submission of Warrants](#)
[Buy-Side Warrant Allocation](#)
[Warrant Released By Buy-side Clearing Member](#) [EFP Intention](#)
[Seller's Delivery Invoice](#)



Chapter 4 Load-in

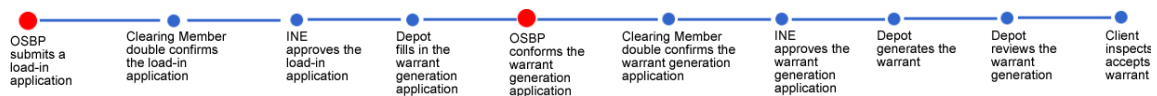
This Chapter describes the load-in operation by an OSBP.

A commodity owner shall appoint an OSBP or Overseas Intermediary to submit the load-in application to the Exchange via this System prior to shipping the commodities to the Designated Delivery Storage Facility.

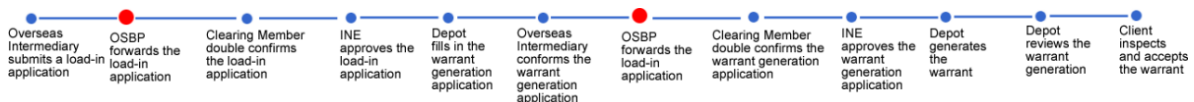
After the Exchange reviews the application, the Designated Delivery Storage Facility will inspect the commodities and relevant documents, and issue standard warrants.

Since the OSBP cannot directly conduct clearing, it is required to authorize its Clearing Member to double confirm the load-in application and the warrant generation application.

The node diagram for the load-in process initiated by the OSBP is as follows:



The node diagram for the load-in process initiated by the Overseas Intermediary under the carrying-brokerage service provided by an OSBP is as follows:



In the load-in process, an OSBP may participate in the following procedures:

Submit a Load-in Application: the OSBP is required to submit a load-in application if the load-in process is initiated by itself;

- **Confirm a Warrant Generation Application:** if the load-in process is initiated by the OSBP, it is required to confirm a warrant generation application after the depot fills in the application,;
- **Forward a Load-in Application:** the OSBP is required to forward the load-in application submitted by its Overseas Intermediary if the Overseas Intermediary initiates a load-in

process;

- **Forward a Warrant Generation Application:** the OSBP is required to forward the warrant generation application submitted by the Overseas Intermediary if the Overseas Intermediary initiates a load-in process;

Product: Medium Sour Crude Oil

Submit a Load-in Application

The OSBP may submit a load-in application in the "New Task" module of this System.

(1)

In the navigation menu, select "New Task --> Load-in Application" to enter the Page of Load-in Application.

(2)

The OSBP can Submit a Load-in Application when the commodities are about to arrive at the depot, as shown below.

The screenshot shows a web application interface for submitting a load-in application. The title bar indicates 'New Task > Load-in Application'. The form is organized into four main sections:

- Application Info:** Contains fields for Product (Medium Sour Crude Oil), Duty-paid Status (Bonded), Client ID, Member (8008/8008), Crude, Country, Proposed Load-in Date, Source of Cargo, Client Name, Origin, Futures Declaration Qty. (barrel), and the Proposed Inspection Agency. There is also a checkbox for 'Exchange Physicals for Futures'.
- Transportation and Place of Storage:** Contains fields for Depot, Port of Departure (Country Name), Transportation, Place of Storage, Port of Departure (Port Name), and Vehicle and Vessel No. of Declaration.
- Operator:** Contains fields for Name, Mobile, Telephone, and Fax.
- Note:** A text area for 'Note for Load-in Application' with a scroll bar.

At the bottom of the form is a yellow 'OK' button.

The Form of the Load-in Application consists of 4 sections. Please fill in all the sections in sequence as follows:

- **Application Information:** Fill in the information relating to the application.
- **Transport and Place of Storage**
- **Operator**
- **Note**

Note: the text box with the grey background indicates that it is not editable.

The OSBP can Submit a Load-in Application when the commodities are already Physicals Filing in the depot ,as shown below.

The Form of the Load-in Application consists of 5 sections. Please fill in all the sections in sequence as follows:

- **Application Information:** Fill in the information relating to the application. You need to input the "Physicals Filing No.", leave the details on the "Transport and Place of Storage" in blank and the "Transportation" will show "Stock-in" in default.
- **Transport and Place of Storage:** it is not editable, Information that has been entered in Physicals Filing.
- **Operator**
- **Oil Tank List** Choose the oil tank which was inputted from Physicals Filing.
- **Note**

Note: the text box with the gray background indicates that it is not editable.

Note: Please pay attention to the notes displayed at the bottom of the text boxes when filling in the Form.

(3)

Upon completion of the Form, click "OK" at the bottom of the page to submit the load-in application.

Operation	Product	Operation Type	Application No.	Task ...	Task Description	Operation Stat...	Applicat...	Processin...
		Medium Sou...	Load-in	sc170000061	Pen...	Load-in (Member 8301 initiated, Client ID 83010001, Quantit...	Load-in Appli...	201708... 20170818

Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the task details page.

The OSBP may click the or icon in the operation column of that task to modify or cancel the load-in application before the Clearing Member makes the double confirmation or after the Clearing Member rejects the load-in application.

Print a Load-in Approval Notification

After the load-in application submitted by the OSBP is approved by the Exchange, the OSBP may print the Load-in Approval Notification for that task in the page of Task Tracking.

Note: The Load-in Approval Notification can be printed only if the application was submitted by the OSBP and the Client is its direct client.

(1)

In Task Tracking, set the operation type as "Load-in" and inquire about the task with the status as "Load-in Application Approved".

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
Medium Sou...		Load-in	sc1700000051	Pendi...	Load-in (Member 8301 initiated, Client ID 83010001, Quanti...	Load-in Appli...	20170713	20170713

(2)

Click the "Application No." of the load-in task to enter the details page. Click the "Print Load-in Approval Notification" link at the bottom of the page to open a popup window of load-in approval notification.

Task Tracking ▶ Load-in Application Detail

Trading Member (S7003) — INE(AEAT) — Warehouse — Trading Member — INE — Warehouse — Warehouse — Client

Applied Load-in Application (20200110 15:10) — Approved Load-in Application (20200110 15:10) — **Submit filled warrant generation form** — Confirm Warrant Generation — Approve warrant generation — Fill in warrant generation form — Warrant generation verification — Inspect and Accept warrant

Application Info.

Load-in Application Form No.: nr2000000009

Product: TSR 20 Duty-paid Status: Bonded

Source of Cargo: Imported Client ID: 60010012

Client Name: Member: n7003(7003)

Brand: Brand TSR20 Manufacture: Production plant

Country: Domestic Grade: Grade TSR20

Specification: Specification 1 Declaration Weight 100.000 (tonne) :

Declaration Warrant Count: 10 Proposed Load-in Date: 20200110

The Proposed Inspection Agency: Certificate Issue Depot: BJ warehouse

Place of Storage: Jing Yi warehouse Port of Departure (Country import Name):

Port of Departure (Port Name): Transportation: Waterway

Vehicle and Vessel No. of Declaration:

Name: Telephone: 13012012012

Mobile: 13012012012 Fax: 01020101023

Note for Load-in Application:

[Print Load-in Approval Notification](#)

(3)

Click the "Print Load-in Approval Notification" at the bottom of the page to enter the preview page of load-in Application/approval notice.

Shanghai International Energy Exchange
Load-in Application/Approval Notice for Medium Sour Crude Oil

Designated Delivery Storage Facility:Beijing Oil Storage

Load-in Filing No.:sc190000011

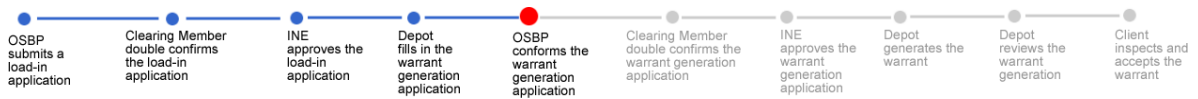
Customs Clearance Status	Bonded	Source of Cargo	Imported
Member ID	7005	Member Name	7005
OSP ID	7003	OSP Name	n7003
Overseas Intermediary ID		Overseas Intermediary Name	
Client ID	60010012	Client Name	7003
Grade of Crude	CHINA Crude 1	Origin	Beijing
Declared Futures Qty (barrel)	200000	Declared Physical Qty (barrel)	0
Transportation	Railway	Country	Domestic
Port of Departure	import-001	Vehicle& Vessel No.	002
Proposed Load-in Date	20190808	Proposed Inspection Agency	TSR_CERT
Operator	LIY	Tel.	13012012012
Mobile	13012012012	Fax	01020120321
Load-in Deposit (Yuan)	1,200,000.00		
Remarks			

Notes:

Click the "Print" link and follow the prompts to complete the printing.

Confirm a Warrant Generation Application

After the load-in application submitted by the OSBP is double confirmed by its Clearing Member and approved by the Exchange and the warrant generation application is completed by the depot, the OSBP is also required to confirm the warrant generation application.



(1)

First, search the task with the operation type as "Load-in" in the page of To-do Tasks and inquire about the warrant generation application to be confirmed by the OSBP.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Load-in	<u>sc2000000015</u>	Load-in (Member 7003 initiated, Client ID 60010012, Q...	Application Su...	20200110	15:15:30	20200110	15:30:05

(2)

Click the "Application No." to enter the page of "Confirm Warrant Generation".

To do ▶ Confirm Warrant Generation

Name: [] Telephone: 13012324123
 Mobile: 13012324123 Fax: 01012451234

Note for Load-in Application :

Warrant Generation Application Information

the Inspection Agency: Certificate Issue Inspection Certificate No.: C2020005001
 Actual Arrived Vehicle and Vessel No.: S451 Actual Load-in Date: 20200110
 Actual Load-in Quantity: 200000.00 Qty. can be Issued: 200000
 Quality Inspection Result: Qualified Customs Document ID: 074125
 Customs Amount: 2,000,000,000.00 Currency: RMB
 Additional Declaration Quantity: 0
 Application Notes:

Certificate of Load-in

✓ Certificate Type	Certificate No.	Issued Certificate...	Issue Date	Issuing Authority	Quantity in use	Scanning Copy Of C...	Note
Bill of lading	T2022001001	100000000.00	20221111	ADIE	330000.00	Cer.docx	

Approve Reject

All information contained in the page of "Confirm Warrant Generation" shall be double checked by the users.

(3)

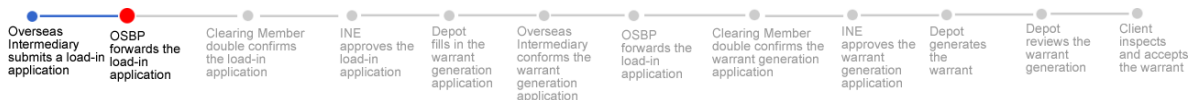
Then perform the following steps at the lower part of the page:

- Pass: Click the "Approved" button to confirm the warrant generation application and proceed to the next step of the process.
- Reject: Click the "Reject" button and fill the review comments (the reason for the rejection). After being rejected and sent back to the depot, such a warrant generation application can still be re-submitted by the depot on the basis of modification.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Forward a Load-in Application

The OSBP is required to forward the load-in application submitted by its Overseas Intermediary. The Exchange will only review and approve a load-in application that is forwarded by the OSBP and double confirmed by the Clearing Member.



(1)

First, enter the page of "To-do" and set the operation type as "Load-in" at the search criteria area of the page. Click the "Search" button to inquire about the task with the status as "Load-in Application Submitted" and view the load-in application to be forwarded.

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Load-in	sc2000000016	Load-in (Overseas Intermediary 00011 initiated, Client I...	Load-in Appli...	20200110	15:21:05	20200110	15:21:05

(2)

Select the task to be forwarded, and click the "Application No." to enter the page of Forward Load-in Application.

To do ▶ Forward Load-in Application

Application Info.

Load-in Application Form No.: sc2000000016

Product: Medium Sour Crude Oil Duty-paid Status: Bonded

Source of Cargo: Imported Client ID: 60010065 [Overseas Intermediary's Client]

Client Name: [REDACTED] Member: [REDACTED]

Crude: CHINA Crude 1 Country: Domestic

Origin: [REDACTED] Proposed Load-in Date: 20200110

Futures Declaration Qty: 400000 (barrel)

the Proposed Inspection Agency: Certificate Issue

Depot: BJ warehouse Place of Storage: Jing Yi warehouse

Port of Departure (Country Name): Singapore Port of Departure (Port Name): T2104

Transportation: Waterway Vehicle and Vessel No. of Declaration: S2415

Name: [REDACTED] Telephone: [REDACTED]

Mobile: [REDACTED] Fax: [REDACTED]

Note for Load-in Application:

Valid period for load-in is a 5-day period before and after the proposed Medium Sour Crude Oil load-in date, which shall come into effect upon the Exchange's approval. The Exchange may adjust the valid period when it deems necessary.

OK

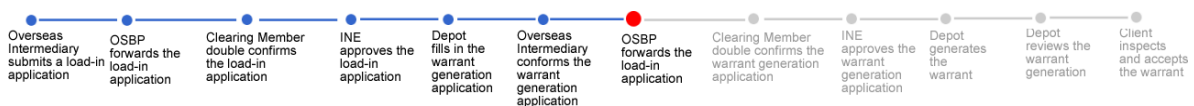
(3)

Then click the "OK" button to forward the load-in application to the Exchange.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Forward a Warrant Generation Application

In the load-in process, after the warrant generation application is confirmed by the Overseas Intermediary who initiates the process, the OSBP is required to forward the warrant generation application.



(1)

First, in the page of To-do Tasks, set the operation type as "Load-in" to inquire about the task with the status as "Warrant Generation Application Confirmed by Overseas Intermediary" and view the details.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Load-in	sc2000000016	Load-in (Overseas Intermediary 00011 initiated, Client L...	Warrant Gene...	20200110	15:21:05	20200110	15:34:39

(2)

Click the "Application No." to enter the page of "Forward Warrant Generation Application".

To do ▶ Forward Warrant Generation Application

Declaration:

Tank No. of Physicals:

Name: ***** Telephone: *****

Mobile: ***** Fax: *****

Note for Load-in Application :

Warrant Generation Application Information

the Inspection Agency: Certificate Issue Inspection Certificate No.: C2020*****

Actual Arrived Vehicle and S2415 Actual Load-in Date: 20200110

Vessel No.:

Actual Load-in Quantity: 400000.00 Qty. can be Issued: 400000

Quality Inspection Result: Qualified Customs Document ID: 01201245

Customs Amount: 4,000,000,000.00 Currency: RMB

Extra Declaration 0

Quantity:

Application Notes:

Certificate of Load-in

Certificate Type	Certificate No.	Issued Certificate...	Issue Date	Issuing Authority	Quantity in use	Scanning Copy Of C...	Note
Bill of lading	T2022001001	100000000.00	20221111	ADIE	330000.00	Cer.docx	

Note: All information contained in the page of "Forward Warrant Generation Application" must be carefully reviewed by the users.

(3)

Then perform the following steps at the lower part of the page:

- Approve: click the "Approve" button to confirm the warrant generation application and proceed to the next node of the process.
- Reject: click the "Reject" button and fill in the review comments (the reason for the rejection) to reject the warrant generation application.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Product: TSR 20, Copper

The load-in process is the same for TSR 20 and Copper. This section describes the specific operations to be taken by an OSBP at each process node for the load-in of TSR 20. Please refer to information about TSR 20 for the load-in procedures for Copper.

Submit a Load-in Application

The OSBP may submit a load-in application in the "New Task" module of this System.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Load-in Application" to enter the load-in application page for TSR 20.

(2)

The OSBP can Submit a Load-in Application when the commodities are about to arrive at the depot, as shown below.

New Task ▶ Load-in Application

Application Info.

Product: TSR 20

Source of Cargo:

Client ID:

Brand:

Country:

Specification:

Duty-paid Status: Bonded

Member: n8006(8006)

Client Name:

Manufacture:

Grade:

Declaration Warrant Count:

The Proposed Inspection Agency:

Declaration Weight (tonne):

Proposed Load-in Date:

Transportation and Place of Storage

Depot:

Port of Departure (Region):

Transportation:

Place of Storage:

Port of Departure (Port Name):

Vehicle and Vessel No. of Declaration:

Operator

Name:

Mobile:

Telephone:

Fax:

Note

Note for Load-in Application:

1.Declaration Warrant Count=Declaration Weight/Standard weight(100tonne)

The Form of the Load-in Application consists of 4 sections. Please fill in all the sections in sequence as follows:

- **Application Information:** Fill in the information relating to the application.
- **Transport and Place of Storage**
- **Operator**
- **Note**



Note: the text box with the grey background indicates that it is not editable.



Note: Please pay attention to the notes displayed at the bottom of the text boxes when filling in the Form.

(3)

Upon completion of the Form, click "OK" at the bottom of the page to submit the load-in application.

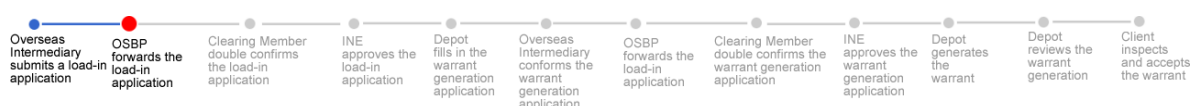
Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the task details page.

The OSBP may click the  or  icon in the operation column of that task to modify or cancel the load-in application before the Clearing Member makes the double confirmation or after the Clearing Member rejects the load-in application.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Load-in	nr190000022	Pending	Load-in (Member 7005 initiated, Client ID 60010017, Weigh...	Load-in Appl...	20190801	20190801

Forward a Load-in Application

The OSBP is required to forward the load-in application submitted by its Overseas Intermediary. The Exchange will only review and approve a load-in application that is forwarded by the OSBP and double confirmed by the Clearing Member.



(1)

First, enter the page of "To-do" and set the operation type as "Load-in" at the search criteria area of the page. Click the "Search" button to inquire about the task with the status as "Load-in Application Submitted" and view the load-in application to be forwarded.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr2000000008	Load-in (Overseas Intermediary 00011 initiated, Client I...	Load-in Appli...	20200110	14:41:28	20200110	14:41:28

(2)

Select the task to be forwarded, and click the "Application No." to enter the page of Forward Load-in Application.

To do > Forward Load-in Application

Application Info.

Load-in Application Form No.: [nr2000000008](#)

Product: TSR 20	Duty-paid Status: Bonded
Source of Cargo: Imported	Client ID: 60010065 [Overseas Intermediary's Client]
Client Name: 中介LD1	Member: 7007
Brand: Brand TSR20	Manufacture: Production plant
Country: Domestic	Grade: Grade TSR20
Specification: Specification 1	Declaration Weight: 100.000 (tonne) :

Declaration Warrant Count: [10](#)

The Proposed Inspection Agency: [Certificate Issue](#)

Place of Storage: [Jing Yi warehouse](#)

Port of Departure (Port Name):

Vehicle and Vessel No. of Declaration:

Name: [*****](#)

Mobile: [*****](#)

Note for Load-in Application:

Proposed Load-in Date:

Depot: [BJ warehouse](#)

Port of Departure (Country import Name):

Transportation: [Railway](#)

Telephone: [*****](#)

Fax: [*****](#)

[OK](#)

(3)

Then click the "OK" button to forward the load-in application to the Exchange.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Print a Load-in Approval Notification

After the load-in application submitted by the OSBP is approved by the Exchange, the OSBP may print the Load-in Approval Notification for that task in the page of Task Tracking.

Note: The Load-in Approval Notification can be printed only if the application was submitted by the OSBP and the Client is its direct client.

(1)

In Task Tracking, set the operation type as "Load-in" and the product as "TSR20" to inquire about the task with the status as "Load-in Application Approved".

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
TSR 20	Load-in		nr1900000022	Pending	Load-in (Member 7005 initiated, Client ID 60010017, Weigh...	Load-in Appl...	20190801	20190801

(2)

Click the "Application No." of the load-in task to enter the details page. Click the "Print Load-in Approval Notification" link at the bottom of the page to open a popup window of load-in approval notification.

Task Tracking ▸ Load-in Application Detail

Applied Load-in Application Approved Load-in Application Approved Load-in Application Submit filled warrant generation form Confirm Warrant Generation Double confirm on order issuance application Approve warrant generation Fill in warrant generation form Warrant generation verification Inspect Accept v

20200122 10:16 20200122 10:19 20200122 10:20

Application Info.

Load-in Application Form No.: nr2000000017

Product: TSR 20 Duty-paid Status: Bonded

Source of Cargo: Imported Client ID: 60010075

Client Name: [redacted] Member: [redacted] (7007)

Brand: Brand TSR20 Manufacture: Production plant

Country: Domestic Grade: Grade TSR20

Specification: Specification 1 Declaration Weight (tonne): 100.000

Declaration Warrant Count: 10 Proposed Load-in Date: [redacted]

The Proposed Inspection Agency: Certificate Issue Depot: BJ warehouse

Place of Storage: Jing Yi warehouse Port of Departure (Country Name): import

Port of Departure (Port Name): [redacted] Transportation: Waterway

Vehicle and Vessel No. of Declaration: [redacted]

Name: wangxin Telephone: 13012011023

Mobile: 13012011023 Fax: 01020120232

Note for Load-in Application:

[Print Load-in Approval Notification](#)

(3)

Click the "Print Load-in Approval Notification" at the bottom of the page to enter the preview page of load-in Application/approval notice.

Shanghai International Energy Exchange Load-in Application/Approval Notice for TSR 20

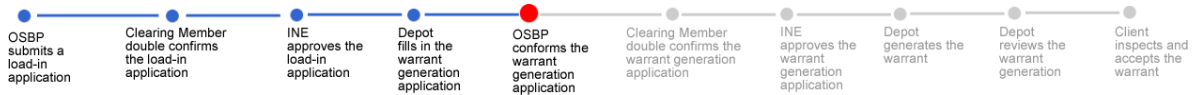
Load-in Filing No. :nr1900000022

Customs Clearance Status	Bonded	Source of Cargo	Imported
Member ID	7005	Member Name	7005
OSP ID	7005	OSP Name	7005
Overseas Intermediary ID		Overseas Intermediary Name	
Client ID	60010017	Client Name	dgg
Designated Delivery Storage Facility	SHC	Place of Storage	SHC-portOFstorage1
Grade/Spec	nrGRADE02/nr-Specifacation01	Mfg	Manufacture2
Brand	nrbrand02		
Declaration Volume	1000	Declaration Weight (tonne)	10000
Transportation	Railway	Country	Domestic
Port of Departure	import	Vehicle And Vessel No. of Declaration	
Proposed Load-in Date		Proposed Inspection Agency	TSR_CERT
Operator	Jack Liu	Tel.	+8601012010120
Mobile	+8613200001012	Fax	+8601012010120
Remarks			

Click the "Print" link and follow the prompts to complete the printing.

Confirm a Warrant Generation Application

After the load-in application submitted by the OSBP is double confirmed by its Clearing Member and approved by the Exchange and the warrant generation application is completed by the depot, the OSBP is also required to confirm the warrant generation application.



(1)

First, search the task with the operation type as "Load-in" and the product as "TSR20" in the page of To-do Tasks and inquire about the warrant generation application to be confirmed by the OSBP.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr1900000022	Load-in (Member 7005 initiated, Client ID 60010017, W...	Application Su...	20190801	13:49:12	20190801	14:18:24

(2)

Click the "Application No." to enter the page of "Confirm Warrant Generation".

To do ▶ Confirm Warrant Generation

Declaration Warrant Count: **13444**

Proposed Load-in Date: _____

The Proposed Inspection Agency: **TSR_CERT**

Name: **Jack Liu**

Telephone: **+8601012010120**

Mobile: **+8613200001012**

Fax: **+8601012010120**

Note

Warrant Generation Application Information

Actual Arrived Vehicle and Vessel No.: _____

Actual Load-in Date: **20200109**

Actual Load-in Weight **10000.000** (tonne) : _____

Max Warrants can be Issued: **992**

Production Date: **20190730**

Quality Inspection Result: **Qualified**

Customs declaration No.: **C-0001**

Load-in Amount: **10000.00**

Currency: **RMB**

Application Notes: _____

Certificate of Load-in

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Storage Location I...	Scanning Copy Of Ch...	Note
Bill of lading	GH1		20210127	12345			
Approval of load-i...	GH2		20210127	1234			
Inspection certific...	HH1	10080.000	20210127		x001,nr111	Chrysanthemum.jpg	

All information contained in the page of "Confirm Warrant Generation" shall be double checked by the users.

(3)

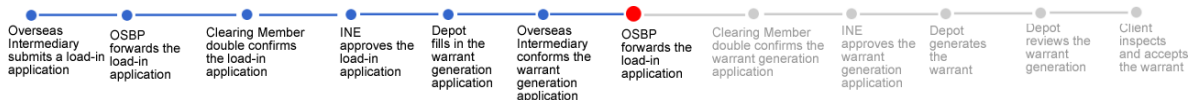
Then perform the following steps at the lower part of the page:

- Pass: Click the "Approved" button to confirm the warrant generation application and proceed to the next step of the process.
- Reject: Click the "Reject" button and fill the review comments (the reason for the rejection). After being rejected and sent back to the depot, such a warrant generation application can still be re-submitted by the depot on the basis of modification.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Forward a Warrant Generation Application

In the load-in process, after the warrant generation application is confirmed by the Overseas Intermediary who initiates the process, the OSBP is required to forward the warrant generation application.



(1)

First, in the page of To-do Tasks, set the operation type as "Load-in" and the product as "TSR20" to inquire about the task with the status as "Warrant Generation Application Confirmed by Overseas Intermediary" and view the details.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr2000000001	Load-in (Overseas Intermediary 00011 initiated, Client I...	Warrant Gene...	20200108	16:12:56	20200110	13:51:35

(2)

Click the "Application No." to enter the page of "Forward Warrant Generation Application".

Application Information

Port of Departure (Port Name): gang1 Transportation: Waterway

Vehicle and Vessel No. of 1122122

Declaration:

Name: ***** Telephone: *****

Mobile: ***** Fax: *****

Note for Load-in Application:

Warrant Generation Application Information

Actual Arrived Vehicle and Vessel No.: 112112 Actual Load-in Date: 20200102

Actual Load-in Weight (tonne): 100.000 Max Warrants can be Issued: 9

Production Date: 20200101 Quality Inspection Result: Qualified

Customs declaration No.: 2-202000109 Load-in Amount: 20000.00

Currency: RMB

Application Notes:

Certificate of Load-in

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Storage Location I...	Scanning Copy Of Ch...	Note
Bill of lading	2-202*****		20210127	12345			
Approval of load-i...	2-202*****		20210127	1234			
Inspection certific...	2-202*****	10080.000	20210127	00109	x001,nr111	Chrysanthemum.jpg	

Approve Reject

Note: All information contained in the page of "Forward Warrant Generation Application" must be carefully reviewed by the users.

(3)

Then perform the following steps at the lower part of the page:

- Approve: click the "Approve" button to confirm the warrant generation application and proceed to the next node of the process.
- Reject: click the "Reject" button and fill in the review comments (the reason for the rejection) to reject the warrant generation application.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Product: LSFO

The load-in process is essentially identical for LSFO and TSR 20. This section describes the specific operations to be taken by an OSBP at each process node for the load-in of LSFO. Please use the section above as a reference for the corresponding process and steps for LSFO, as those will not be covered separately.

Submit a Load-in Application

The OSBP may submit a load-in application in the "New Task" module of this System.

(1)

From the navigation menu, select "New Task" --> "LSFO" --> "Load-in Application" to enter the load-in application page for LSFO.

(2)

The OSBP can Submit a Load-in Application when the commodities are about to arrive at the depot, as shown below.

New Task ▶ Load-in Application

Application Info.

Product: LSFO
 Source of Cargo:
 Client ID:
 Country:
 Declaration Weight (tonne):
 Proposed Load-in Date:

Duty-paid Status: Bonded
 Member: n8006(8006)
 Client Name:
 Grade:
 Declaration Warrant Count:
 The Proposed Inspection Agency:

Transportation and Place of Storage

Depot:
 Port of Departure (Region):
 Transportation:
 Export Supervision Depot No.:

Place of Storage:
 Port of Departure (Port Name):
 Vehicle and Vessel No. of Declaration:

Operator

Name:
 Mobile:
 Telephone:
 Fax:

Note

Note for Load-in Application:

1.Declaration Warrant Count=Declaration Weight/Standard weight(10tonne)

OK

The Form of the Load-in Application consists of 4 sections. Please fill in all the sections in sequence as follows:

- **Application Information:** Fill in the information relating to the application.
- **Transport and Place of Storage**
- **Operator**
- **Note**



Note: the text box with the gray background indicates that it is not editable.



Note: Please pay attention to the notes displayed at the bottom of the text boxes when filling in the Form.

(3)

Upon completion of the Form, click "OK" at the bottom of the page to submit the load-in application.

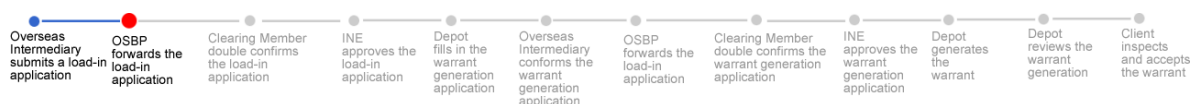
Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the task details page.

The OSBP may click the  or  icon in the operation column of that task to modify or cancel the load-in application before the Clearing Member makes the double confirmation or after the Clearing Member rejects the load-in application.

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
 	LSFO	Load-in	lu2000000009	Pendi...	Load-in (Member 8008 initiated, Client ID 01654375, Weigh...	Load-in Appli...	20200108	20200108

Forward a Load-in Application

The OSBP is required to forward the load-in application submitted by its Overseas Intermediary. The Exchange will only review and approve a load-in application that is forwarded by the OSBP and double confirmed by the Clearing Member.



The steps needed to forward the load-in application is the same for LSFO and TSR 20. Please refer to the relevant sections for TSR 20 for details.

Print a Load-in Approval Notification

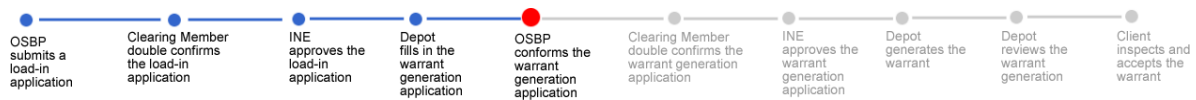
After the load-in application submitted by the OSBP is approved by the Exchange, the OSBP may print the Load-in Approval Notification for that task in the page of Task Tracking.

The steps needed to print the Load-in Approval Notification is the same for LSFO and TSR 20. Please refer to the relevant sections for TSR 20 for details.

Note: The Load-in Approval Notification can be printed only if the application was submitted by the OSBP and the Client is its direct client..

Confirm a Warrant Generation Application

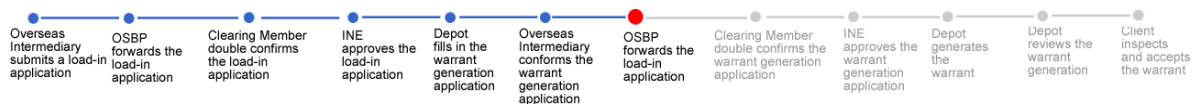
After the load-in application submitted by the OSBP is double confirmed by its Clearing Member and approved by the Exchange and the warrant generation application is completed by the depot, the OSBP is also required to confirm the warrant generation application.



The steps needed to confirm a Warrant Generation Application is the same for LSFO and TSR 20. Please refer to the relevant sections for TSR 20 for details.

Forward a Warrant Generation Application

In the load-in process, after the warrant generation application is confirmed by the Overseas Intermediary who initiates the process, the OSBP is required to forward the warrant generation application.



The steps needed to forward a Warrant Generation Application is the same for LSFO and TSR 20. Please refer to the relevant sections for TSR 20 for details.

Chapter 5 Collateralization For Margin

OSBPs may apply to the Exchange for the deposit of standard warrants used as margin collateral at the Exchange. However, trading deficits, expenses and taxes of the OSBPs must be settled with monetary funds.

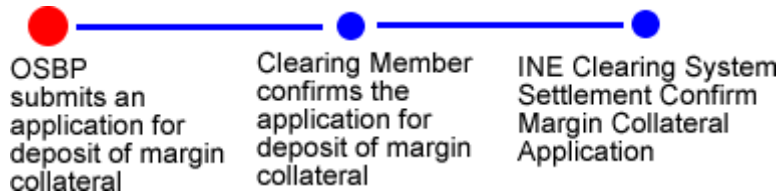
Since the OSBP cannot conduct clearing directly, it is required to authorize its Clearing Member to confirm the margin collateral deposit/withdrawal application.

Product: Medium Sour Crude Oil

Deposit of Margin Collateral

Prior to the deposit of margin collateral, the OSBP is required to obtain its client's authorization to use the relevant warrant as margin collateral.

The process for the deposit of margin collateral by OSBPs is as follows:



Note: OSBPs can only submits an application for deposit of margin collateral within the time range specified by the Exchange.

Submit a Deposit Application

(1)

In the navigation menu, select "New Task" --> "(Collateralization For Margin) Deposit" to enter the page of deposit.

New Task ▶ Deposit

Search Criteria

- Product: Medium Sour Crude Oil
- Duty-paid Status: All Bonded Duty-paid
- Depot: All SHC BJ Oil Storage
- Crude: All Crude 2 CHINA Crude 1
- Client ID:

Search

Authorization N...	Warrant Accou...	Duty-paid Status	Depot	Crude	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
--------------------	------------------	------------------	-------	-------	---------------------	----------------------	----------------	----------------

Deposit info.

- Margin Type: Margin Colleteral Margin Collateral for the Short Positions of a Designated Contract
- Note:

OK

(2)

New Task ▶ Deposit

Search Criteria

- Product: Medium Sour Crude Oil
- Duty-paid Status: All Bonded Duty-paid
- Depot: All SHC BJ Oil Storage
- Crude: All Crude 2 CHINA Crude 1
- Client ID: 60010012

Search

Authorization N...	Warrant Accou...	Duty-paid Status	Depot	Crude	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
<input type="checkbox"/>	sc190000003	scO00000008	Bonded	SHC	CHINA Crude 1		1000	0

Deposit info.

- Margin Type: Margin Colleteral Margin Collateral for the Short Positions of a Designated Contract
- Note:

OK

Define the search criteria to inquire about the warrant to be deposited as margin collateral.

(3)

Tick the warrant to be deposited as margin collateral and fill in the "Quantity Submitted". The System will allocate the warrant quantity in default as per the property, and the OSBP may re-allocate it manually.

Set the "Margin Type" at the lower part of the page. You may have two options here: one is "Margin Collateral", and the other is "Margin Collateral for the Short Positions of a Designated Contract". If you choose the latter, you need to fill in the contract.

Upon completion of the page, click the "OK" button to submit the application for deposit of margin collateral.

After submission of the margin collateral deposit application, you need to wait for the confirmation of the Clearing Member and the approval of the Clearing System of the Exchange.

Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Collateralizati...	sc1700000026	Pendi...	Collateralization for Margin - Deposit(initiated by Member ...	Apply for Ma...	20170808	20170808

Click the "Application No." to enter the details page of that task.

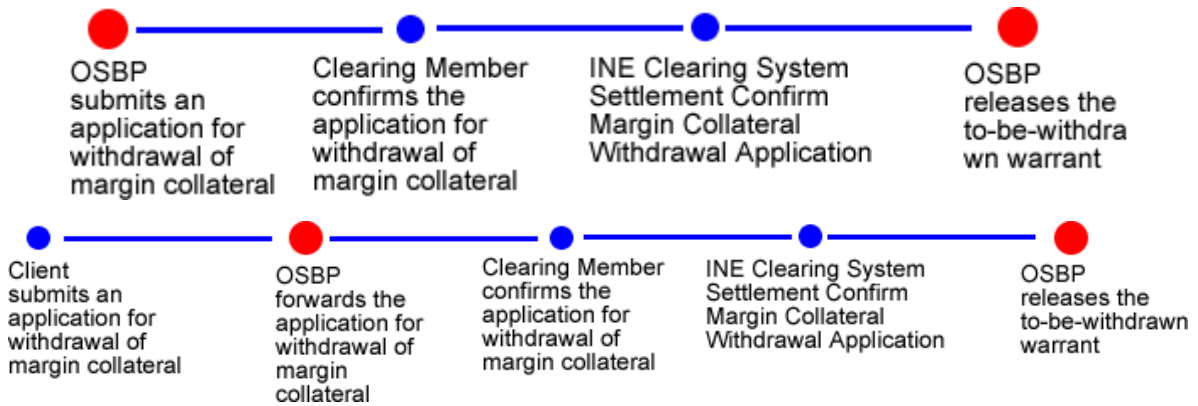
Withdrawal of Margin Collateral

There are two methods of withdrawal of Margin Collateral, Withdrawal as normal and Withdrawal forced by INE.

正常提取方式下：

Should an OSBP use the standard warrant as margin collateral, it may go through the withdrawal procedures to retrieve the deposited standard warrants after fulfilling the payment of margin payables. When applying for the withdrawal, the Client may choose one of the following methods, including "Normal Withdrawal", "Transfer for Delivery" and "Transfer for EFP". When a Client authorizes an FF Member or an OSBP to submit the withdrawal application, only "Normal

Withdrawal" may be chosen. The following process node diagram takes the Normal Withdrawal as an example. With the other withdrawal methods such as Transfer for Delivery and Transferred for EFP, the warrant will automatically be submitted for the delivery application instead of being released and withdrawn by the FF Member or OSBP.



Note:(1)In the process of withdrawal of margin collateral, OSBPs are required to participate in the tasks including "Submit a Withdrawal Application", Forward a Withdrawal Application" and "Release the To-Be-Withdrawn Warrant".(2) OSNBPs can only "Submit a Withdrawal Application", "Forward a Withdrawal Application" within the time range specified by the Exchange.

Withdrawal forced by INE:

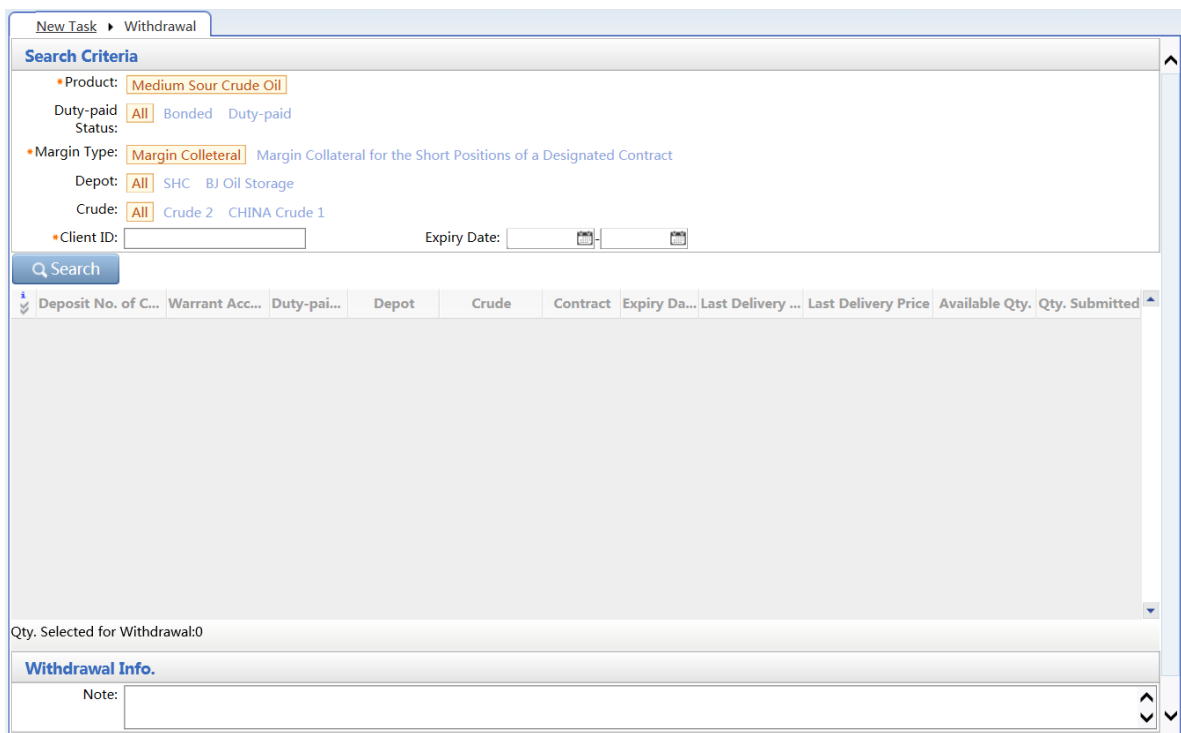
If INE determines to withdraw a client’s warrants for use as margin collateral, it will submit a forced withdrawal application. The application will be reexamined by INE itself and, if passing the reexamination, reviewed by the Settlement System. After the approval of the Settlement System, the client’s carrying OSBP shall release and withdraw the relevant warrants.

Note: In the process of a forced withdrawal of margin collateral by INE, the relevant OSBP is required to participate in the task of “Release and Withdraw Warrants”.

Submit a Withdrawal Application

(1)

In the navigation menu, select "New Task" --> "(Collateralization For Margin)Withdrawal" to enter the page of withdrawal of margin collateral.



(2)

In the column of search criteria, select "Margin Collateral" or "Margin Collateral for the Short Positions of a Designated Contract",and fill in the "Client ID" to inquire about the warrant to be withdrawn.

The screenshot shows the 'New Task - Withdrawal' interface. The 'Search Criteria' section includes:

- Product: Medium Sour Crude Oil
- Duty-paid Status: All, Bonded, Duty-paid
- Margin Type: Margin Colleteral, Margin Collateral for the Short Positions of a Designated Contract
- Depot: All, SHC, BJ Oil Storage
- Crude: All, Crude 2, CHINA Crude 1
- Client ID: 60010012
- Expiry Date: [calendar icon] - [calendar icon]

A search button is present. Below the search criteria is a table with columns: Deposit No. of C..., Warrant Acc..., Duty-pai..., Depot, Crude, Contract, Expiry Da..., Last Delivery ..., Last Delivery Price, Available Qty., Qty. Submitted. One row is highlighted with a blue background: Deposit No. of C...: sc1900000003, Warrant Acc...: sc0000000008, Duty-pai...: Bonded, Depot: SHC, Crude: CHINA Crude 1, Available Qty.: 1000, Qty. Submitted: 0. Below the table, it says 'Qty. Selected for Withdrawal:0'. At the bottom, there is a 'Withdrawal Info.' section with a 'Note:' field.

(3)

The screenshot shows the 'New Task - Withdrawal' interface. The 'Search Criteria' section is the same as in the previous screenshot. The table below has the same row selected, but the 'Qty. Submitted' value is now 1000. Below the table, there is a popup area with the following text:

- Please select by product property - Storage Location : Qty. Submitted/Qty. Available
- SHC-portOFstorage1 -- : 1000 / 1000
- Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available
- 20190704-20190731 : 1000 / 1000

The 'Qty. Selected for Withdrawal:0' text is still present. The 'Withdrawal Info.' section with the 'Note:' field is also visible.

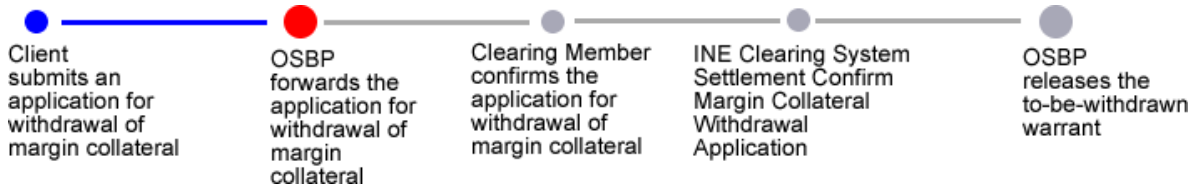
Fill the withdrawal quantity in the text box of "Quantity Submitted", or manually input the quantity in the popup area according to the information such as storage space and storage fee end date.

Click the "OK" button to submit the application for withdrawal of margin collateral.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page of that task.

Forward a Withdrawal Application

OSBPs are required to forward the withdrawal application submitted by their clients.



(1)

Enter the page of "To-do" in the navigation menu. In search criteria area, set the operation type as "Margin Withdrawal" to inquire about that task.

Product	Operation T...	Application No.	Task Description	Operation St...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Margin With...	sc1700000009	Collateralization for Margin - Withdraw(initiated by Clie...	Margin With...	20170602	01:11:15	20170602	01:11:15

(2)

Click the "Application No." to enter the details page.

Commodity Info.

Application No. of Margin: sc1700000009
 Application Date: 20170602
 Withdrawal:
 Product: Medium Sour Crude Oil
 Margin Type: Margin Colleteral
 Client ID: 83010002[Overseas Intermeidary's Client]
 Client Name: [Redacted]
 Collateralization for: Margin Withdrawal Applied by Client
 Withdrawal Method: Normal
 Margin Status:
 Note:

Deposit No. of Collatera...	Warrant Acco...	Duty-pa...	Depot	Crude	Contract	Expiry Date	Last Delivery Period	Last Delivery Price	Qty. Sub...
sc1700000014	sc8000000084	Bonded	BJ 0:1 Sto. CHINA Crude 1			29991231			1,000

Qty. Submitted:1000

OK

Click the "OK" button to forward the warrant withdrawal application.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page of that task.

Release the Warrant

Under the Normal Withdrawal, the OSBP may the release the warrant to be withdrawn after the Clearing System of the Exchange approves the application for withdrawal of margin collateral. In the case of a forced withdrawal of margin collateral by INE, after the approval of the Settlement System, the relevant OSBP is also required to release and withdraw the relevant warrants.

(1)

First, enter the page of To-do Tasks in the navigation menu. Set the operation type in the search criteria area as "Margin Withdrawal" to inquire about the margin withdrawal task.

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Margin With...	sc1700000004	Collateralization for Margin - Withdraw(initiated by Me...	Margin With...	20170518	22:21:32	20170518	22:22:52

(2)

Click the "Application No." to enter the details page.

The screenshot shows a web interface for a margin withdrawal application. At the top, there is a navigation bar with a 'To do' menu and a 'Release warrant to Client' button. Below this, the application details are displayed in a grid-like format. The details include: Application No. of Margin (sc1700000004), Application Date (20170518), Withdrawal Product (Medium Sour Crude Oil), Margin Type (Margin Collateral), Client ID (83010002[Overseas Intermediary's Client]), and Client Name (n7003). The Collateralization for Margin Status is 'Margin Withdrawal Approved by the Exchange'. A table below shows the deposit details for the application, with one row visible: Deposit No. (sc1700000007), Warrant Account (sc8000000049), Duty-paid (Bonded), Depot (BJ Oil Sto. GHINA Crude 1), Crude, Contract, Expiry Date (29991231), Last Delivery Period, Last Delivery Price, and Qty. Submitted (3,000). At the bottom of the form, there is a 'Qty. Submitted: 3000' label and an 'OK' button.

(3)

Click the "OK" button to release the warrant to be withdrawn.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

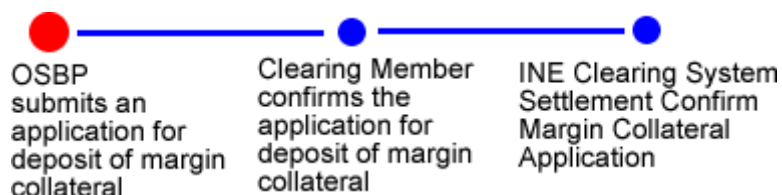
Product: TSR 20, LSFO, Copper

The process and steps for depositing warrants as margin collateral are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSBP at each process node for depositing warrants as margin collateral. Please use the section below as a reference for the corresponding process and steps for LSFO and Copper, as those will not be covered separately.

Deposit of Margin Collateral

Prior to the deposit of margin collateral, the OSBP is required to obtain its client's authorization to use the relevant warrant as margin collateral.

The process for the deposit of margin collateral by OSBPs is as follows:



Note: OSBPs can only submit an application for deposit of margin collateral within the time range specified by the Exchange.

Submit a Deposit Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Collateralization For Margin) Deposit" to enter the deposit warrants as margin collateral page for TSR 20.

Upon completion of the page, click the "OK" button to submit the application for deposit of margin collateral.

After submission of the margin collateral deposit application, you need to wait for the confirmation of the Clearing Member and the approval of the Clearing System of the Exchange.

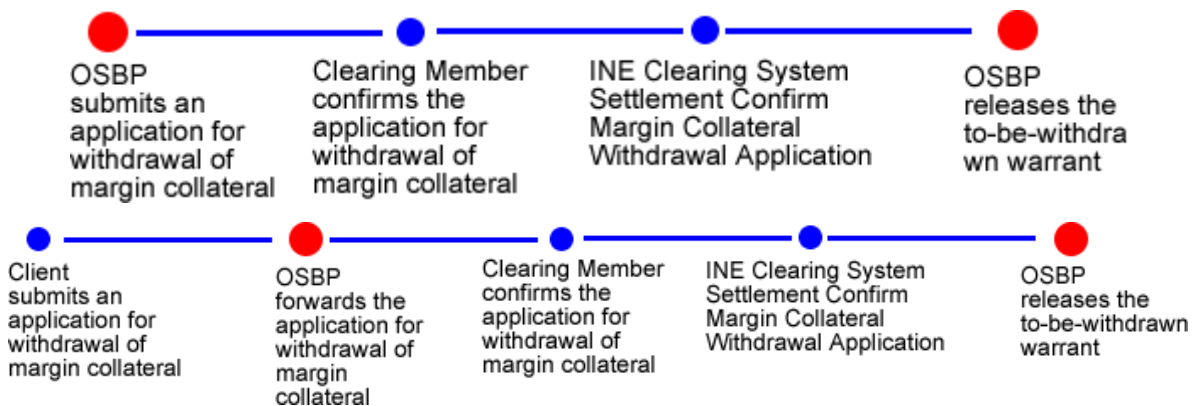
Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Withdrawal of Margin Collateral

There are two methods of withdrawal of Margin Collateral, Withdrawal as normal and Withdrawal forced by INE.

Withdrawal as normal :

Should an OSBP use the standard warrant as margin collateral, it may go through the withdrawal procedures to retrieve the deposited standard warrants after fulfilling the payment of margin payables. When applying for the withdrawal, the Client may choose one of the following methods, including "Normal Withdrawal", "Transfer for Delivery" and "Transfer for EFP". When a Client authorizes an FF Member or an OSBP to submit the withdrawal application, only "Normal Withdrawal" may be chosen. The following process node diagram takes the Normal Withdrawal as an example. With the other withdrawal methods such as Transfer for Delivery and Transferred for EFP, the warrant will automatically be submitted for the delivery application instead of being released and withdrawn by the FF Member or OSBP.



Note:(1)In the process of withdrawal of margin collateral, OSBPs are required to participate in the tasks including "Submit a Withdrawal Application", "Forward a Withdrawal Application" and "Release the To-Be-Withdrawn Warrant".(2) OSNBPs can only "Submit a Withdrawal Application", "Forward a Withdrawal Application" within the time range specified by the Exchange.

Withdrawal forced by INE:

If INE determines to withdraw a client's warrants for use as margin collateral, it will submit a forced withdrawal application. The application will be reexamined by INE itself and, if passing the reexamination, reviewed by the Settlement System. After the approval of the Settlement System, the client's carrying OSBP shall release and withdraw the relevant warrants.

Note: In the process of a forced withdrawal of margin collateral by INE, the relevant OSBP is required to participate in the task of "Release and Withdraw Warrants".

Submit a Withdrawal Application

(1)

From the navigation menu, select "New Task" -->"TSR 20" --> "(Collateralization For Margin) Withdrawal" to enter the page for withdrawing TSR 20 warrants that have been deposited as margin.

New Task ▸ Withdrawal

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 *Margin Type:
 Warrants of Automatic batch selection:

Duty-paid Status:
 Manufacture:
 Specification:
 Margin expiry date: -
 *Client ID:
 Warrant No.: -

Available Warrants

Warrant No.	Application No...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot
(Empty table)								

Page 1 / Total 1

Available: 0 warrants, 0.000 tonne, Total: 0 warrants

Selected Warrants S/U E

Warrant No.	Duty-paid ...
(Empty table)	

Selected: 0 warrants, 0.000 tonne

Withdrawal Info.

Note:

(2)

In the search criteria section, select "Margin Collateral" or "Margin Collateral for the Short Positions of a Designated Contract" . Fill in "Client ID". Select warrants (Warrants of LSFO may be selected through either the "Single Record Mode" or the "Union WarrantID Mode"). Please refer to the "Chapter2 General Functions -> Select Warrants" section for details.

New Task ▸ Withdrawal

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 *Margin Type: Margin Colletral
 Warrants of Automatic batch selection:

Duty-paid Status:
 Manufacture:
 Specification:
 Margin expiry date: -
 *Client ID: 60010012
 Warrant No.: -

Available Warrants

Warrant No.	Document N...	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati... SH wareh.
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati... SH wareh.

Page 1 / Total 1

Available: 2 warrants, 20.160 tonne, Total: 2 warrants

Selected Warrants S/U E

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nr0210001981 Bonded
<input checked="" type="checkbox"/>	nr0210001982 Bonded

Selected: 2 warrants, 20.160 tonne

Withdrawal Info.

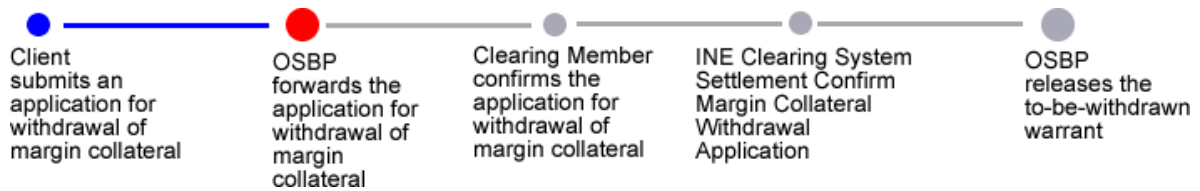
Note:

(3)Click the "OK" button to submit the application for withdrawal of margin collateral.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page of that task.

Forward a Withdrawal Application

OSBPs are required to forward the withdrawal application submitted by their clients.



(1)

From the navigation menu, select "To do" --> "TSR 20" --> "Margin Collateral Withdrawal" to search for the margin collateral withdrawal task.

(2)

Click the "Application No." to enter the details page.

(3)

Click the "OK" button to forward the warrant withdrawal application.

Release the Warrant

Under the Normal Withdrawal, the OSBP may the release the warrant to be withdrawn after the Clearing System of the Exchange approves the application for withdrawal of margin collateral.In the case of a forced withdrawal of margin collateral by INE, after the approval of the Settlement System, the relevant OSBP is also required to release and withdraw the relevant warrants.

(1)

From the navigation menu, select "To do" --> "TSR 20" --> "Margin Collateral Withdrawal" to search for the margin collateral withdrawal task.

(2)

Click the "Application No." to enter the details page.

Collateralization for Margin Withdraw Detail

Margin Withdrawal No: nr1900000001	Application Time: 20190802
Product: TSR 20	Margin Type: Margin Collateral
Client ID: 60010012[Overseas Intermediary's Client]	Client Name: test012101
Status: Margin Withdrawal Applied by Client	Withdrawal Method: Normal
Note:	

[Export](#)

Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet	Bal...
nr0010002108	nr1900000...	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20190701		

Total: 1 warrants, 10.080 tonne, current: 1 warrants, 10.080 tonne

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OK

(3)

Click the "OK" button to release the warrant to be withdrawn.

Chapter 6 Delivery

Delivery refers to the process of both trading parties settling contracts, which have not been offset upon maturity by transferring the ownership transfer of underlying commodities upon the maturity of the futures contract.

Note: Delivery must be fulfilled within the delivery period prescribed in the contract.

Product: Medium Sour Crude Oil

(Buyers) Submit a Notice of Interest

Once a contract enters the delivery stage, a buy-side OSBP can use this System to manage the buy intents for the delivery. During the delivery stage for a contract, the buying client should submit its buy intents to the OSBP for review. The OSBP can also use the System to submit the buy intents on the client's behalf, but review by the OSBP is still needed in this case before the buy intents are entered into the Delivery System for the assignment of deliverables.

(1)

In the navigation menu, select "New Task" --> "(Delivery) Submit a Notice of Interest" to enter the relevant page of "submit a notice of interest". You may inquire about the submitted notice of interest according to the "Contract" and "Buy-side Client ID".

New Task ▸ Submit a Notice of Interest

Search Criteria

Contract: sc1410
Client ID:

Search

✓	Contract	Client ID	Client Name	First intention	Second intention	Third intention
<input type="checkbox"/>	sc1410	01654433	5955	Depot:801 ;		
<input type="checkbox"/>	sc1410	01654433	5955	Dutystatus:Bonded and Duty-P...		

Page 1 / Total 1 Go to

+ Add ↗ Modify 🗑 Cancel

(2)

Add buy intent

Step 1: Click the “Add” button at the bottom of the “Submit Buy Intent” page. This will bring up the “Buy Intent” window containing a form that should be filled out.

Notice of Interest

Filling in information

Client ID:

Client Name:

First intention: Warehouseregion Warehouse Brand/Oil

Second intention: Warehouseregion Warehouse Brand/Oil

Third intention: Warehouseregion Warehouse Brand/Oil

Note:

First intention
Please select the add button on the left

Second intention
Please select the add button on the left

Third intention
Please select the add button on the left

Note
Note: Each level of intention may correspond to no more than three matching conditions, and the intersection of the conditions under the same level will be used. Each matching condition allows multiple choices, and their union will be used indiscriminately.
Example: A client selected two conditions under the first intention: Shanghai and Qingdao for warehouse locations; Dajiang and Guiye for brand/oil type. This means the client accepts the products of Dajiang and Guiye brands from any warehouse in Shanghai and Qingdao.

Submit Cancel

Step 2: For the “Buy Intent” form, the user should fill out the first choice, the second choice, and the third choice. Using the first choice as an example, the user should click on and select the match conditions to be enabled—for example, duty paid or unpaid. This will display the combo box for the duty status. Click on the combo box and select the desired option from the drop-down list. The selected match condition will be displayed to the right, under the match conditions for the first choice.

Note: The selection rules for the match conditions for each level of choice are described in the “Remarks” section at the bottom of the window.

Notice of Interest

Filling in information

Client ID: 01654433
Client Name: 5955

First intention: **Dutystatus** Warehouseregion Warehouse Brand/Oil
Dutystatus: Duty-paid

Second intention: Dutystatus Warehouseregion Warehouse Brand/Oil

Third intention: Dutystatus Warehouseregion Warehouse Brand/Oil

Note:

First intention
Dutystatus: Duty-paid

Second intention
Please select the add button on the left

Third intention
Please select the add button on the left

Note
Note: Each level of intention may correspond to no more than three matching conditions, and the intersection of the conditions under the same level will be used. Each matching condition allows multiple choices, and their union will be used indiscriminately.
Example: A client selected two conditions under the first intention: Shanghai and Qingdao for warehouse locations; Dajiang and Guiye for brand/oil type. This means the client accepts the products of Dajiang and Guiye brands from any warehouse in Shanghai and Qingdao.

Submit Cancel

Step 3: Once the first, second, and third choices and the notes sections are filled out, click the “Submit” button to submit the buy intent. The newly submitted buy intent needs to be reviewed from the “Review Buy Intent” menu under “New Tasks.”

[3]

Modify buy intent

From the submit buy intent page, select the desired buy intent and click the “Modify” button at the bottom. Changes can then be made in the buy intent popup window. Click “Submit” once the desired changes are made.

Note: Only submitted or rejected buy intents can be modified.

Notice of Interest

Filling in information

Client ID:

Client Name:

First intention: Dutystatus Warehouseregion Warehouse Brand/Oil

Dutystatus:

Second intention: Dutystatus Warehouseregion Warehouse Brand/Oil

Third intention: Dutystatus Warehouseregion Warehouse Brand/Oil

Note:

First intention

Dutystatus: Bonded and Duty-Paid,Bonded,Duty-paid

Second intention

Please select the add button on the left

Third intention

Please select the add button on the left

Note

Note: Each level of intention may correspond to no more than three matching conditions, and the intersection of the conditions under the same level will be used. Each matching condition allows multiple choices, and their union will be used indiscriminately.

Example: A client selected two conditions under the first intention: Shanghai and Qingdao for warehouse locations; Dajiang and Guiye for brand/oil type. This means the client accepts the products of Dajiang and Guiye brands from any warehouse in Shanghai and Qingdao.

【4】

Withdraw buy intent

From the submit buy intent page, select one buy intent and click the “Withdraw” button at the bottom. Once the System displays “Operation successful,” the selected buy intent will have been canceled.

Note: Only submitted or rejected buy intents can be withdrawn.

(Buyers) Check a Notice of Interest

An OSBP needs to review a buy intent after it submits it or after its client has submitted it and designated the OSBP to review it.

(1)

Select “New Task” from the navigation menu, then in the new task page select “Medium Sour Crude Oil (SC)” and “Review Buy Intent (Delivery at Expiration)” to enter the review page for buy intents for crude oil.

New Task ▶ Check a Notice of Interest

Search Criteria

Contract: sc1410
Client ID:

Search

☑	Contract	Client ID	Client Name	First intention	Second intention	Third intention
<input type="checkbox"/>	sc1410	01654433	5955	Dutystatus:Bonded and Duty-P...		

Page 1 / Total 1 Go to

Submit

(2)

Select the buy intents awaiting review, then click the “Submit” button. The buy intents will have cleared the review process once the System indicates “Operation successful.”

New Task ▶ Check a Notice of Interest

Search Criteria

Contract: sc1410
Client ID:

Search

☑	Contract	Client ID	Client Name	First intention	Second intention	Third intention
<input checked="" type="checkbox"/>	sc1410	01654433	5955	Dutystatus:Bonded and Duty-P...		

Page 1 / Total 1 Go to

Submit

(Sellers) Submit a Warrant

When the futures contract enters its delivery period, OSBPs may submit the warrant for delivery with the warrant quantity authorized by their Clients for delivery. One application form of warrant for delivery submitted by an OSBP is only for one single client.

(1)

In the navigation menu, select "New Task" --> "(Delivery) Submit a Warrant" to enter the page of submission of a warrant.

The screenshot shows the 'Submission of Warrants' page. At the top, there is a 'Contract Info.' section with fields for 'Contract:', 'Qty. to Be Delivered:', 'Qty. Submitted:', and 'Remaining Quantity:'. Below this is the 'Search Criteria' section, which includes filters for 'Duty-paid Status' (All, Bonded, Duty-paid), 'Depot' (All, SHC, BJ Oil Storage), and 'Crude' (All, Crude 2, CHINA Crude 1). There is also a 'Client ID' input field. A 'Search' button is located below the search criteria. The main area of the page is a table with columns: Document No., Warrant Account, Duty-p..., Client ID, Client Name, Depot, Crude Name, Last Delivery..., Last Delivery..., Availab..., and Qty. Submitted. The table is currently empty. At the bottom, there are summary statistics: 'Total Available Qty.:0', 'Bonded Available Qty.:0', 'Total Submitted Qty.:0', and 'Bonded Commodity Submitted Qty.:0'. A 'Submit' button is positioned at the bottom center.

The information of the contract for delivery will be automatically displayed at the top of the page.

(2)

The screenshot shows the 'Submission of Warrants' page with search criteria filled. The 'Contract' is 'sc1702', 'Qty. to Be Delivered' is '12000', 'Qty. Submitted' is '0', and 'Remaining Quantity' is '12000'. The 'Search Criteria' section has 'Duty-paid Status' set to 'Bonded', 'Client ID' set to '60010012', and a search value of '12000'. The 'Search' button is active. The table below shows a list of warrants with columns: Warrant Authori..., Duty-paid..., Client Name, Depot Ab..., Crude Name, Last Delivery Per..., Last Delivery Price Available ..., and Qty. Submitted. The table contains four rows, with the last row selected. Below the table, there are instructions for selecting by product property and start/end date of storage. At the bottom, summary statistics are updated: 'Total Available Qty.:12000', 'Bonded Available Qty.:12000', 'Total Submitted Qty.:1000', and 'Bonded Commodity Submitted Qty.:1000'. A 'Submit' button is at the bottom center.

	Warrant Authori...	Duty-paid...	Client Name	Depot Ab...	Crude Name	Last Delivery Per...	Last Delivery Price Available ...	Qty. Submitted
<input type="checkbox"/>	sc170000002	Bonded	tst2013	BJ Oil Storage	CHINA Crude 1		1000	0
<input type="checkbox"/>	sc170000005	Bonded	tst2013	BJ Oil Storage	CHINA Crude 1		5000	0
<input type="checkbox"/>	sc170000007	Bonded	tst2013	BJ Oil Storage	CHINA Crude 1		5000	0
<input checked="" type="checkbox"/>	sc170000033	Bonded	tst2013	BJ Oil Storage	CHINA Crude 1		1000	1000

Input the information such as "Client ID" to inquire about the warrant authorized by the Client for delivery.

(3)

Select the warrant for delivery and fill in the "Quantity Submitted".

Click the "Submit" button to submit the warrant.

The application for warrant delivery is also required to be reviewed by the Clearing Member after being submitted by the OSBP.

(Buyers) Allocate the Warrant

Upon the completion of matching and settlement, the delivery results will be synchronized to this System. Buy-side OSBPs may use this function to conduct delivery allocation, which is to allocate the warrant to their clients. Such an allocation is required to be reconfirmed. Buy-side OSBPs may cancel the allocation and re-allocate the warrant prior to the reconfirmation.

(1)

In the navigation menu, select "New Task" --> "(Delivery) Allocate the Warrant" to enter the page of "Buy-side Warrant Allocation".

Contract Info.

Contract:

Delivery Qty. (Buy): Delivery Amount: Allocated Qty.: Unallocated Quantity:

Search Criteria

Duty-paid Status: All **Bonded** Duty-paid

Depot: All SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Q Search

Product	Duty-pai...	Depot Abbr.	Crude Name	Storage Location C...	Delivery Qty. (Buy)	Qty. Allocated	Allocation of Delive...

Total Available Qty.:0 Bonded Available Qty.:0 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0
Total value of allocated delivery: 0

Client Info.

Client ID: Client Name:

Submit

(2)

Information of commodities that have been bought is displayed at the top of the page.

Contract Info.

Contract:

Delivery Qty. (Buy): 13000 Delivery Amount: 420,021.00 Assigned Qty.: 0 Unassigned Quantity: 13000

Search Criteria

Duty-paid Status: All **Bonded** Duty-paid

Depot: All SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Q Search

Product	Duty-pai...	Depot Abbr.	Crude Name	Tank No.	Delivery Qty. (Buy)	Qty. Allocated	Allocation of Delive...
<input type="checkbox"/> Medium & Sour Cru...	Bonded	BJ Oil Storage	CHINA Crude 1	--	13000	0	0.00

Total Available Qty.:13000 Bonded Available Qty.:13000 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0
Total value of assigned delivery: 0

Submit

Input the contract and the system will automatically display the data at the lower part of the section such as Delivery Quantity (Buy), Delivery Amount, Quantity Allocated and Quantity Unallocated, indicating the delivery data of the contract for delivery.

Define the search criteria and inquire about the warrant that has been matched and settled in the Delivery System, and ready for allocation.

(3)

Product	Duty-pai...	Depot Abbr.	Crude Name	Tank No.	Delivery Qty. (Buy)	Qty. Allocated	Allocation of Delive...
Medium & Sour Cru...	Bonded	BJ Oil Storage	CHINA Crude 1	--	13000	0	0.00

Select the warrant to be allocated and fill in the "Allocate Quantity".

Fill in the "Client ID" and "Client Name" for the warrant to be allocated at the lower part of the page. Upon completion, click the "Submit" button to allocate the warrant.

(Buyers) Confirm/Cancel the Warrant Allocation

The warrant allocation made by buy-side OSBPs is required to be reconfirmed. Buy-side OSBPs may cancel the allocation and re-allocate the warrant prior to the reconfirmation.

(1)

In the navigation menu, select "New Task" --> "Confirm/Cancel the Warrant Allocation" to enter the page of Confirm/Cancel the Warrant Allocation.

Buy-side Al...	Duty-pa...	Buy-side...	Buy-side Client Na...	Depot Abbr.	Crude Name	Storage Location C...	Qty. Allocated	Allocation of Delive...
----------------	------------	-------------	-----------------------	-------------	------------	-----------------------	----------------	-------------------------

(2)

New Task > Confirm/Cancel Buy-Side Warrant Allocation

Search Criteria

*Contract:

Duty-paid Status: All **Bonded** Duty-paid

Depot: All SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Client ID:

Buy-side Al...	Duty-pai...	Buy-side...	Buy-side Client Na...	Depot Abbr.	Crude Name	Tank No.	Qty. Allocated	Allocation of Deliv...
<input type="checkbox"/>	sc1700000...	Bonded	810000... n7003	BJ Oil Storage	CHINA Crude 1	--	13000	420,021.00

No. of Records: 1 Unmber Selected: 0 Total value of assigned delivery: 0

Input the contract and define the search criteria to inquire about the buy-side warrant to be confirmed or canceled for allocation.

New Task > Confirm/Cancel Buy-Side Warrant Allocation

Search Criteria

*Contract:

Duty-paid Status: All **Bonded** Duty-paid

Depot: All SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Client ID:

Buy-side Al...	Duty-pai...	Buy-side...	Buy-side Client Na...	Depot Abbr.	Crude Name	Tank No.	Qty. Allocated	Allocation of Deliv...
<input type="checkbox"/>	sc1700000...	Bonded	810000... n7003	BJ Oil Storage	CHINA Crude 1	--	13000	420,021.00

No. of Records: 1 Unmber Selected: 0 Total value of assigned delivery: 0

(3)

Select the warrants to be confirmed or canceled for allocation and perform the following steps at the lower part of the page:

- Pass: click the "Submit" button to confirm the warrant allocation.
- Cancel: click the "Cancel" button to cancel the warrant allocation of the. The OSBP may re-allocate the warrant.
- Export: click the "Export" button to export the searching result into your computer.

The warrant is also required to be released by the Clearing Member after the OSBP confirms the warrant allocation.

Product: TSR 20, LSFO, Copper

The process and steps for at-expiration delivery are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSBP at each process node for at-expiration delivery. Please use the section below as a reference for the corresponding process and steps for LSFO and Copper, as those will not be covered separately.

(Buyers) Submit a Notice of Interest

Once a contract enters the delivery stage, a buy-side OSBP can use this System to manage the buy intents for the delivery. During the delivery stage for a contract, the buying client should submit its buy intents to the OSBP for review. The OSBP can also use the System to submit the buy intents on the client's behalf, but review by the OSBP is still needed in this case before the buy intents are entered into the Delivery System for the assignment of deliverables.

The operation of TSR20,LSFO and Copper is basically the same as the above operation of Medium Sour Crude Oil.Please refer to the section of the describe of Submit a Notice of Interest about Medium Sour Crude Oil.

Note:After submitting the buy intent,an OSBP needs to review it from the page of(Delivery)Chcek a Notice of Interest in the "New Task"Module.

(Buyers) Check a Notice of Interest

An OSBP needs to review a buy intent after it submits it or after its client has submitted it and designated the OSBP to review it.

The operation of TSR20,LSFO and Copper is basically the same as the above operation of Medium Sour Crude Oil.Please refer to the section of the describe of Check a Notice of Interest about Medium Sour Crude Oil.

(Sellers) Submit a Warrant

When the futures contract enters its delivery period, OSBPs may submit the warrant for delivery with the warrant quantity authorized by their Clients for delivery. One application form of warrant for delivery submitted by an OSBP is only for one single client.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Delivery) Submission of Warrants" to enter the page for submitting the TSR 20 warrants sold in a trade.

The screenshot displays the 'Submission of Warrants' interface. At the top, there's a breadcrumb: 'New Task > Submission of Warrants'. Below that is the 'Contract Info.' section with 'Contract: nr1409'. It shows 'Qty. to Be Delivered(tonne): 1700', 'Qty. Submitted (tonne): 0', and 'Remaining Quantity(tonne): 1700'. The 'Search Criteria' section includes fields for Product (TSR 20), Brand, Grade, Client ID, Duty-paid Status, Manufacture, Specification, Depot, and Warrant No. There are 'Search' and 'Automatic batch select' buttons. Below are two tables: 'Available Warrants' and 'Selected Warrants', both currently empty. At the bottom, there's a 'Page 1 / Total 1' indicator, a 'Go to' field, and a 'Submit' button. Status bars at the bottom indicate 'Available: 0 warrants, 0.000 tonne, Total: 0 warrants' and 'Selected: 0 warrants, 0.000 tonne'.

The information of the contract for delivery will be automatically displayed at the top of the page.

(2)

Contract Info.
Contract: nr1409
Qty. to Be Delivered(tonne): 1700 Qty. Submitted (tonne): 0 Remaining Quantity(tonne): 1700

Search Criteria

Product: TSR 20 Duty-paid Status:

Brand:

Grade:

*Client ID: 60010012 Manufacture:

Warrants of Automatic Specification:

batch selection: Depot:

Warrant No.:

Available Warrants									
Warrant No.	Document N...	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.

Page 1 / Total 1 1

Available: 2 warrants, 20.160 tonne, Total: 2 warrants

Selected Warrants		S/U	E
Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr0210001981	Bonded	
<input checked="" type="checkbox"/>	nr0210001982	Bonded	

Selected: 2 warrants, 20.160 tonne

Input the information such as "Client ID". Select warrants (Warrants of LSFO may be selected through either the "Single Record Mode" or the "Union WarrantID Mode"). Please refer to the "Chapter2 General Functions -> Select Warrants" section for details.

(3)

Click the "Submit" button to submit the warrant.

The application for warrant delivery is also required to be reviewed by the Clearing Member after being submitted by the OSBP.

(Buyers) Allocate the Warrant

Upon the completion of matching and settlement, the delivery results will be synchronized to this System. Buy-side OSBPs may use this function to conduct delivery allocation, which is to allocate the warrant to their clients. Such an allocation is required to be reconfirmed. Buy-side OSBPs may cancel the allocation and re-allocate the warrant prior to the reconfirmation.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Delivery) Buy-side Warrant Allocation" to enter the page of allocating purchased warrants for TSR 20.

New Task ▸ Buy-Side Warrant Allocation

Search Criteria

Contract:

Delivery Qty. (Buy) (tonne): Delivery Amount: Allocated Qty.(tonne): Unallocated Quantity (tonne):

Client ID	Client Name	Delivery Weight(B...	Confirmed Weight	Confirmed Amount	Weight Allocated	Allocation of Deliv...	Operation

(2)

Select the contract and the system will automatically display the data at the lower part of the section such as Delivery Quantity (Buy), Delivery Amount, Quantity Allocated and Quantity Unallocated, indicating the delivery data of the contract for delivery.

New Task ▸ Buy-Side Warrant Allocation

Search Criteria

Contract:

Delivery Qty. (Buy) 100 (tonne): Delivery Amount: 1,191,960.00 Allocated Qty.(tonne): 0 Unallocated Quantity 100 (tonne):

Client ID	Client Name	Delivery Weight(B...	Confirmed Weight	Confirmed Amount	Weight Allocated	Allocation of Deliv...	Operation
60010012		100	0	0.00	0	0.00	Allocate

(3)

The list of Available Warrants for allocation displays the number of allocable warrants for the selected contracts by Client. Select the warrants to be allocated, and click "Allocate" in the operation column to pop up the Buy-side Warrant Allocation window.

Client ID (Sell-side):60010012

Product: TSR 20 Delivery Qty. (Buy) 100 (tonne): Allocated Qty.(tonne): 0 Unallocated Quantity 100 (tonne):

Duty-paid Status: Brand:

Manufacture: Grade:

Specification: Depot:

Warrant No.: -

For reference only, the selected warrant is considered by default to be that automatically created by the system or selected when the previous allocation was cancelled

Available Warrants								Selected Warrants			
Warrant No.	Brand	Grade	Specification	Manufacture	Depot	Delivery Settle...	Declaratio	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr0010000105	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002010	Bonded
<input checked="" type="checkbox"/>	nr0010002008	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002011	Bonded
<input checked="" type="checkbox"/>	nr0010002009	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002012	Bonded
<input checked="" type="checkbox"/>	nr0010002010	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002013	Bonded
<input checked="" type="checkbox"/>	nr0010002011	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002014	Bonded
<input checked="" type="checkbox"/>	nr0010002012	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002015	Bonded
<input checked="" type="checkbox"/>	nr0010002013	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002017	Bonded

Page 1 / Total 1

Available: 10 warrants, 100.800 tonne, incl. Bonded: 10 warrants, 100.800 tonne; Total: 10 warrants Selected warrants: 10 warrants, 100.800 tonne, bonded incl: 10 warrants, 100.800 tonne. Total amount: 1,191,960.00

(4)

On the Buy-side Warrant Allocation window, search for the available warrants and tick the warrants to be allocated.

Note: The default search results will select those warrants that were automatically generated by the System or were selected at the time of cancellation of the last allocation. The user may change this selection.

Client ID (Sell-side):60010012

Product: TSR 20 Delivery Qty. (Buy) 100 (tonne): Allocated Qty.(tonne): 0 Unallocated Quantity 100 (tonne):

Duty-paid Status: Brand:

Manufacture: Grade:

Specification: Depot:

Warrant No.: -

For reference only, the selected warrant is considered by default to be that automatically created by the system or selected when the previous allocation was cancelled

Available Warrants								Selected Warrants			
Warrant No.	Brand	Grade	Specification	Manufacture	Depot	Delivery Settle...	Declaratio	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr0010000105	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002010	Bonded
<input checked="" type="checkbox"/>	nr0010002008	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002011	Bonded
<input checked="" type="checkbox"/>	nr0010002009	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002012	Bonded
<input checked="" type="checkbox"/>	nr0010002010	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002013	Bonded
<input checked="" type="checkbox"/>	nr0010002011	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002014	Bonded
<input checked="" type="checkbox"/>	nr0010002012	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002015	Bonded
<input checked="" type="checkbox"/>	nr0010002013	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr19080008	nr190800	<input checked="" type="checkbox"/>	nr0010002017	Bonded

Page 1 / Total 1

Available: 10 warrants, 100.800 tonne, incl. Bonded: 10 warrants, 100.800 tonne; Total: 10 warrants Selected warrants: 10 warrants, 100.800 tonne, bonded incl: 10 warrants, 100.800 tonne. Total amount: 1,191,960.00

来自网页的消息

?

Please confirm the allocation to client.60010012 ?

Once the selection is made, click the "Submit" button and then click "Ok" at the pop-up confirmation box to allocate the purchased warrants.

(Buyers) Confirm/Cancel the Warrant Allocation

The warrant allocation made by buy-side OSBPs is required to be reconfirmed. Buy-side OSBPs may cancel the allocation and re-allocate the warrant prior to the reconfirmation.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Delivery) Confirm/Cancel Buy-side Warrant Allocation" to enter the page of confirming/canceling allocation of purchased warrants for TSR 20.

New Task > Confirm/Cancel Buy-Side Warrant Allocation

Search Criteria

Contract:

Client ID:

Search

Client ID	Client Name	Delivery Weight(Buy)	Confirmed Weight	Confirmed Amount	Weight of Remaining...	Amount of Remainin...
-----------	-------------	----------------------	------------------	------------------	------------------------	-----------------------

Submit Cancel Export

(2)

Fill in a contract code and click the "Search" button to search for the purchased warrants, as shown below:

New Task > Confirm/Cancel Buy-Side Warrant Allocation

Search Criteria

Contract: nr1908

Client ID: 60010012

Search

Client ID	Client Name	Delivery Weight(Buy)	Confirmed Weight	Confirmed Amount	Weight of Remaining...	Amount of Remainin...
60010012	[redacted]	100	0	0.00	100	1,191,960.00

Submit Cancel Export

In the list of purchased warrants, click a number in the warrants to be confirmed column to view the details of the purchased warrant, as shown below:

Client ID (Sell-side):60010012

Warrant No.	Brand	Grade	Specification	Manufacture	Depot	Declaration N...	Last Delive...	Last Delive...	Currenc...
nr0010000105	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000003	11825.00	119196.00	RMB
nr0010002008	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000004	11825.00	119196.00	RMB
nr0010002009	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000004	11825.00	119196.00	RMB
nr0010002010	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000004	11825.00	119196.00	RMB
nr0010002011	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000004	11825.00	119196.00	RMB
nr0010002012	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000004	11825.00	119196.00	RMB
nr0010002013	nrBrand01	nrGRADE01	nr-Specifa...	Manufact...	SHC	nr1908000004	11825.00	119196.00	RMB

Total: 10 warrants, 100.800 tonne, current: 10 warrants, 100.800 tonne

Page 1 / Total 1 1 Go to

OK Export

(3)

New Task ▶ Confirm/Cancel Buy-Side Warrant Allocation

Search Criteria

Contract: nr1908
Client ID: 60010012

Search

	Client ID	Client Name	Delivery Weight(Buy)	Confirmed Weight	Confirmed Amount	Weight of Remaining...	Amount of Remainin...
<input checked="" type="checkbox"/>	60010012		100	0	0.00	100	1,191,960.00

Submit Cancel Export

Select the warrants to be confirmed or canceled for allocation and perform the following steps at the lower part of the page:

- Pass: click the "Submit" button to confirm the warrant allocation.
- Cancel: click the "Cancel" button to cancel the warrant allocation of the. The OSBP may re-allocate the warrant.
- Export: click the "Export" button to export the searching result into your computer.

The warrant is also required to be released by the Clearing Member after the OSBP confirms the warrant allocation.

Chapter 7 EFP Delivery

This Chapter describes the operation of EFP by OSBPs.

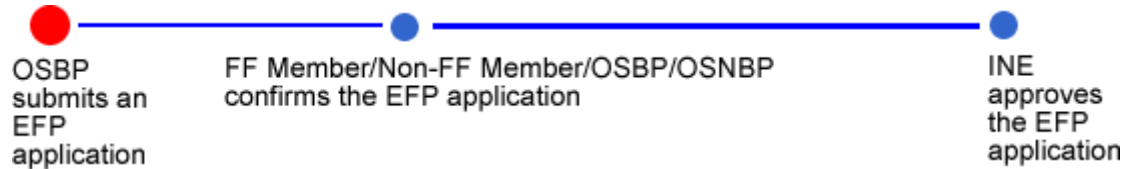
After the buyers and sellers in EFP (the participating roles may include FF Members, Non-FF Members, OSBPs and OSNBPs) reach a price through negotiations, either party may submit the EFP application to the Exchange. And the counterparty will send the confirmed application to the Exchange for approval after confirming the EFP application.

After the EFP application approved by the Exchange, both parties will have their respective positions in such contract closed out by the Exchange at the price prescribed by the Exchange. Sell-side clients will authorize a certain number of warrants for the EFP delivery by OSBPs. And OSBPs will submit the warrants authorized by sell-side clients to the Exchange within prescribed period to initiate the process of EFP delivery.

Product: Medium Sour Crude Oil

Submit an EFP Application

After a buyer and a seller make an agreement, the OSBP of either side may submit the EFP application with this function.



(1)

In the navigation menu, select "New Task" --> "(EFP Delivery) EFP Application" to enter the EFP Application page.

New Task > EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information

Product: Medium Sour Crude Oil

* Standard Warrant?: Standard Non-Standard

* Settlement Method:

* Contract:

* Side of Initiation:

* Delivery Qty:

* Final Settlement Price:

* Member ID (Buy-side):

* Member ID (Sell-side):

Client ID (Buy-side):

Client ID (Sell-side):

Client Name (Buy-side):

Client Name (Sell-side):

Buy Position Type:

Sell Position Type:

delivery venues for non-standard warrants:

crude underlying non-standard warrants:

Non-standard warrants:

Quantity of non-standard warrants:

Reason for delivery with non-standard warrants:

Note:

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.

Note2: EFP application shall be submitted before 14:00 of the day

Note3: The delivery settlement price is the settlement price of the last trading day in the latest month. (Bonded price)

Note 4: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.

New Task ▸ EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information

Product: Medium Sour Crude Oil

* Standard Warrant?: Standard Non-Standard

* Settlement Method: settlement off the Exchange

* Contract:

* Side of Initiation:

* Delivery Qty:

* Final Settlement Price:

* Member ID (Buy-side):

* Member ID (Sell-side):

Client ID (Buy-side):

Client ID (Sell-side):

Client Name (Buy-side):

Client Name (Sell-side):

Buy Position Type:

Sell Position Type:

delivery venues for non-standard warrants:

crude underlying non-standard warrants:


Non-standard warrants:

Quantity of non-standard warrants:

Reason for delivery with non-standard warrants:

Note:

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.
 Note2: EFP application shall be submitted before 14:00 of the day
 Note 3: Please submit the subsequent materials to INE within the specified time.
 Note 4: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.



(2)

Edit all information items in turn in the EFP Application page.


First, select the standard or non-standard warrant, fill in the "Contract" for the EFP delivery and select the "Side of Initiation". When the Side of Initiation is selected, part of the information of the buyer and seller will automatically be filled in, and other information will be edited.


(3)

After filling in all the information, click the "OK" button to submit the EFP application.

The EFP application is required to be confirmed by the counterparty after being submitted successfully.

Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page. You may cancel the EFP application in the Task Tracking prior to the confirmation by the counterparty.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	EFP Applicati...	sc1700000027	Pendi...	Member submitted EFP application(initiated by Member (Bu...	EFP Applicati...	20170717	20170717

Click the  icon in the operation column to enter the page for cancellation of EFP application. Click the "OK" button to cancel the EFP application.

Confirm an EFP Application

When the counterparty FF Members, Non-FF Members, OSBPs or OSNBPs submit the EFP application as agreed upon, OSBPs are required to confirm the EFP application.



(1)

After the EFP application is submitted by the counterparty, OSBPs may inquire about and view that EFP application to be confirmed in To-do Tasks.

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	EFP Applicat...	sc1700000022	Member submi Pendi... application(initiated by Sell-side...	EFP Applicati...	20170621	21:18:40	20170621	21:18:40

(2)

Click the "Application No." to enter the page of Confirm EFP application. The following figure shows the EFP application of standard warehouse and non-standard warehouse.

To do > Confirm EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information

<ul style="list-style-type: none"> * EFP Application No.: sc1800000014 * Standard Warrant?: Standard <li style="padding-left: 20px;">* Contract: sc1812 <li style="padding-left: 20px;">* Delivery Qty.: 200000 * Member ID (Buy-side): 7005 Buy-Side Member Abbr.: 7005 <li style="padding-left: 20px;">* Client ID (Buy-side): <input type="text" value="60010017"/> <li style="padding-left: 20px;">* Client Name (Buy-side): <input type="text" value="*****"/> <li style="padding-left: 20px;">* Buy Position Type: <input type="text" value="Speculation"/> <p>delivery venues for non-standard warrants:</p> <p>crude underlying non-standard warrants:</p> <p>Non-standard warrants:</p> <p>Quantity of non-standard warrants:</p> <p>Reason for delivery with non-standard warrants:</p> <p>Note:</p>	<ul style="list-style-type: none"> * Declaration Date: 20181012 * Settlement Method: settlement via the Exchange <li style="padding-left: 20px;">Status: EFP Application * Final Settlement Price: 14,204.40 * Member ID (Sell-side): 7003 Sell-side Member Abbr.: n7003 <li style="padding-left: 20px;">* Client ID (Sell-side): <input type="text"/> <li style="padding-left: 20px;">* Client Name (Sell-side): <input type="text"/> <li style="padding-left: 20px;">* Sell Position Type: <input type="text"/>
---	--

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.
 Note2: EFP application shall be submitted before 14:00 of the day
 Note 3: Please submit the subsequent materials to INE within the specified time.
 Note 4: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.

✓ Approve
✗ Reject

To do > Confirm EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information	
* EFP Application No.: sc1800000015	* Declaration Date: 20181012
* Standard Warrant?: Non-Standard	* Settlement Method: settlement off the Exchange
* Contract: sc1812	Status: EFP Application
* Delivery Qty.: 200000	* Final Settlement Price: 11,111.00
* Member ID (Buy-side): 7005	* Member ID (Sell-side): 7003
Buy-Side Member Abbr.: 7005	Sell-side Member Abbr.: n7003
* Client ID (Buy-side): 60010017	* Client ID (Sell-side):
* Client Name (Buy-side): *****	* Client Name (Sell-side):
* Buy Position Type: Speculation	* Sell Position Type:
delivery venues for non-standard warrants: 1	
crude underlying non-standard warrants: 1	
Non-standard warrants: 1	
Quantity of non-standard warrants: 1	
Reason for delivery with non-standard warrants: 1	
Note: 1	

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.
 Note2: EFP application shall be submitted before 14:00 of the day
 Note 3: Please submit the subsequent materials to INE within the specified time.
 Note 4: When submitting the application for EFP, it's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.

(3)

Fill in the counterparty Client ID, Client Name and select the counterparty position type. Click the "Approve" button at the lower part of the page to confirm the EFP application submitted by the counterparty and proceed to the next node of "the Approval by the Exchange" in the process, or click the "Reject" button to reject the EFP application.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Note: The EFP application is still required to be approved by the Exchange after the OSBP confirms the application submitted by the counterparty.

(Sellers) Submit a Warrant

After both parties obtain the approval of the EFP application by the Exchange and have their respective positions closed out by the Exchange, sell-side OSBPs may use this function to submit the sell-side warrants for the EFP delivery with the warrant quantity authorized by their Clients.

Note: Before submitting the warrants, OSBPs are required to obtain the Client's EFP delivery authorization on the warrants for delivery.

(1)

In the navigation menu, select "New Task" --> "(EFP Delivery) Submission of a Warrant" to enter the page of submitting a warrant.

New Task ▸ Submission of Warrants

Search Criteria

• Product:

Duty-paid Status: All Duty-paid

Depot: SHC BJ Oil Storage

Crude: Crude 2 CHINA Crude 1

• Client ID:

Q Search

Document No. ...	Warrant Accou...	Duty-p...	Client ID	Client Name	Depot ...	Crude Name	Last Delivery...	Last Delivery...	Availab...	Qty. Submitted

Total Available Qty.:0 Bonded Available Qty.:0 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0

Transaction Information

• EFP Application No.:

• Filled Order No.:

Transaction Qty.:

Transaction Price:

(2)

Define the search criteria and inquire about the warrant for delivery based on the information such as Client ID.

New Task ▸ Submission of Warrants

Duty-paid Status: All Duty-paid

Depot: SHC BJ Oil Storage

Crude: Crude 2 CHINA Crude 1

• Client ID:

Q Search

Warrant Authori...	Duty-paid...	Client Name	Depot Ab...	Crude Name	Last Delivery Per...	Last Delivery Price	Available ...	Qty. Submitted
<input type="checkbox"/>	sc170000008	Bonded	n7003	BJ Oil Storage	CHINA Crude 1		2000	<input type="text" value="0"/>

Total Available Qty.:2000 Bonded Available Qty.:2000 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0

Transaction Information

• EFP Application No.:

• Filled Order No.:

Transaction Qty.:

Transaction Price:

(3)

New Task ▾ Submission of Warrants

Duty-paid Status: All **Bonded** Duty-paid

Depot: All SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Client ID: 81000059

Q Search

Warrant Authori...	Duty-paid ...	Client Name	Depot Ab...	Crude Name	Last Delivery Per...	Last Delivery Price	Available ...	Qty. Submitted
<input checked="" type="checkbox"/>	sc170000008	Bonded	n7003	BJ Oil Storage CHINA Crude 1			2000	1000

Please select by product property - Storage Location : Qty. Submitted/Qty. Available

- -- : / 2000

Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available

- 20170414-20181212 : / 2000

Total Available Qty.:2000 Bonded Available Qty.:2000 Total Submitted Qty.:1000 Bonded Commodity Submitted Qty.:1000

Transaction Information

• EFP Application No.: • Filled Order No.:

Transaction Qty.: 4000 Transaction Price: 12,535.70

Fill in the "Quantity Submitted" of the warrant for delivery.

Edit the "Transaction Information" at the lower part of the page and fill in the "EFP Application No.". Select the "Filled Order No." with the dropdown box, and the data such as Transaction Quantity and Transaction Price will be displayed in the System automatically.

Upon completion of this page, click the "Submit" to submit the warrant.

(Buyers) Allocate the Warrant

Upon the completion of matching and settlement in the delivery system, the delivery results will be synchronized to this System. Buy-side OSBPs may use this function to conduct delivery allocation for the EFP delivery, which is to allocate the warrant to their clients.

(1)

In the navigation menu, select "New Tasks" --> "(EFP Delivery)Allocate the Warrant" to enter the relevant page.

New Task ▾ Buy-Side Warrant Allocation

Buy-Side EFP Delivery Allocation

• EFP Application No.:

EFP Info.

Product: _____

Delivery date: _____ Delivery Price: _____ Delivery Qty.: _____

Sell-side Member ID: _____ Sell-side Client ID: _____ Buy-side Client ID: _____

Search Criteria

Duty-paid Status: All **Bonded** Duty-paid

Depot: All SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Q Search

Duty-paid S...	Depot Abbr.	Crude Name	Tank No.	Qty. Allocated	Allocation of Delivery Amount
----------------	-------------	------------	----------	----------------	-------------------------------

(2)

New Task > Buy-Side Warrant Allocation

Buy-Side EFP Delivery Allocation

EFP Application No.:

EFP Info.

Product: sc
 Delivery date: 20170516 Delivery Price: 12,535.70 Delivery Qty.: 1000
 Sell-side Member ID: 7001 Sell-side Client ID: 88007001 Buy-side Client ID: 81000059

Search Criteria

Duty-paid Status: All **Bonded** Duty-paid
 Depot: All SHC BJ Oil Storage
 Crude: All Crude 2 CHINA Crude 1

Duty-paid S...	Depot Abbr.	Crude Name	Tank No.	Qty. Allocated	Allocation of Delivery Amount

Input the "EFP Application No.", and the System will obtain the "EFP Information" accordingly.

(3)

New Task > Buy-Side Warrant Allocation

Delivery date: 20170516 Delivery Price: 12,535.70 Delivery Qty.: 1000
 Sell-side Member ID: 7001 Sell-side Client ID: 88007001 Buy-side Client ID: 81000059

Search Criteria

Duty-paid Status: All **Bonded** Duty-paid
 Depot: All SHC BJ Oil Storage
 Crude: All Crude 2 CHINA Crude 1

Duty-paid S...	Depot Abbr.	Crude Name	Tank No.	Qty. Allocated	Allocation of Delivery Amount
<input type="checkbox"/>	Bonded	BJ Oil Storage	CHINA Crude 1	--	1000 420,021.00

Total Available Qty.:1000 Bonded Available Qty.:1000 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0
 Total value of assigned delivery: 0

Define the search criteria to inquire about the list of available warrants.

(4)

Select the warrant to be allocated and click the "Submit" button.

The warrant is also required to be released by the Clearing Member after the OSBP allocates the warrant..

EFP Intention

Through the navigation menu, click "New Task" --> "(EFP Delivery) EFP Intention" to enter the page of EFP intention.

New Task ▸ EFP Intention

Search Criteria

Product: Medium Sour Crude Oil
 Contract:
 Buy/Sell: Buy Sell
 Client ID:
 Status: Initial Issued Cancelled Deleted

<input checked="" type="checkbox"/>	EFP Intention ...	Contract	Client ID	Buy/Sell	Quantity	Status of ...	Contact Person	Tel.	Email	Fax	Recorded
<input type="checkbox"/>	sc2308000001	sc1508	60010098	Buy	1000	Initial	57657	56765			2023081

Page 1 / Total 1

OSBPs may query, add, post, delete or cancel the EFP intention.

EFP Intention Query

In the page of EFP intention, define the search criteria and click the "Search" button. You may search and view the submitted EFP intention information

(1)

In the page of EFP intention, define the search criteria and click the "Search" button. And all search results matching the criteria will be listed here.

New Task ▸ EFP Intention

Search Criteria

Product: Medium Sour Crude Oil
Contract:
Buy/Sell: Buy Sell
Client ID:
Status: Initial Issued Cancelled Deleted

Search

<input checked="" type="checkbox"/>	EFP Intention ...	Contract	Client ID	Buy/Sell	Quantity	Status of ...	Contact Person	Tel.	Email	Fax	Recorded
<input type="checkbox"/>	sc2308000001	sc1508	60010098	Buy	1000	Initial	57657	56765			2023081

Page 1 / Total 1

The search result is the EFP intention submitted by the user itself.

Add an EFP Intention

(1)

In the page of EFP intention, click the "Add" button to enter the page of EFP intention application.

New Task > EFP Intention > EFP Intention Application

EFP Intention Application

Product: Medium Sour Crude Oil

* Contract:

* Client ID:

* Buy/Sell:

* Quantity (barrel) :

* Contact Person:

* Tel.:

Email:

Fax:

Note:

Retain Information:

(2)

Edit the details of an EFP intention application, click the "Submit" button to submit the new intention, and return to the EFP intention page.

If user needs to add several EFP intentions, click the "Add More" button after editing the details of an EFP intention application. The edited intention will be submitted, while user remains on the add EFP intention page and can edit and add new intentions. In this process, if user needs to retain the details of the last edited intention, user can check the "Save Information" box to preserve that information, make any necessary modifications, and then click the "Add More" button to proceed. The last edited information will be saved on the page.

Modify an EFP Intention

EFP intentions in the "Initial" status may be modified.

Select the item to be modified and click the "EFP Intention No." to enter the page of modification. You are allowed to modify the EFP Intention here.

The EFP intentions in the "Posted" status are not allowed to be modified.

Post an EFP Intention

EFP intentions in the "Initial" status may be posted. Select one or multiple EFP intentions, and click the "Post" button to post the information.

Delete an EFP Intention

EFP intentions in the "Initial" status may be deleted. Select one or multiple EFP intentions, and click the "Delete" button to delete the information.

The EFP intentions in the "Posted" status are not allowed to be deleted.

Cancel an EFP Intention

EFP intentions in the "Posted" status may be cancelled.

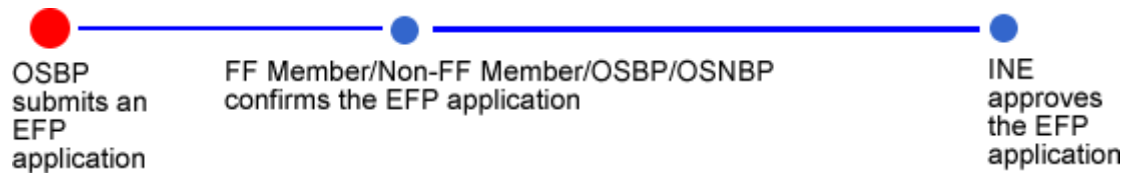
Select one or multiple EFP intentions, and click the "Cancel" button to cancel the information.

Product: TSR 20, LSFO, Copper

The process and steps for EFP delivery are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSBP at each process node for EFP delivery. Please use the section below as a reference for the corresponding process and steps for LSFO and Copper, as those will not be covered separately.

Submit an EFP Application

After a buyer and a seller make an agreement, the OSBP of either side may submit the EFP application with this function.



(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "EFP Application" to enter the page for submitting an EFP application for TSR 20.

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information

Product: TSR 20	
* Standard Warrant?: <input checked="" type="radio"/> Standard <input type="radio"/> Non-Standard	* Settlement Method: <input type="text" value="settlement via the Exchange"/>
* Contract: <input type="text"/>	* Delivery Price: <input type="text" value="9,260.00"/>
* Standard Weight(tonne): <input type="text"/>	Warrant Count(warrants): <input type="text"/>
* Direction: <input type="text"/>	* Member ID (Sell-side): <input type="text"/>
* Member ID (Buy-side): <input type="text"/>	Client ID (Sell-side): <input type="text"/>
Client ID (Buy-side): <input type="text"/>	Client Name (Sell-side): <input type="text"/>
Client Name (Buy-side): <input type="text"/>	Sell Position Type: <input type="text"/>
Buy Position Type: <input type="text"/>	
Application No. of Warrant Issued by Factory Warehouse: <input type="text"/>	
delivery venues for non-standard warrants: <input type="text"/>	
Brand underlying non-standard warrants: <input type="text"/>	
Non-standard warrants: <input type="text"/>	
Quantity of non-standard warrants: <input type="text"/>	
Reason for delivery with non-standard warrants: <input type="text"/>	
Note: <input type="text"/>	

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.
 Note2: EFP application shall be submitted before 14:00 of the day
 Note3: The delivery settlement price is the settlement price of the last trading day in the latest month. (Bonded price)
 Note 4: As the sell-side, the factory warehouse, who directly issued the warrant to buy-side and performed the settlement-off-the-Exchange EFP business, should fill in the Application No. of Warrant Issued by Factory Warehouse.
 Note 5: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.

 OK

New Task ▸ EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information

Product: TSR 20

*Standard Warrant?: Standard Non-Standard

*Contract:

*Standard Weight(tonne):

*Direction:

*Member ID (Buy-side):

Client ID (Buy-side):

Client Name (Buy-side):

Buy Position Type:

Application No. of Warrant Issued by Factory Warehouse:

delivery venues for non-standard warrants:

Brand underlying non-standard warrants:

Non-standard warrants:

Quantity of non-standard warrants:

Reason for delivery with non-standard warrants:

Note:

*Settlement Method:

*Delivery Price:

Warrant Count(warrants):

*Member ID (Sell-side):

Client ID (Sell-side):

Client Name (Sell-side):

Sell Position Type:

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.
 Note2: EFP application shall be submitted before 14:00 of the day
 Note 3: Please submit the subsequent materials to INE within the specified time.
 Note 4: As the sell-side, the factory warehouse, who directly issued the warrant to buy-side and performed the settlement-off-the-Exchange EFP business, should fill in the Application No. of Warrant Issued by Factory Warehouse.
 Note 5: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.

(2)

Edit all information items in turn in the EFP Application page.

There are "Standard" and "Non-standard" EFP applications. The user first selects the standard or non-standard warrant. When "Standard" is selected, the settlement method will be "Via the Exchange". The Final Settlement Price will be automatically given by the System. The fields for non-standard EFP application will be cleared and set to be Read-only. When "Non-standard" is selected, the settlement method will be "Settlement off the Exchange". The user is allowed to modify the "Final Settlement Price" and the information in a non-standard EFP application.

Fill in the "Contract" for the EFP delivery and select the "Side of Initiation". When the Side of Initiation is selected, part of the information of the buyer and seller will automatically be filled in, and other information will be edited.

Note: If the Members of the buyer and the seller are identical, please fill in the buyer information first. An EFP application needs to be submitted before 14:00 on the current day. The final settlement price is the settlement price (bonded settlement price) of the first-nearby contract on the previous trading day .

(3)

After filling in all the information, click the "OK" button to submit the EFP application.

The EFP application is required to be confirmed by the counterparty after being submitted successfully.

Task Tracking: You may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page. You may cancel the EFP application in the Task Tracking prior to the confirmation by the counterparty.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	EFP Applicati...	nr1900000005	Pending	Member submitted EFP application(initiated by Member (Bu...	EFP Applicati...	20190806	20190806

Click the icon in the operation column to enter the page for cancellation of EFP application. Click the "OK" button to cancel the EFP application.

Confirm an EFP Application

When the counterparty FF Members, Non-FF Members, OSBPs or OSNBPs submit the EFP application as agreed upon, OSBPs are required to confirm the EFP application.



(1)

After the EFP application is submitted by the counterparty, OSBPs may inquire about and view that EFP application to be confirmed in To-do Tasks.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	EFP Applicati...	nr1900000006	Member submitted EFP application(initiated by Membe...	EFP Application	20190806	09:20:23	20190806	09:20:23

(2)

Click the "Application No." to enter the page of Confirm EFP application. The following figure shows the EPP application of standard warehouse.

To do ▶ Confirm EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information

EFP Application No.: nr2000000001	Product: TSR20
Declaration Date: 20201105	Status: EFP Application
Standard Warrant?: Standard	Settlement Method: settlement via the Exchange
Contract: nr1405	Delivery Price: 1,245.00
Standard Weight(tonne): 100	Warrant Count(warrants): 10
Direction: Buy	
Member ID (Buy-side): 7001	Member ID (Sell-side): 7003
Member Abbr. (Buy-side): n7001	Member Abbr. (Sell-side): n7003
Client ID (Buy-side): <input type="text" value="88007001"/>	Client ID (Sell-side): <input type="text"/>
Client Name (Buy-side): <input type="text" value="*****"/>	Client Name (Sell-side): <input type="text"/>
Buy Position Type: Speculation	Sell Position Type: <input type="text"/>

Note:

Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.
 Note2: EFP application shall be submitted before 14:00 of the day
 Note 3: Please submit the subsequent materials to INE within the specified time.
 Note 4: As the sell-side, the factory warehouse, who directly issued the warrant to buy-side and performed the settlement-off-the-Exchange EFP business, should fill in the Application No. of Warrant Issued by Factory Warehouse.
 Note 5: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.

(3)

To do ▶ Confirm EFP Application

We, buyer and seller, hereby jointly apply, and commit to implement following procedures pursuant to the relevant provisions of Delivery Rules of the Shanghai International Energy Exchange. The details are as follows

EFP Application Information	
EFP Application No.: nr2000000001	Product: TSR20
Declaration Date: 20201105	Status: EFP Application
Standard Warrant?: Standard	Settlement Method: settlement via the Exchange
Contract: nr1405	Delivery Price: 1,245.00
Standard Weight(tonne): 100	Warrant Count(warrants): 10
Direction: Buy	
Member ID (Buy-side): 7001	Member ID (Sell-side): 7003
Member Abbr. (Buy-side): n7001	Member Abbr. (Sell-side): n7003
Client ID (Buy-side): <input type="text" value="88007001"/>	Client ID (Sell-side): <input type="text"/>
Client Name (Buy-side): <input type="text" value="*****"/>	Client Name (Sell-side): <input type="text"/>
Buy Position Type: <input type="text" value="Speculation"/>	Sell Position Type: <input type="text"/>
Note:	
<p>Note1: If the members of buy-side and sell-side are identical, please fill in the buy-side information first.</p> <p>Note2: EFP application shall be submitted before 14:00 of the day</p> <p>Note 3: Please submit the subsequent materials to INE within the specified time.</p> <p>Note 4: As the sell-side, the factory warehouse, who directly issued the warrant to buy-side and performed the settlement-off-the-Exchange EFP business, should fill in the Application No. of Warrant Issued by Factory Warehouse.</p> <p>Note 5: When submitting the application for EFP, It's important to carefully review the position in the account to ensure they meet the closing requirements. Failures to do so could result in a failed closing transaction.</p>	
<input type="button" value="✓ Approve"/> <input type="button" value="✗ Reject"/>	

Fill in the counterparty Client ID, Client Name and select the counterparty position type. Click the "Approve" button at the lower part of the page to confirm the EFP application submitted by the counterparty and proceed to the next node of "the Approval by the Exchange" in the process, or click the "Reject" button to reject the EFP application.

Note: The EFP application is still required to be approved by the Exchange after the OSBP confirms the application submitted by the counterparty.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

(Sellers) Submit a Warrant

After both parties obtain the approval of the EFP application by the Exchange and have their respective positions closed out by the Exchange, sell-side OSBPs may use this function to submit the sell-side warrants for the EFP delivery with the warrant quantity authorized by their Clients.

Note: Before submitting the warrants, OSBPs are required to obtain the Client's EFP delivery authorization on the warrants for delivery.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(EFP Delivery) Submission of Warrants" to enter the page for submitting the sold TSR 20 warrants.

New Task ▸ Submission of Warrants

Transaction Information

• EFP Application No.: nr190000004 • Transaction No.: 1001
 Contract: nr1405 Standard Weight(tonne): 100 Delivery Price: 10,118.00

Search Criteria

• Product: TSR 20 • Client ID: 60010012
 More ▾

Search Automatic batch select

Available Warrants										Selected Warrants		
Warrant No.	Document N...	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot		Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.	<input checked="" type="checkbox"/>	nr0210001981	Bonded
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh.	<input checked="" type="checkbox"/>	nr0210001982	Bonded

Page 1 / Total 1 1 Go to

Available: 2 warrants, 20.160 tonne, Total: 2 warrants Selected: 2 warrants, 20.160 tonne

Submit

Upon completion of this page, click the "Submit" to submit the warrant.

(Buyers) Allocate the Warrant

Upon the completion of matching and settlement in the delivery system, the delivery results will be synchronized to this System. Buy-side OSBPs may use this function to conduct delivery allocation for the EFP delivery, which is to allocate the warrant to their clients.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(EFP Delivery) Buy-side Warrant Allocation" to enter the page of allocating purchased warrants for TSR 20.

New Task ▸ Buy-Side Warrant Allocation

Transaction Information

• EFP Application No.: Filled Order No.:
 Contract: Standard Weight:
 Member ID (Sell-side): Client ID (Sell-side): Delivery Price:
 Client ID (Buy-side):

Available Warrants

Warrant No.	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effe
-------------	---------------	-------	-------------	-------	---------------	-------	----------------	---------	------

Page 1 / Total 1 1 Go to

Available: 0 warrants, 0.000 tonne, incl. Bonded: 0 warrants, 0.000 tonne; Total: 0 warrants Selected: 0 warrants, 0.000 tonne, incl. Bonded: 0 warrants, 0.000 tonne

Submit

(2)

New Task > Buy-Side Warrant Allocation

Transaction Information

• EFP Application No.: Filled Order No.:
 Contract: nr1405 Standard Weight: 100 Delivery Price: 10,118.00
 Member ID (Sell-side): 7001 Client ID (Sell-side): 88007001 Client ID (Buy-side): 60010012

Available Warrants											Selected Warrants	
Warrant No.	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effe		Warrant No.	Duty-paid ...
<input type="checkbox"/> nr0010000124	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/> nr0010000125	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/> nr0010000126	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/> nr0010000127	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/> nr0010000128	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/> nr0010000129	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/> nr0010000130	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20			

Page 1 / Total 1

Available: 10 warrants, 100.800 tonne, incl. Bonded: 10 warrants, 100.800 tonne; Total: 10 warrants
 Selected: 0 warrants, 0.000 tonne, incl. Bonded: 0 warrants, 0.000 tonne

Input the "EFP Application No.", and the System will obtain the "EFP Information" accordingly.

(3)

New Task > Buy-Side Warrant Allocation

Transaction Information

• EFP Application No.: Filled Order No.:
 Contract: nr1405 Standard Weight: 100 Delivery Price: 10,118.00
 Member ID (Sell-side): 7001 Client ID (Sell-side): 88007001 Client ID (Buy-side): 60010012

Available Warrants											Selected Warrants	
Warrant No.	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effe		Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/> nr0010000124	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000127	Bonded
<input checked="" type="checkbox"/> nr0010000125	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000128	Bonded
<input checked="" type="checkbox"/> nr0010000126	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000129	Bonded
<input checked="" type="checkbox"/> nr0010000127	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000130	Bonded
<input checked="" type="checkbox"/> nr0010000128	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000131	Bonded
<input checked="" type="checkbox"/> nr0010000129	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000132	Bonded
<input checked="" type="checkbox"/> nr0010000130	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20		<input checked="" type="checkbox"/> nr0010000133	Bonded

Page 1 / Total 1

Available: 10 warrants, 100.800 tonne, incl. Bonded: 10 warrants, 100.800 tonne; Total: 10 warrants
 Selected: 10 warrants, 100.800 tonne, incl. Bonded: 10 warrants, 100.800 tonne

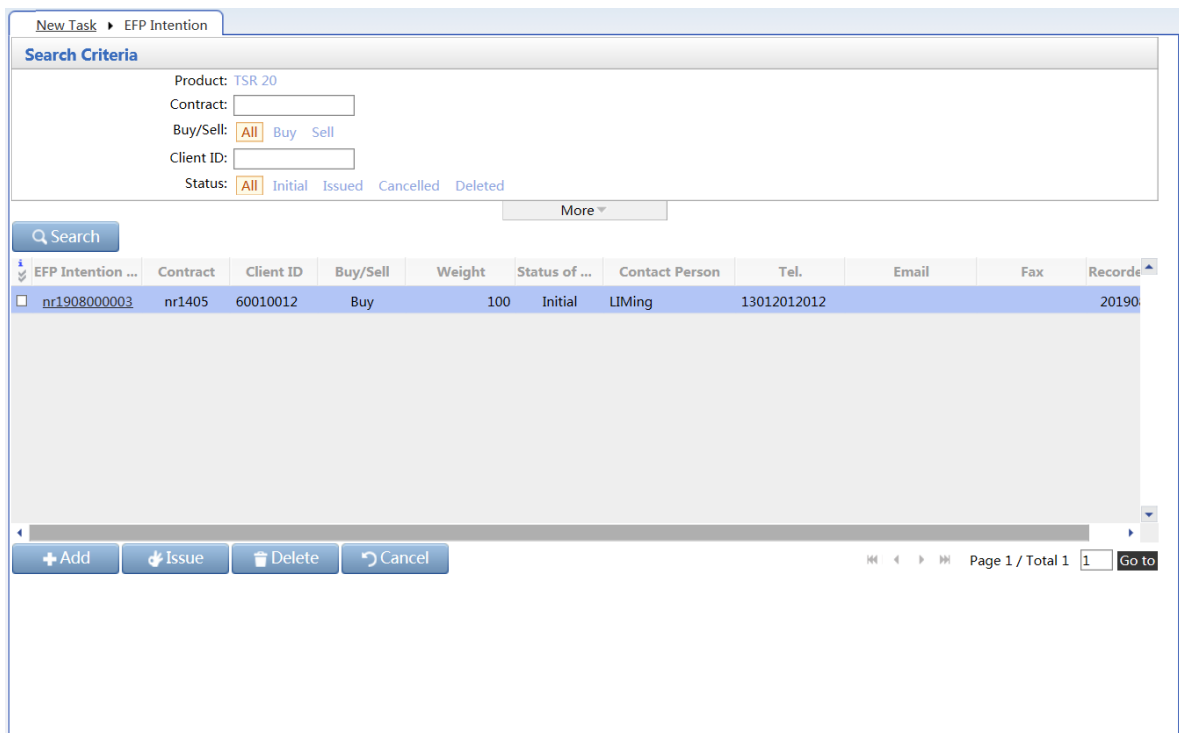
Select the buy-side warrants to be allocated from the list of Available Warrants.

(4)

Click the "Submit" button. The warrant is also required to be released by the Clearing Member after the OSBP allocates the warrant..

EFP Intention

From the navigation menu, select "New Task" --> "TSR 20" --> "(EFP Delivery) EFP Intention" to enter the EFP intention page for TSR 20.



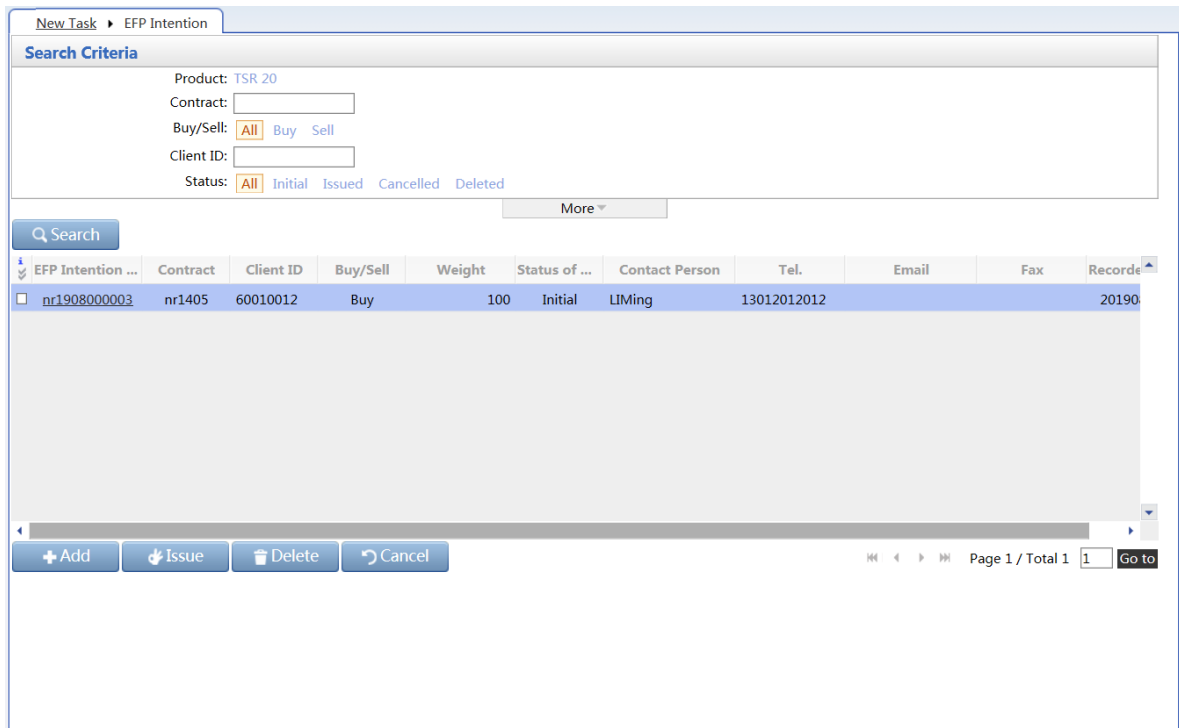
OSBPs may query, add, post, delete or cancel the EFP intention.

EFP Intention Query

In the page of EFP intention, define the search criteria and click the "Search" button. You may search and view the submitted EFP intention information

(1)

In the page of EFP intention, define the search criteria and click the "Search" button. And all search results matching the criteria will be listed here.



The search result is the EFP intention submitted by the user itself.

Add an EFP Intention

(1)

In the page of EFP intention, click the "Add" button to enter the page of EFP intention application.

New Task > EFP Intention > EFP Intention Application

EFP Intention Application

Product: TSR 20

*Contract: nr1509 nr1511

*Client ID: [text box]

*Buy/Sell: Buy Sell

*Weight (tonne) : [text box]

*Contact Person: [text box]

*Tel.: [text box]

Email: [text box]

Fax: [text box]

Note: [text box]

Retain Information:

Submit Continue Back

(2)

Edit the details of an EFP intention application, click the "Submit" button to submit the new intention, and return to the EFP intention page.

If user needs to add several EFP intentions, click the "Add More" button after editing the details of an EFP intention application. The edited intention will be submitted, while user remains on the add EFP intention page and can edit and add new intentions. In this process, if user needs to retain the details of the last edited intention, user can check the "Save Information" box to preserve that information, make any necessary modifications, and then click the "Add More" button to proceed. The last edited information will be saved on the page.

Modify an EFP Intention

EFP intentions in the "Initial" status may be modified.

Select the item to be modified and click the "EFP Intention No." to enter the page of modification. You are allowed to modify the EFP Intention here.

The EFP intentions in the "Posted" status are not allowed to be modified.

Post an EFP Intention

EFP intentions in the "Initial" status may be posted. Select one or multiple EFP intentions, and click the "Post" button to post the information.

Delete an EFP Intention

EFP intentions in the "Initial" status may be deleted. Select one or multiple EFP intentions, and click the "Delete" button to delete the information.

The EFP intentions in the "Posted" status are not allowed to be deleted.

Cancel an EFP Intention

EFP intentions in the "Posted" status may be cancelled.

Select one or multiple EFP intentions, and click the "Cancel" button to cancel the information.

Chapter 8 Return of Authorization

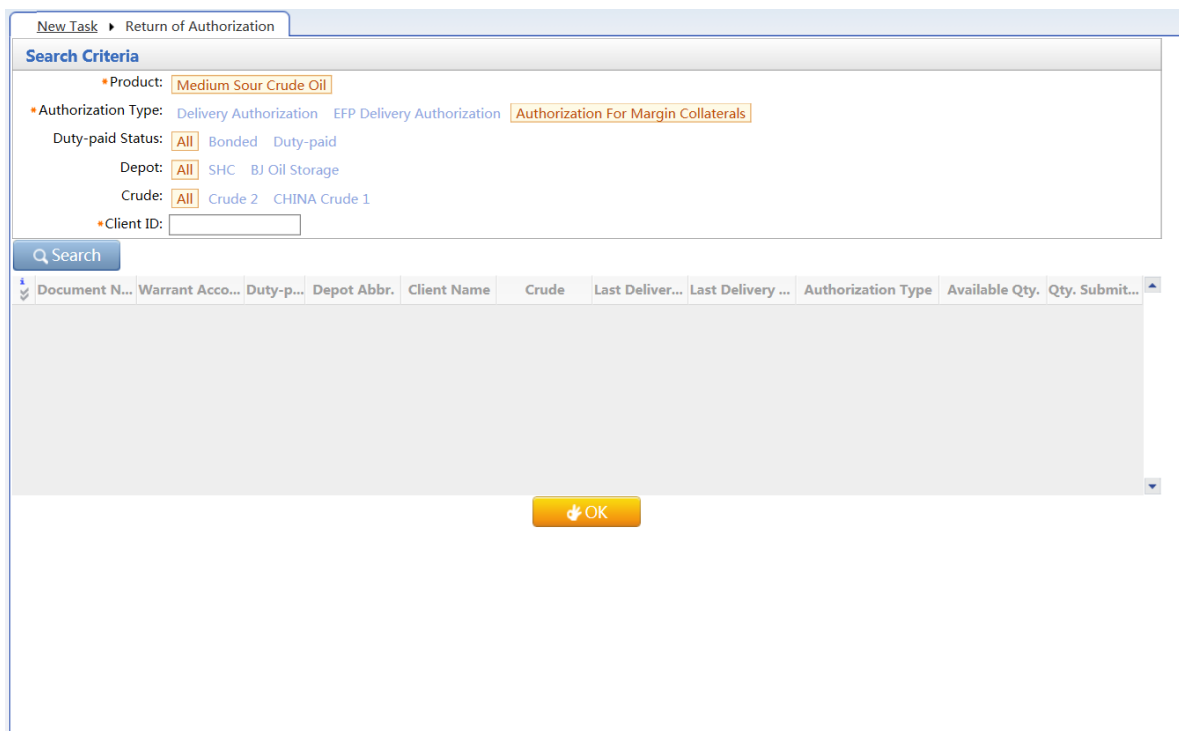
OSBPs may release and return the standard warrants authorized by their clients if such warrants fail to meet the criteria for margin collateral, delivery or EFP. Clients may re-authorize the standard warrants after the authorization is returned by OSBPs.

Product: Medium Sour Crude Oil

Return of Authorization

(1)

In the navigation menu, select "New Task" --> "Return of Authorization" to enter the relevant page.



The screenshot shows a web application interface for 'Return of Authorization'. At the top, there is a breadcrumb trail: 'New Task > Return of Authorization'. Below this is a 'Search Criteria' section with several fields:

- Product:** Medium Sour Crude Oil
- Authorization Type:** Delivery Authorization, EFP Delivery Authorization, Authorization For Margin Collaterals
- Duty-paid Status:** All, Bonded, Duty-paid
- Depot:** All, SHC, BJ Oil Storage
- Crude:** All, Crude 2, CHINA Crude 1
- Client ID:** (empty text box)

Below the search criteria is a 'Search' button. Underneath is a table with the following columns: Document N..., Warrant Acco..., Duty-p..., Depot Abbr., Client Name, Crude, Last Deliver..., Last Delivery ..., Authorization Type, Available Qty., Qty. Submit... The table body is currently empty. At the bottom center of the form is a yellow 'OK' button.

(2)

Define the search criteria and inquire about the warrant for the return of authorization based on the information such as Client ID.

New Task ▶ Return of Authorization

Search Criteria

- Product: Medium Sour Crude Oil
- Authorization Type: Delivery Authorization EFP Delivery Authorization Authorization For Margin Collaterals
- Duty-paid Status: All Bonded Duty-paid
- Depot: All SHC BJ Oil Storage
- Crude: All Crude 2 CHINA Crude 1
- Client ID: 60010012

Q Search

Document N...	Warrant Acco...	Duty-p...	Depot Abbr.	Client Name	Crude	Last Deliver...	Last Delivery ...	Authorization Type	Available Qty.	Qty. Submit...
<input type="checkbox"/>	sc1900000003	scO000000008	Bonded	SHC	CHINA Cru...			Authorization For ...	1000	<input type="text" value="0"/>

OK

(3)

New Task ▶ Return of Authorization

Search Criteria

- Product: Medium Sour Crude Oil
- Authorization Type: Delivery Authorization EFP Delivery Authorization Authorization For Margin Collaterals
- Duty-paid Status: All Bonded Duty-paid
- Depot: All SHC BJ Oil Storage
- Crude: All Crude 2 CHINA Crude 1
- Client ID: 60010012

Q Search

Document N...	Warrant Acco...	Duty-p...	Depot Abbr.	Client Name	Crude	Last Deliver...	Last Delivery ...	Authorization Type	Available Qty.	Qty. Submit...
<input type="checkbox"/>	sc1900000003	scO000000008	Bonded	SHC	CHINA Cru...			Authorization For ...	1000	<input type="text" value="0"/>

Please select by product property - Storage Location : Qty. Submitted/Qty. Available

- SHC-portOfStorage1 -- : / 1000

Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available

- 20190704-20190731 : / 1000

OK

Fill in the "Quantity Submitted", i.e., the quantity of the warrant for the return of authorization. The System will allocate the warrant quantity by default as per the property, and you may re-allocate it manually.

Click the "OK" button to return the authorization.

Product: TSR 20, LSFO, Copper

The process and steps for return of authorization are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSBP at each process node for return of authorization. Please use the section below as a reference for the corresponding process and steps for LSFO and Copper, as those will not be covered separately.

Return of Authorization

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Return of Authorization" to enter the return of authorization page for TSR 20.

The screenshot shows the 'Return of Authorization' page with the following search criteria:

- Product: TSR 20
- Brand: [Dropdown]
- Grade: [Dropdown]
- Authorization Type: Authorization For Margin Collaterals
- Client ID: [Text]
- Duty-paid Status: [Dropdown]
- Manufacture: [Dropdown]
- Specification: [Dropdown]
- Depot: [Dropdown]
- Warrants of Automatic batch selection: [Text]

Buttons: Search, Automatic batch select

Available Warrants table (empty):

Warrant No.	Document N...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot
-------------	---------------	-----------------	---------------	-------	-------------	-------	----------------	-------

Selected Warrants table (empty):

Warrant No.	Duty-paid ...
-------------	---------------

Page 1 / Total 1 | Go to

Available: 0 warrants, 0.000 tonne, Total: 0 warrants

Selected: 0 warrants, 0.000 tonne

OK

(2)

Select warrants(Warrants of LFO may be selected through either the "Single Record Mode" or the "Union WarrantID Mode"). Please refer to the "Chapter2 General Functions -> Select Warrants" section for details.

The screenshot shows the 'Return of Authorization' page with the following search criteria:

- Product: TSR 20
- Brand: [Dropdown]
- Grade: [Dropdown]
- Authorization Type: Authorization For Margin Collaterals
- Client ID: 01654427
- Duty-paid Status: [Dropdown]
- Manufacture: [Dropdown]
- Specification: [Dropdown]
- Depot: [Dropdown]
- Warrants of Automatic batch selection: [Text]

Buttons: Search, Automatic batch select

Available Warrants table:

Warrant No.	Document N...	Load-in Appl...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...

Selected Warrants table:

Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nr0210001981	Bonded
<input checked="" type="checkbox"/>	nr0210001982	Bonded

Page 1 / Total 1 | Go to

Available: 2 warrants, 20.160 tonne, Total: 2 warrants

Selected: 2 warrants, 20.160 tonne

OK

(3)

New Task ▶ Return of Authorization

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Authorization Type: Authorization For Margin Collaterals
 Client ID: 01654427
 Warrant No.:

Duty-paid Status:
 Manufacture:
 Specification:
 Depot:
 Warrants of Automatic batch selection:

Available Warrants

Warrant No.	Document N...	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	
<input checked="" type="checkbox"/>	nr0210001981	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...

Page 1 / Total 1

Available: 2 warrants, 20.160 tonne, Total: 2 warrants

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nr0210001981 Bonded
<input checked="" type="checkbox"/>	nr0210001982 Bonded

Selected: 2 warrants, 20.160 tonne

Click the "OK" button to return the authorization.

Chapter 9 Warrant Transfer

This Chapter describes the operation of warrant transfer by OSBPs.

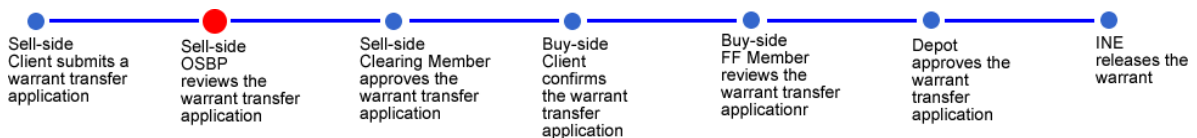
The buyer and seller of the warrant transfer may choose to settle via the Exchange. OSBPs are required to review the warrant transfer application when the settlement is via the Exchange.

Note: Settlement via the exchange refers to the fact that the buyer and the seller, in the process of warrant transfer, reach a transfer price through negotiations and then conduct the settlement via the Exchange.

Since OSBPs cannot directly conduct clearing, they are required to authorize a Clearing Member to review the warrant transfer application.

As for a sell-side OSBP, the warrant transfer process is as follows:

(The buyer is presumed to be a Client under the carrying-brokerage service provided by an FF Member.)



As for a buy-side OSBP, the warrant transfer process is as follows: (The Seller is presumed to be a Client under the carrying-brokerage service provided by an FF Member.)

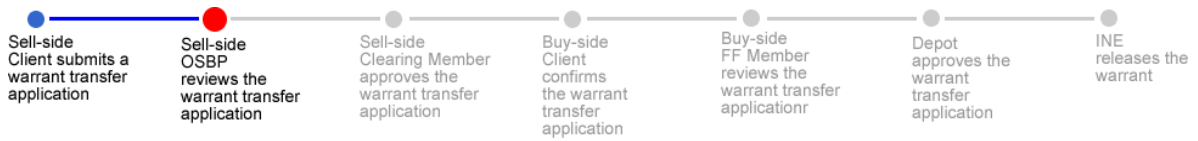


The Exchange will release the warrant to the buy-side Client upon the receipt of buy-side payment, or suspend the transfer if any problem occurs during the process.

Product: Medium Sour Crude Oil

(Sellers) Review the Warrant Transfer Application

OSBPs are required to review the warrant transfer application after the application is submitted by the Client.



(1)

When the Client submits the warrant transfer application, you may set the operation type as "Warrant Transfer" in the page of To-do Tasks to inquire about the warrant transfer application to be reviewed.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Warrant Tra...	scbjc1700021	Warrant Transfer(initiated by Client 83010001, Quantity...	Sell-Side Sub...	20170523	22:25:41	20170523	22:25:41

(2)

Click the "Application No." to enter the details page.

To do ▶ Sell-side Trading Member approve the warrant transfer
Client ID (Sell-side): 60010012

Client Name (Sell-side): 7003客户

Trading Member ID (Sell-side): 7003
Trading Member Abbr. (Sell-side): n7003

Clearing Member ID (Sell-side): 7003
Clearing Member Abbr. (Sell-side): n7003

Trading Member ID (Buy-side):
Trading Member Abbr. (Buy-side):

Clearing Member ID (Buy-side):
Clearing Member Abbr. (Buy-side):

Seller type: Overseas institution
Seller's qualification certificates:

Note:

Warrant Acc...	Duty-pai...	Depot	Premium/Dis...	Crude	Premium/Dis...	Premium/Dis...	Assign Mode	Last Delivery...	Last Delivery ...	Qty. Submitt...
scB00000010	Bonded	BJC	0.10	ZY1	0.01	0.00				5000

Note: This settlement price is the final execution price.

Note: The seller has represented that "We represent that this transaction complies with the rules and guidelines of INE and is truthful and legally compliant, and that our qualification certificates (if applicable) are authentic and valid. We are liable for any breach of this representation."

(3)

Perform the following steps at the lower part of the page:

- Pass: Click the "Approve" button to confirm the warrant transfer application and proceed to the next node of the process, i.e. the warrant transfer application will be reviewed by the Clearing Member.
- Reject: Click the "Reject" button to reject the warrant transfer application.

Task Tracking: you may inquire about and view the application and its status in the page of Task Tracking. Click the "Application No." to enter the details page.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
Medium Sou...	Warrant Tran...		scbjc1700023	Pendi...	Warrant Transfer(initiated by Client 83010002, Quantity 100...	Sell-Side Sub...	20170601	20170601

(Buyers) Review the Warrant Transfer Application

OSBPs are also required to confirm the warrant transfer application after the application is confirmed by the Client.



(1)

In To-do Task, the buy-side OSBP sets the operation type as "Warrant Transfer" to find the warrant transfer application to be confirmed.

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Warrant Tra...	scbjc1700031	Warrant Transfer(initiated by Client 88007001, Quantity...	Buy-Side con...	20170618	21:31:39	20170618	21:34:01

(2)

Click the field of "Application No." to enter the details page.

To do ▶ Buy-Side Trading Member approve the warrant transfer

Clearing Member ID (Sell-side): 7001 Trading Member ID (Buy-side): 7003 Clearing Member ID (Buy-side): 7003 Seller type: Others Notes of seller type: Buyer type: Overseas institution Note:	Clearing Member Abbr. n7001 (Sell-side): Trading Member Abbr. n7003 (Buy-side): Clearing Member Abbr. n7003 (Buy-side): Seller's qualification certificates: Buyer's qualification certificates:
--	--

Warrant Acc...	Duty-pai...	Depot	Premium/Dis...	Crude	Premium/Dis...	Premium/Dis...	Assign Mode	Last Delivery...	Last Delivery ...	Qty. Submitt...
scB000000011	Bonded	BJC	0.10	ZY1	0.01	0.00				1000

Note: This settlement price is the final execution price.
 Note: The seller and buyer have each represented that "We represent that this transaction complies with the rules and guidelines of INE and is truthful and legally compliant, and that our qualification certificates (if applicable) are authentic and valid. We are liable for any breach of this representation."

(3)

Perform the following steps at the lower part of the page:

- Pass: Click the "Approve" button to approve the warrant transfer application and have the application reviewed by the Clearing Member.
- Reject: Click the "Reject" button to reject the warrant transfer application.

Task Tracking

In Task Tracking, set the "Operation Type" as "Warrant Transfer" to find the task and view its status.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
Medium Sou...	Warrant Tran...	scbjc1700024	Pendi...	Warrant Transfer(initiated by Client 88007001, Quantity 100...	Buy-Side con...	20170618	20170618	

Print "Warrant Transfer Settlement Statement "

After INE releases the warrants , OSBPs can go to the details page of "Operation Query-->Warrant Transfer Query" to view and print the "Warrant Transfer Settlement Statement" which has been covered the electronic seal, OSBPs can export the settlement statement as an excel or PDF file, or print it online.

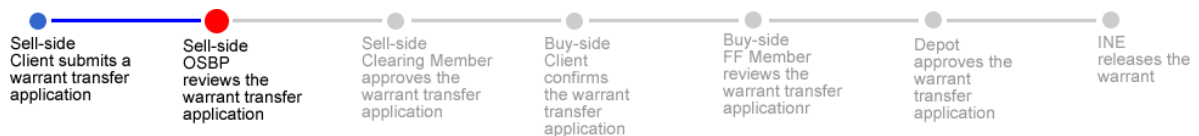
(Note)OSBPs can print "Warrant Transfer Settlement Statement " aiming at the tasks whose status are released warrant, then both buyers and sellers can only print the settlement statement of their own.

Product: TSR 20, LSFO, Copper

The process and steps for warrant transfer are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSBP at each process node for such a transfer. Please use the section below as a reference for the corresponding process and steps for LSFO and Copper, as those will not be covered separately.

(Sellers) Review the Warrant Transfer Application

OSBPs are required to review the warrant transfer application after the application is submitted by the Client.



(1)

When the Client submits the warrant transfer application, you may set the operation type as "Warrant Transfer" in the page of To-do Tasks to inquire about the warrant transfer application to be reviewed.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Warrant Tra...	nrjtc2000002	Warrant Transfer(initiated by Client 01654427, weight ...	Sell-Side Sub...	20200115	10:42:55	20200115	10:42:55

(2)

Click the "Application No." to enter the details page.

To do ▶ Sell-side Trading Member approve the warrant transfer

Client ID (Buy-side): 01654375	Client Name (Buy-side): *****
Client ID (Sell-side): 60010012	Client Name (Sell-side): 7003客户
Trading Member ID (Sell-side): 7003	Trading Member Abbr. (Sell-side): n7003
Clearing Member ID (Sell-side): 7003	Clearing Member Abbr. (Sell-side): n7003
Trading Member ID (Buy-side):	Trading Member Abbr. (Buy-side):
Clearing Member ID (Buy-side):	Clearing Member Abbr. (Buy-side):
Seller type: Overseas institution	Seller's qualification certificates:
Note:	

[Export](#)

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Depot	Premium/...	Premium/...	Place o
nrbjc0002101	nr2000000002	Bonded	brand1	0.22	SCS1	PJ1	0.11	specificati...	BJC	1.00	0.00	BJC

Available: 1 warrants, 10.080 tonne, Total: 1 warrants

Note: This settlement price is the final execution price.

Note: The seller has represented that "We represent that this transaction complies with the rules and guidelines of INE and is truthful and legally compliant, and that our qualification certificates (if applicable) are authentic and valid. We are liable for any breach of this representation."

[✓ Approve](#)
[✗ Reject](#)

(3)

Perform the following steps at the lower part of the page:

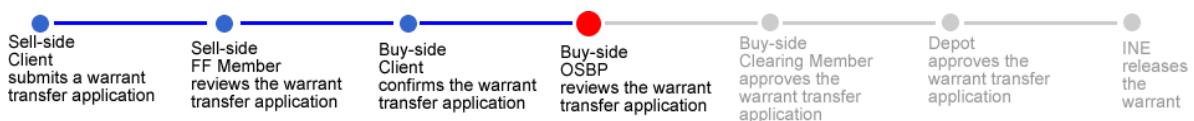
- Pass: Click the "Approve" button to approve the warrant transfer application and have the application reviewed by the Clearing Member.
- Reject: Click the "Reject" button to reject the warrant transfer application.

Task Tracking

In Task Tracking, set the "Operation Type" as "Warrant Transfer" to find the task and view its status.

(Buyers) Review the Warrant Transfer Application

OSBPs are also required to confirm the warrant transfer application after the application is confirmed by the Client.



(1)

In To-do Task, the buy-side OSBP sets the operation type as "Warrant Transfer" to find the warrant transfer application to be confirmed.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Warrant Tra...	nrbjc2000004	Warrant Transfer(initiated by Client 88007001, weight ...	Buy-Side confi...	20200115	12:10:37	20200115	12:11:21

(2)

Click the field of "Application No." to enter the details page.

To do ▶ Buy-Side Trading Member approve the warrant transfer

Clearing Member ID (Sell-side): 7003	(Sell-side):
Trading Member ID (Buy-side): 8008	Clearing Member Abbr. n7003 (Sell-side):
Clearing Member ID (Buy-side): 8008	Trading Member Abbr. 8008 (Buy-side):
Seller type: Overseas institution	Clearing Member Abbr. 8008 (Buy-side):
Buyer type: Others	Seller's qualification certificates:
Notes of buyer type : Note:	Buyer's qualification certificates:

[Export](#)

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Depot	Premium/...	Premium/...	Place o...
nrbjc0002101	nr2000000002	Bonded	brand1	0.22	SCS1	PJ1	0.11	specificati...	BJC	1.00	0.00	BJC

Available: 1 warrants, 10.080 tonne, Total: 1 warrants Page 1 / Total 1 [Go to](#)

Note: This settlement price is the final execution price.

Note: The seller and buyer have each represented that "We represent that this transaction complies with the rules and guidelines of INE and is truthful and legally compliant, and that our qualification certificates (if applicable) are authentic and valid. We are liable for any breach of this representation."

[✓ Approve](#)
[✗ Reject](#)

(3)

Perform the following steps at the lower part of the page:

- Pass: Click the "Approve" button to approve the warrant transfer application and have the application reviewed by the Clearing Member.
- Reject: Click the "Reject" button to reject the warrant transfer application.

Task Tracking

In Task Tracking, set the "Operation Type" as "Warrant Transfer" to find the task and view its status.

Print "Warrant Transfer Settlement Statement "

After INE releases the warrants , OSBPs can go to the details page of "Operation Query-->Warrant Transfer Query" to view and print the "Warrant Transfer Settlement Statement" which has been covered the electronic seal, OSBPs can export the settlement statement as an excel or PDF file, or print it online.

(Note)OSBPs can print "Warrant Transfer Settlement Statement " aiming at the tasks whose status are released warrant, then both buyers and sellers can only print the settlement statement of their own.

Chapter 10 Overseas Delivery-Taking by Agreement

This chapter describes the operations that can be performed by OSBPs during overseas delivery-taking by agreement (i.e., negotiated load-out).

Overseas delivery-taking by agreement is one of the factory warrant load-out modes. This mode consists of the following steps: (1) the delivery-taker transfers the warrants to the warrant load-in party (the factory as the counterparty); (2) the factory issues an overseas, paper warehouse receipt to the delivery-taker; (3) the delivery-taker, using the warehouse receipt, obtains the underlying commodities at the designated overseas take-delivery location.

In the System, the process node diagram for overseas take-delivery by OSBPs is as follows:

- If the OSBP is the delivery-taker, and assuming the trading factory is the client carried by the FF Member, then the process node diagram looks like the following:



- If the OSBP is the trading factory, and assuming a client carried by the FF Member is the delivery-taker, then the process node diagram looks like the following:



Note: The delivery-taker is the warrant load-out party; the trading factory is the counterparty, i.e., the warrant load-in party.

Product: Medium Sour Crude Oil, TSR20, Copper

Overseas delivery-taking by agreement is not yet available for Medium Sour Crude Oil, TSR 20, and Copper.

Product: LSFO

(Takers) Verify the Overseas Delivery-taking by Agreement Application

When a Client carried by an OSBP submits an overseas delivery-taking by agreement application as a delivery-taker, the OSBP needs to review the application.

(1)

After submitting the overseas delivery-taking by agreement application, the Client selects “To do” --> “LSFO” --> “Overseas delivery-taking by agreement” to search for the application awaiting review.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Overseas D...	lu0052000006	Overseas Delivery-Taking by Agreement(initiated by Cli...	Taker submitt...	20201105	09:09:14	20201105	09:09:14

(2)

Click on the “Application No.” to enter the details page:

To do ▶ Taker's member verify the overseas delivery-taking by agreement

Operation Document No.: lu0052000002 Application Date: 20201102

Product: LSFO Depot Abbr.: SHCK

Taker ID: 60010017 Taker Name: dgg

Factory ID: 60010012 Factory Name: *****

Taker's Member ID: 7005 Taker's Member Abbr.: 7005

Taker's Clearing Member ID: 7005 Taker's Clearing Member Abbr.: 7005

Status: Taker submitted application Weight: 100.000

Warrant transfer price: 1245.00 Total amount: 124,590.00

Method of taking delivery: Others Proposed take-delivery THD2 location:

Proposed take-delivery date: 20201102 Take-delivery person or company: 01201

Contact person: LILYW ID number: 0144511

Contact number: 13012544012

Notes:

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Appli...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...	Country	Effective D...	End Date o...	Expiry
lu0050006004	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006005	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006006	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006007	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006008	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006009	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006010	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...

Available: 10 warrants, 100.000 tonne, Total: 10 warrants

Page 1 / Total 1 1 Go to

Approve Reject

(3)

The following actions may be taken at the bottom of the page:

- Approve: Click the "Approve" button to approve the overseas delivery-taking by agreement application. With it, the process proceeds to the next node, review by the Clearing Member of the taker (i.e., OSBP);
- Reject: Click the "Reject" button to reject the overseas delivery-taking by agreement application.

Task Tracking On the "Task Tracking" page, search for the application and view its status. Click on the "Application No." to enter the details page.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
LSFO	Overseas Deli...	lu0052000006	Pending	Overseas Delivery-Taking by Agreement(initiated by Client ...	Application a...	20201105	20201105	

(Trading Factory Warehouse) Review an Overseas Delivery-taking by Agreement Application

After an overseas delivery-taking by agreement application is confirmed by the trading factory (as Client), the OSBP needs to review the application.

(1)

On the the "To-do" page, the OSBP, as the trading factory warehouse, may set the product as "LSFO" and the operation type as "Overseas Delivery-taking by Agreement" to search for the overseas delivery-taking by agreement application awaiting review.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Overseas D...	lu0052000006	Overseas Delivery-Taking by Agreement(initiated by Cli...	Factory confir...	20201105	09:09:14	20201105	09:17:55

(2)

Click on the "Application No." to enter the details page:

To do ▶ Taker's member verify the overseas delivery-taking by agreement

Operation Document No.: lu0052000003 Application Date: 20201102

Product: LSFO Depot Abbr.: SHCK

Taker ID: 60010017 Taker Name: dgg

Factory ID: 60010012 Factory Name: *****

Taker's Member ID: 7005 Taker's Member Abbr.: 7005

Taker's Clearing Member ID: 7005 Taker's Clearing Member Abbr.: 7005

Status: Taker submitted application Weight: 10.000

Warrant transfer price: 1245.00 Total amount: 12,459.00

Method of taking delivery: At-vessel delivery Proposed take-delivery location: THD2

Proposed take-delivery date: 20201102 Take-delivery person or company: 7005

Contact person: WEN ID number: 310197003244432

Contact number: 1243245354

Notes:

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Appli...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...	Country	Effective D...	End Date o...	Expiry...
lu0050006011	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...

Available: 1 warrants, 10.000 tonne, Total: 1 warrants

Page 1 / Total 1 1 Go to

Approve Reject

(3)

Perform the following actions at the lower part of the page:

- Approve: Click the "Approve" button to approve the application. Review by the Clearing Member of the OSBP is needed following this approval;
- Reject: Click the "Reject" button to reject the application.

Task Tracking On the "Task Tracking" page, the user may search for the application and view its status. Click on the "Application No." to enter the details page.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
LSFO	Overseas Deli...	lu0052000006	Pending	Overseas Delivery-Taking by Agreement(initiated by Client ...	Application a...	20201105	20201105	

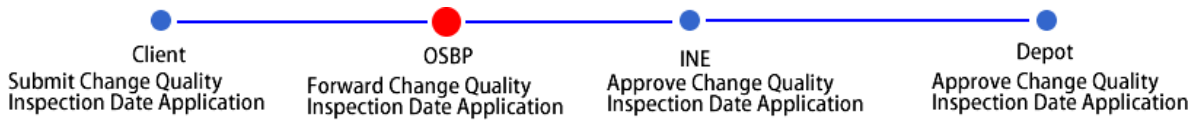
Chapter 11 Change Quality Inspection Date

You can change a quality inspection date within the System.

The process starts with the OSBP, in relation to a client's quality inspection report (certificate), submitting an application to the Exchange for changing the quality inspection date. This application is subject to the review and approval of the Exchange. Upon approval, the application is then reviewed by the relevant depot and, if approved, the quality inspection date will be updated. The process diagram for change of quality inspection date is shown below. An OSBP may submit an application for change of quality inspection date only for its direct Clients.



A Client carried by an OSBP may also submit an application for change of quality inspection date to initiate the process. The OSBP will forward the Client's application. If the application is approved by the Exchange and the relevant depot, the quality inspection date will be updated accordingly. The process diagram is shown below:



Product: Medium Sour Crude Oil, LSFO, Copper

Change of quality inspection date is not yet available for Medium Sour Crude Oil, LSFO, and Copper.

Product: TSR 20

Submit a Change Quality Inspection Date Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Change Quality Inspection Date" to enter the page for applying for change of quality inspection date for TSR 20.

The screenshot shows a web application interface for submitting a change of quality inspection date. The main section is titled "Search Criteria" and includes several input fields: Product (pre-filled with "TSR 20"), Client ID, Depot (dropdown), Brand (dropdown), Grade (dropdown), Client Name, Place of Storage (dropdown), Manufacture (dropdown), and Specification (dropdown). A note below these fields states: "Note: Changing query conditions will clear existing warrant selection".

Below the search criteria is a "Certification List" table with columns: Certificate No., Certificate W..., Issue Date, Issuer, Storage Location L..., and Note. To the right of this table is a "Certification Info." section with fields for Certificate No., Certificate Weight, Issue Date, Issuer, Storage Location ID (separated by .), and Note. There are "Save", "Add", and "Clear" buttons at the bottom of this section.

At the bottom of the form, there are two query buttons: "Query Warrants (By All Certification)" and "Query Warrants (By Selected Certification)", along with an "Automatically Select" checkbox and a "Delete Certificate" button. Below these are two tables: "Available Warrants" and "Selected Warrants", both with columns for Warrant No., Old Inspec..., Certificate ..., Locator Co..., Weight, and Validi...

(2)

In "Search Criteria", enter the following information to search for warrants whose quality inspection date needs to be changed: depot, place of storage, brand, manufacturer, grade, and specification.

Note: Each application can only cover warrants of the same basic information (depot, place of storage, brand, manufacturer, grade, and specification).

Search Criteria

Product: TSR 20

Brand:

Grade:

Authorization Type: Authorization For Margin Collaterals

Client ID: 60010012

Warrants of Automatic batch selection:

Duty-paid Status:

Manufacture:

Specification:

Depot:

Warrant No.: -

(3)

In "Certification Info.," enter the certificate No., weight on the certificate, issue date, issuer, and inventory locator code.

- After entering an existing certificate No., you can click "Search" to automatically obtain the corresponding certificate weight, issue date, and issuer. If the certificate No. is new, you need to manually enter the corresponding certificate weight, issue date, and issuer.
- The inventory locator code can be automatically filled in by clicking on "Automatically Retrieve", or selected manually by clicking on "Manually Select".
- Click "Clear" to clear the certificate information.

Certification Info.

• Certificate No.: Search

• Certificate Weight:

• Issue Date:

• Issuer:

• Locator Code (separated by .):

Automatically Retrieve / Manually Select

Note:

Save Add Clear

Available Storage Location

Filter:

TSR1-1-1

Close

(4)

After the certification information is entered, click the "Add" button to add the certificate to the "Certification List".

By selecting a certificate from "Certification List", you can modify its information in the "Certification Info." section. Click the "Save" button after you are done to save the update.

Certification List

✓	Certificate No.	Certificate W...	Issue Date	Issuer	Locator Code (sep...	Note
<input type="checkbox"/>	2222	10080.000	20190703	TSR_CERT	TSR1-1-1	

Certification Info.

• Certificate No.: 2222 Search

• Certificate Weight: 10080.000

• Issue Date: 20190703

• Issuer: TSR_CERT

• Locator Code (separated by .): TSR1-1-1

Automatically Retrieve / Manually Select

Note:

Save Add Clear

Query Warrants (By All Certification) Query Warrants (By Selected Certification) Automatically Select Delete Certificate

(5)

Click "Query Warrants (by All Certification)" to show in "Available Warrants" all warrants that meet the search criteria and have locator codes corresponding to those on the certificates. If the user checks "Automatically Select" and then clicks "Query Warrants (by All Certification)", the System will automatically select all available warrants and display them in "Selected Warrants".


Select one or more certificates from the “Certification List” and click “Query Warrants (by Selected Warrants)” to show in “Available Warrants” all selected warrants that meet the search criteria and have locator codes corresponding to those on the certificates. If the user checks “Automatically Select” and then clicks “Query Warrants (by Selected Warrants)”, the System will automatically select all available warrants and display them in “Selected Warrants”.

The screenshot shows a web interface for querying warrants. At the top, there are two search buttons: "Query Warrants (By All Certification)" and "Query Warrants (By Selected Certification)", along with an "Automatically Select" checkbox and a "Delete Certificate" button. Below these are two tables:

Available Warrants							
Warrant No.	Old Inspec...	Old Inspec...	Certificate...	Locator C...	Weight		
<input checked="" type="checkbox"/>	nr0210002767	201912	20191220	20200616	bb6	c90	10.080
<input checked="" type="checkbox"/>	nr0210002768	201912	20191220	20200616	bb6	c90	10.080
<input type="checkbox"/>	nr0210002769	201912	20191220	20200616	bb6	c90	10.080
<input type="checkbox"/>	nr0210002770	201912	20191220	20200616	bb6	c90	10.080
<input type="checkbox"/>	nr0210002771	201912	20191220	20200616	bb6	c90	10.080
<input type="checkbox"/>	nr0210002772	201912	20191220	20200616	bb6	c90	10.080
<input type="checkbox"/>	nr0210002773	201912	20191220	20200616	bb6	c90	10.080

Selected Warrants					
Warrant No.	Locator C...	Old Inspec...	Old Inspec...	New Inspe...	
<input checked="" type="checkbox"/>	nr0210002767	c90	20191220	20200616	2020111
<input checked="" type="checkbox"/>	nr0210002768	c90	20191220	20200616	2020111

At the bottom of the interface, there is a pagination control showing "Page 1 / Total 1" and a "Go to" button. A status bar at the bottom indicates "Available: 9 warrants, 90.720 tonne, Total: 9 warrants" and "Selected: 2 warrants, 20.160 tonne".

- Select warrants: Select the warrants as needed in the “Available Warrants” section and they will automatically show up in “Selected Warrants”. Deselect the unwanted warrants in “Selected Warrants” to remove them from “Selected Warrants” and uncheck them in “Available Warrants”. The select-all button “” allows you to select or deselect all available warrants.

(6)

Fill in the information for submission: upload the certificates as attachments and fill out the “Note” section.

The screenshot shows a form titled "Submission Info." with two main sections: "Attachment:" with an "Upload" button, and "Note:" with a large text area and a scroll bar. Below the form is a yellow "OK" button with a hand icon.



(7)

Click the “OK” button to submit this change quality inspection date application.

(8)

After the application is submitted, you can view its details in “Task Tracking”.

Click the “Application No.” to view the details of the application. You may click the appropriate icons in the “Operation” column to modify or cancel it at any time before it is approved by the INE.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Change Quali...	nr1900000005	Pending	Change Quality Inspection Date(initiated by Member 7003, ...	Applied by ...	20190806	20190806

(9)

If an application is rejected, you may modify the quality inspection date in “To-do”.

Click the “Application No.” to modify the quality inspection date and resubmit the application.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Change Qua...	nr1900000005	Change Quality Inspection Date(initiated by Member 7...	Rejected by Ex...	20190806	10:20:40	20190806	10:26:29

Forward the Change Quality Inspection Date Application

After a Client carried by an OSBP submits an application for change of quality inspection date , the OSBP will forward the application. The Exchange will only review and approve any application that has been forwarded by an OSBP.

(1)

Select "To do" --> "TSR 20" --> "Change Quality Inspection Date" and click the "Search" button to search for and view the application to be forwarded.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Change Qua...	nr1900000006	Change Quality Inspection Date(initiated by Client 600...	Applied by Cli...	20190806	10:30:12	20190806	10:30:12

(2)

Select the application to be forwarded and click on the "Application No." to enter the page for forwarding the application for change of quality inspection date.

[To do](#) > Forward Change Quality Inspection Date

Application Info.

Document No. of nr1900000006 changing inspection date:	Application Date: 20190806
Product: TSR 20	Status: Applied by Client
Depot: SHC	Place of Storage: SHC-portOfStorage1
Brand: nrBrand01	Manufacture: Manufacture1
Grade: nrGRADE01	Specification: nr-Specifacation01
Member: 7003	Member Abbr.: n7003
Client ID: 60010012	Client Name:
Note:	

Inspection Certification

Certificate No.	Certificate Weight	Issue Date	Issuer	Locator Code (separated ...	Note
2222	10080.000	20190703	TSR_CERT	TSR1-1-1	

Warrant Info.

Original Q...	Current Qu...	Correspon...	Locator Co...	Warrant No.	Weight	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place c...
20190701	20190703	2222	TSR1-1-1	nr0010002239	10.080	Bonded	nrBrand01	Manufac...	nrGRADE01	nr-Specifa...	SHC	SHC-p
20190701	20190703	2222	TSR1-1-1	nr0010002240	10.080	Bonded	nrBrand01	Manufac...	nrGRADE01	nr-Specifa...	SHC	SHC-p

Total: 2 warrants, 20.160 tonne, current: 2 warrants, 20.160 tonne

OK

(3)

Click the "OK" button to forward the application to the Exchange for review and approval.

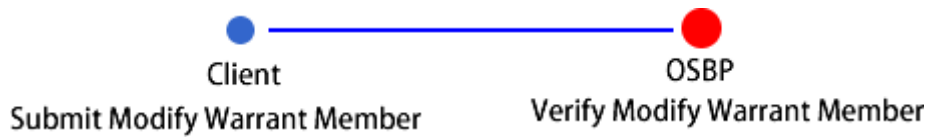
Task Tracking: On the "Task Tracking" page, search for the application and view its status. Click the "Application No." to enter the details page.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
TSR 20	Change Quali...	nr1900000006	Pending	Change Quality Inspection Date(initiated by Client 6001001...	Forwarded b...	20190806	20190806	

Chapter 12 Modify Warrant Member

You can modify a warrant member within the System. Clients are allowed to change the information of warrant members.

After a Client carried by an OSBP submits a warrant member modification application, the OSBP will review the application. The warrant member will be changed once the application is approved. The process node diagram is shown below:



Product: Medium Sour Crude Oil, LSFO

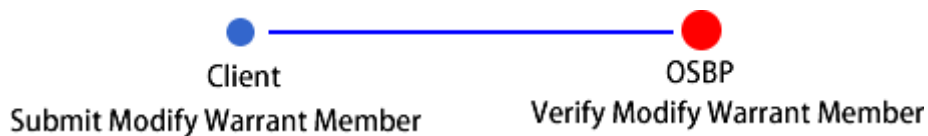
Modify Warrant Member is not yet available to Medium Sour Crude Oil and LSFO.

Product: TSR 20, Copper

The process and steps for warrant member modification are essentially identical for TSR 20 and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSBP at each process node for warrant member modification. Please use the section below as a reference for the corresponding process and steps for Copper, as it will not be covered separately.

Verify a Modify Warrant Member Application

After a Client carried by an OSBP submits a warrant modification application, the OSBP needs to review the application.



(1)

On the "To do" page, the OSBP selects "TSR 20" --> "Modify Warrant Member" to search for the warrant member modification application to be reviewed by the OSBP.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Modify War...	nr1900000004	Modify Warrant Member(initiated by Client 60010012, ...	Applied by Cli...	20190802	14:15:56	20190802	14:15:56

(2)

Click on the "Application No." to enter the details page:

To do ▶ Approve Modify Warrant Member application

Application Information

Document No.: nr190000004
 Product: TSR 20
 Depot ID: 001
 Client ID: 60010012
 Member ID: 7005
 Overseas Intermediary ID:
 Application Date: 20190802
 Warrant Quantity: 1
 Note:
 Verification Comment:

Brand: nrBrand01
 Depot Abbr.: SHC
 Client Name: 70010012
 Member Abbr.: 7005
 Overseas Intermediary Abbr.:
 Status: Application Submitted
 Weight: 10.080

Export

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet	Bi...
nr0010002217	nr1900000004	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20190701		

Page 1 / Total 1 1 Go to

Approve Reject

(3)

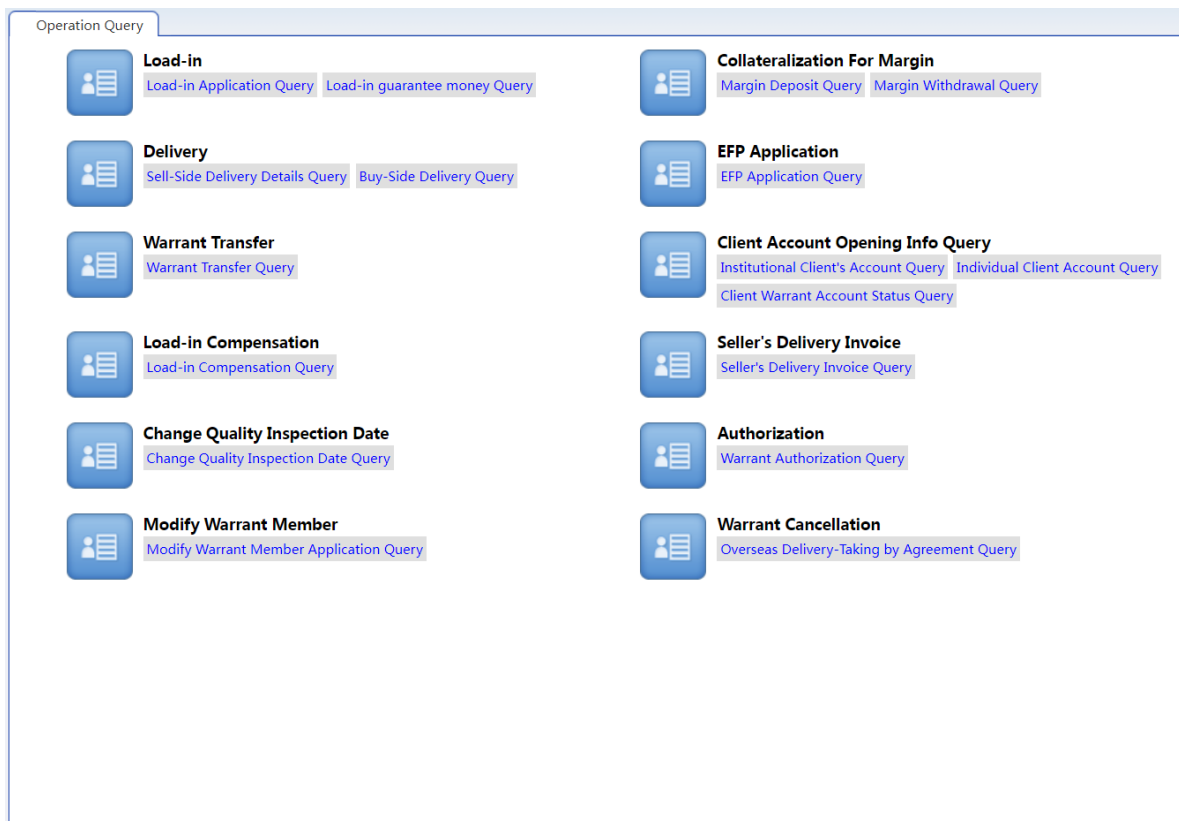
Perform the following actions at the lower part of the page:

- Approve: Click the "Approve" button to approve the application and complete the modification of warrant member;
- Reject: Click the "Reject" button to reject the application.

Chapter 13 Query

Operation Query

OSBPs may query all kinds of business information in the Operation Query, including the historical data of Load-in, Collateralization For Margin, Delivery, EFP Application, Warrant Transfer, and Client Account Opening Info Query, Load-in Default, Seller's Delivery Invoice.



In the navigation menu, select "Operation Query" to find the detailed information on operation.

In the page of Operation query, select the specific operation to enter its query page. For instance, select "Load-in Application Query" to enter the corresponding query page.

The screenshot shows the "Load-in Application Query" page. It features a search criteria section at the top with various filters and input fields. Below this is a table with columns for various data points, including application numbers, products, statuses, and dates. The table contains 10 rows of data.

Search Criteria:

- Product: Medium Sour Crude Oil, TSR 20, LSFO
- Duty-paid Status: All, Bonded, Duty-paid
- Depot: All, SH warehouse, RZ warehouse, QD warehouse, Non-standard warehouse, BJ warehouse
- Load-in Application Date: [] - []
- Application Date of Warrant Generation: [] - []
- Load-in Application Form No.: []

Table:

Load-in Applic...	Product	Duty-paid Stat...	Declaring Me...	Depot	Load-in Applic...	Application Da...	Futures Declar...	Qty. of Genera...	Load-in Applic...
sc1900000002	Medium Sour ...	Bonded	[]	SH warehouse	20191210			300000	Load-in Applic...
sc1900000003	Medium Sour ...	Bonded	[]	SH warehouse	20191210	20191210		300000	300000 Warrant Gene...
sc1900000010	Medium Sour ...	Bonded	[]	SH warehouse	20191210			300000	Load-in Applic...
sc1900000011	Medium Sour ...	Bonded	[]	SH warehouse	20191210			300000	Load-in Applic...
sc1900000012	Medium Sour ...	Bonded	[]	SH warehouse	20191210	20191210		300000	Load-in Abnor...
sc1900000014	Medium Sour ...	Bonded	[]	SH warehouse	20191210	20191211		300000	300000 Warrant Gene...
sc1900000019	Medium Sour ...	Bonded	[]	SH warehouse	20191218	20191218		500000	500000 Warrant Gene...
sc1900000020	Medium Sour ...	Bonded	[]	SH warehouse	20191218	20191218		600000	600000 Warrant Gene...
sc1900000023	Medium Sour ...	Bonded	[]	QD warehouse	20191218	20191218		250000	250000 Warrant Gene...

Page 1 / Total 2

The query operation is similar in the System. See "Query" of Chapter 2 General Functions for details.

Note: In the page of detailed information, a specific process node diagram will be displayed as follows: Orange node indicates the operation is in the middle of that node; blue node indicates the operation on that node has finished; and white note indicates the operation hasn't reached that node yet:

Operation Query > Load-in Application Query > View Load-in Application Info.

20191210 13:32

Application Info.

Load-in Application Form No.: sc1900000002

Product: [Medium Sour Crude Oil](#) Duty-paid Status: [Bonded](#)

Source of Cargo: [Imported](#) Client ID: [60010065](#)

Client Name: [*****](#) Member: [*****](#)(7007)

Crude: [CHINA Crude 1](#) Origin: [---](#) Country: [Domestic](#)

Futures Declaration Qty. (barrel): [300000](#) Proposed Load-in Date: [20191210](#)

the Proposed Inspection Agency: [Certificate Issue](#)

Depot: [SH warehouse](#) Place of Storage: [Shanghai Stock 1](#)

Port of Departure (Country Name): [Singapore](#) Port of Departure (Port Name): [gfdh](#)

Transportation: [Waterway](#) Vehicle and Vessel No. of Declaration: [etrey](#)

Name: [*****](#) Telephone: [*****](#)

Mobile: [*****](#) Fax: [*****](#)

Note for Load-in

- : the task at the node has been finished;
- : the process is at the node;
- : the process has not reached that node yet;
- : the process has ended after being rejected.

Summary Query

As for the users, summary query offers all kinds of operation summaries in different dimensions and exhibits summarized data from different perspectives. OSBPs may use this function to obtain the operation summary of Load-in, Collateral For Margin, Delivery and Warrant Transfer.

Summary Query

Load-in
[Load-in Application Summary Query](#)

Collateralization For Margin
[Margin Summary Query](#)

Delivery
[Delivery Summary Query](#)

Warrant Transfer
[Warrant Transfer Summary Query](#)

Change Quality Inspection Date
[Change Quality Inspection Date Summary Query](#)

Warrant Cancellation
[Overseas Delivery-Taking by Agreement Summary Query](#)

Load-in Application Summary Query

Summarize the commodities information for the load-in application as per the rollup fields.

(1)

In the navigation menu, select the "Summary Query" -->"Load-in Application Summary Query" to enter the following page.

(2)

Summary Query ▶ Load-in Application Summary Query

Search Criteria

- Product: **Medium Sour Crude Oil** | TSR 20 | LSFO | Copper
- Depot: **All** | SHRZ | ZHCZD | SYDX | ZYZJ | BJC
- Crude: **All** | ZY1
- Source of Cargo: **All** | Imported | Exported | Warehouse transfer (import goods) | Warehouse transfer (export goods) | Allocation transfer (import goods) | Allocation transfer (export goods) | Bonded physicals (import goods) | Bonded physicals (export goods)
- Load-in Application Status: **All** | Load-in Application Submitted | Load-in Application Approved | Application Submission of Warrant Generation | Warrant generation verified by Overseas Intermediary | Warrant Generation Application Confirmed | Warrant Generation Application Approved | Warrant Generation Application Submitted | Warrant Generation Application Reviewed | Warrant Generation Application Inspected and Confirmed | Load-in Application Submitted by Overseas Intermediary | Load-in Application Forwarded by Member | Load-in Application Cancelled | Load-in Application Rejected | Load-in Application Returned | Warrant Generation Application Cancelled | Warrant generation rejected by Overseas Intermediary | Warrant Generation Application Rejected | Warrant Generation Application Rejected | Warrant Generation Cancelled | Warrant Generation Rejected | Warrant Generation Inspection Rejected | Double Confirm the Approval | Double Confirm the Rejection | Double Confirm the Approval | Double Confirm the Rejection | Applied Load-in Application | Load-in Abnormality | Abnormal suspension | Expired

More ▾

Summary Method: Depot, Crude
 Client, Member, Depot
 Source of Cargo, Depot, Client

Search

In the page of the load-in application summary query, perform the following steps:

Step 1: set the search criteria;

Step 2: select the rollup fields, such as "Depot" and " Crude";

Step 3: click the "Search" button to start the query.

(3)

Summary Query ▶ Load-in Application Summary Query

Summary of Load-in Application with INE Warrant

Product : Medium Sour Crude Oil

Depot	Crude	Futures Declaration Qty.	Qty. of Generated Warrant
sahgnhai warehouse	CHINA Crude 1	6610000	2200000
	Daqing crude oil	1000000	1000000
	Sub-total	7610000	3200000
qingdao warehouse	Abu Dhabi crude	250000	250000
	Sub-total	250000	250000
Beijing warehouse	CHINA Crude 1	1600000	1200000
	Daqing crude oil	750000	750000
	Sub-total	2350000	1950000
Total		10210000	5400000

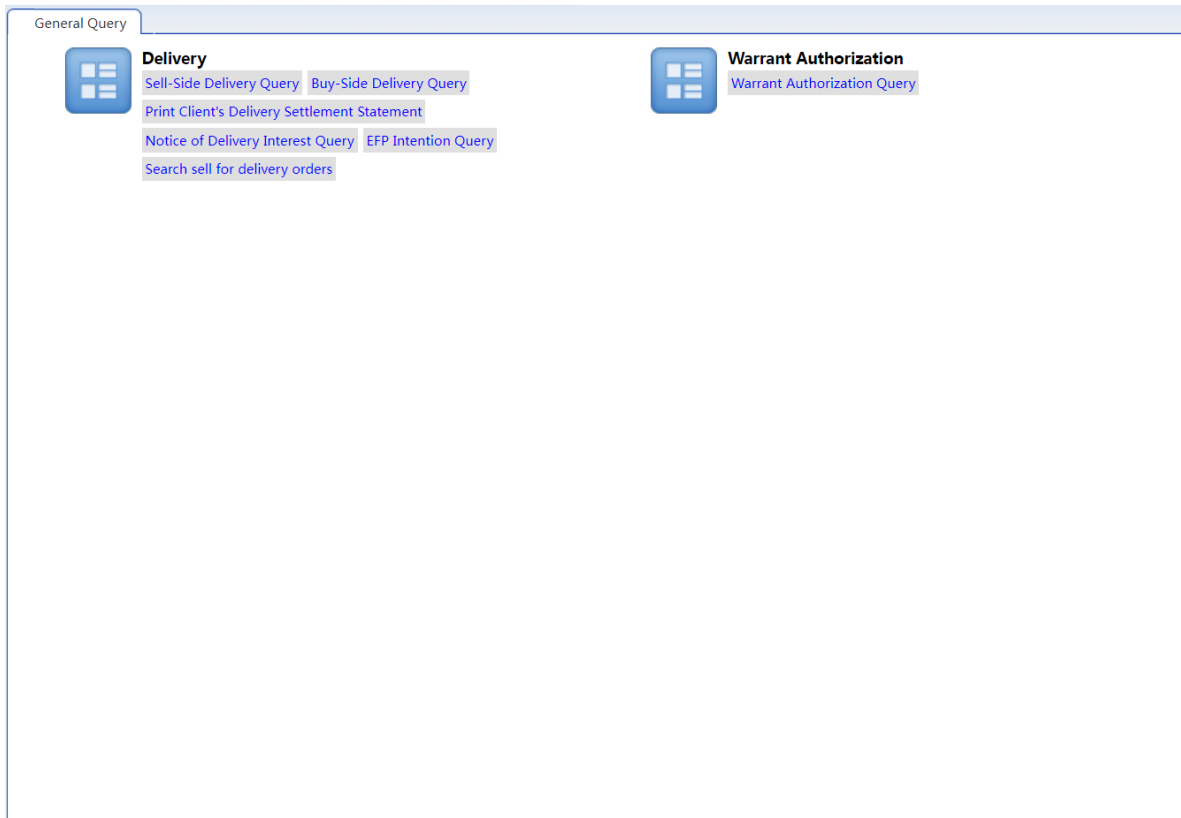
Back | Print | Export

Click the "Print" button under the summary table to print the summary result.

Note: Other operation summaries are similar in the system, and no more details will be repeated here.

General Query

OSBPs may obtain the details, comparison and comprehensive view of certain data through the general query, currently including the Sell-side Delivery General Query, Buy-side Delivery General Query, Print Client's Delivery Settlement Statement, Notice of Delivery Interest Query and EFP Intention.



Note: See "Chapter2 General Functions ->Query" for more query details.

Chapter 14 System Management

In the System Management, OSBPs may conduct the management of the user's role and Client warrant account, and search circulars.

User Role

User role management includes Member users, Client users, Role management and Account/User Change.

Member Users

In the navigation menu, select "System Management" --> "(Role) Member Users" to enter the page of Member users. For maintenance, you may add, modify or delete a Member user here.

System Manage ▶ Member

Search Criteria

Status: All Initial **Activate** Forbidden Cancel

Account:

Opening Date:

User ID/Name:

User ID	User Name	Level	Status	Account Openi...	Expiry Date of Certificate
S8006	s8006	Operator	Activate	20140429	

Total Records:1 Page 1 / Total 1 | Go to

Add a Member User

(1)

System Manage ▶ Member

Search Criteria

Status: All Initial **Activate** Forbidden Cancel

Account:

Opening Date:

User ID/Name:

User ID	User Name	Level	Status	Account Openi...	Expiry Date of Certificate
S8006	s8006	Operator	Activate	20140429	

Total Records:1 Page 1 / Total 1 | Go to

Click the "Add" button to open a popup window for adding a Member User.

(2)

The popup windows provides two tabs, including "User Information" and "User's Permission".

Add a User

User Info. User's Permission

* User ID

* User Name

* Contact Person

* Tel.

* Address

* Postal Code

* Status

Email

Note

OK Cancel

Edit user information in the tab of User Information.

Add a User

User Info. User's Permission

	Role Name	Role Description
<input type="checkbox"/>	<u>FF Member</u>	FF Member

OK Cancel

Select the role to be assigned to the newly added user in the tab of "User's Permission", which represents a permission set.

Click the "OK" button to add the Member user. After adding the new user, INE should approve the permission, the new user will take effect after INE passes the permission.

Note: After adding the new user, INE should approve the operation, in this step, the OSBP needs to submit the certificate materials which are required by INE, INE will not complete the approval until OSBP has submitted all the required materials. It is recommended that you add new users through the page of "Account/User Change". On the page of "Account/User Change", you can submit the scanning copy of the materials by uploading the attachment, and INE can add the new user for OSBP and make the user take effect after passing the approval.

Modify a Member User

(1)

In the navigation menu, select "System Management" --> "(Role)Member Users" to enter the page of Member Users.

(2)

Set the search criteria to find the user to be modified.

The screenshot shows a web application interface for managing members. At the top, there's a breadcrumb "system Manage" and a tab "Member". Below that is a "Search Criteria" section with a "Status" dropdown menu currently set to "Activate". There are input fields for "Account", "Opening Date", and "User ID/Name". A "Search" button is located below the search criteria. The main area contains a table with the following data:

User ID	User Name	Level	Status	Account Openi...	Expiry Date of Certificate
s8006	s8006	Operator	Activate	20140429	

At the bottom of the table, there are three buttons: "+ Add", "Modify" (highlighted with a red box), and "Delete". The "Total Records:1" is displayed at the bottom left, and "Page 1 / Total 1" is shown at the bottom right.

(3) Select the to-be-modified user and click the "Update" button to open a popup window for the user modification. In the popup window of "Update a User", modify the user information or permission.

Upon completion, click the "OK" button to submit the modification.

Note: You may modify either the user information or the user's permission for a user in the "Initial" status. In other status, only the user's permission can be modified, while the user information cannot be modified.

Delete a Member User

(1)

In the navigation menu, select "System Management" --> "(Role) Member Users" to enter the page of Member Users.

(2)

Set the search criteria to find the user to be deleted.

The screenshot shows a web application interface for managing member users. At the top, there is a breadcrumb trail: "System Manage" > "Member". Below this is a "Search Criteria" section with the following fields:

- Status: All Initial **Activate** Forbidden Cancel
- Account: [text input] [calendar icon]
- Opening Date: [text input] [calendar icon]
- User ID/Name: [text input]

A "Search" button is located below the search criteria. The main area contains a table with the following columns: User ID, User Name, Level, Status, Account Openi..., and Expiry Date of Certificate. The table has one row with the following data:

User ID	User Name	Level	Status	Account Openi...	Expiry Date of Certificate
S8006	s8006	Operator	Activate	20140429	

Below the table, there is a "Total Records:1" label and a pagination control showing "Page 1 / Total 1" and a "Go to" button. At the bottom of the interface, there are three buttons: "+ Add", "Modify", and "Delete". The "Delete" button is highlighted with a red rectangular box.

(3)

Select the to-be-deleted user, click the "Delete" button to open a popup confirmation window. Click "OK" to delete the user.

Client Users

In the navigation menu, select "System Management" --> "(Role) Client Users" to enter the page of Client Users.

For maintenance, you may add, modify or delete a Client User here.

System Manage ▶ Client User

Search Criteria

Status: All Initial **Activate** Forbidden Cancel

Account:

Opening Date:

Client ID:

User ID/Name:

User ID	User Name	Client ID	Client Name	Level	Status	Account Openi...	Expiry Date of Certi...
---------	-----------	-----------	-------------	-------	--------	------------------	-------------------------

Total Records:0 Page 1 / Total 0 1

Add a Client User

(1)

In the navigation menu, select "System Management" --> "(Role) Client Users " to enter the page of Client user.

System Manage ▶ Client User

Search Criteria

Status: All Initial **Activate** Forbidden Cancel

Account:

Opening Date:

Client ID:

User ID/Name:

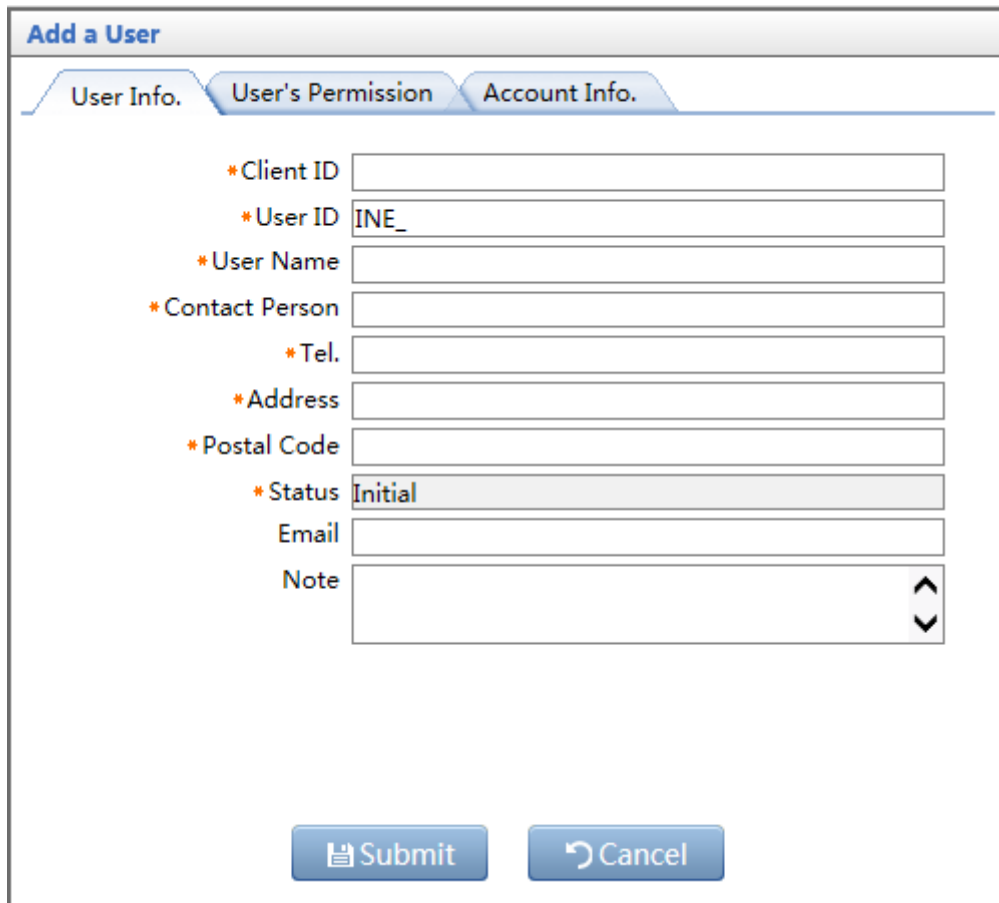
User ID	User Name	Client ID	Client Name	Level	Status	Account Openi...	Expiry Date of Certi...
---------	-----------	-----------	-------------	-------	--------	------------------	-------------------------

Total Records:0 Page 1 / Total 0 1

Click the "Add "button to open a popup window for adding a Client User.

(2)

The popup windows provides three (3) tabs, including "User Information", "User's Permission" and "Account Information".



The image shows a software window titled "Add a User". It has three tabs: "User Info.", "User's Permission", and "Account Info.". The "User Info." tab is selected. The form contains the following fields:


- * Client ID:
- * User ID:
- * User Name:
- * Contact Person:
- * Tel.:
- * Address:
- * Postal Code:
- * Status:
- Email:
- Note:

At the bottom of the window are two buttons: "Submit" and "Cancel".

Edit user information in the page of User Information.

Add a User

User Info. User's Permission Account Info.

	Role Name	Role Description
<input type="checkbox"/>	<u>Client</u>	Client

Submit Cancel

Select the role to the newly added user in the page of User's Permission.

Add a User

User Info. User's Permission Account Info.

Client ID
 Client Name
 Account Type
 Client Origin
 Country
 ID Type
 ID No.
 Extracode
 Account Opening
 Department

Submit Cancel

In the page of account information, such user's account information will be automatically displayed as per the Client ID filled by the user.

Click "Submit" button to add the Client User.

Modify a Client User

Modify a client's role information or user permission.

(1)

In the navigation menu, select "System Management" --> " (Role) Client Users" to enter the page of Client Users.

The screenshot displays the 'Client User' management interface. At the top, there is a breadcrumb trail: 'system manage > Client User'. Below this is a 'Search Criteria' section with the following fields:

- Status: **All** (selected), Initial, Activate, Forbidden, Cancel
- Account:
- Opening Date:
- Client ID:
- User ID/Name:

A 'Search' button is located below the search criteria. The main content area is a table with the following columns: User ID, User Name, Client ID, Client Name, Level, Status, Account Openi..., and Expiry Date of Certi... The table contains three rows of data:

User ID	User Name	Client ID	Client Name	Level	Status	Account Openi...	Expiry Date of Certi...
INE_1234	12341234	60010012	3997	Operator	Initial	20210204	
INE_2134	n7003	81000059	h3997	Operator	Initial	20220823	
S60010053	60010053	60010053	600100536	Operator	Initial	20150127	

Below the table, there is a 'Total Records:3' label and a pagination control showing 'Page 1 / Total 1 1' and a 'Go to' button. At the bottom of the interface, there are three action buttons: '+ Add', 'Modify', and 'Delete'.

Set the search criteria to find the user to be modified. Select the to-be-modified client user and click the "Update" button to open a popup window for the user modification.

(2)

Modify User

User Info. User's Permission Account Info.

* User ID INE_83010001

* User Name 83010001

* Contact Person 83010001

* Tel. 83010001

* Address 83010001

* Postal Code 83010001

* Status Initial

Email

Note

OK Cancel

In the window of "Update a User", click the "User Information" and "User's Permission" to modify corresponding information.

(3)

Click the "OK" button to submit the modification.

Note: The OSBP may freely modify the role's permission of a Client user whose account is opened by the OSBP and in an Initial status. If the Client user is not in an Initial status, the account opening OSBP may assign permissions to such a Client user only when it has not been assigned with any role permission yet. If not, the account opening OSBP is not allowed to modify the role permission of such a Client user, and only the Exchange may make the modification.

Delete a Client User

(1)

In the navigation menu, select "System Management" --> "(User Role)Client Users" to enter the page of Client Users.

system manage ▶ Client User

Search Criteria

Status: All Initial Activate Forbidden Cancel

Account:

Opening Date:

Client ID:

User ID/Name:

User ID	User Name	Client ID	Client Name	Level	Status	Account Openi...	Expiry Date of Certi...
INE_1234	12341234	60010012	3997	Operator	Initial	20210204	
INE_2134	n7003	81000059	h3997	Operator	Initial	20220823	
S60010053	60010053	60010053	600100536	Operator	Initial	20150127	

Total Records:3 Page 1 / Total 1 Go to

(2)

Set the search criteria to find the user to be deleted. Select the to-be-deleted user, click the "Delete" button to open a popup confirmation window. Click "OK" to delete the user.

Role Management

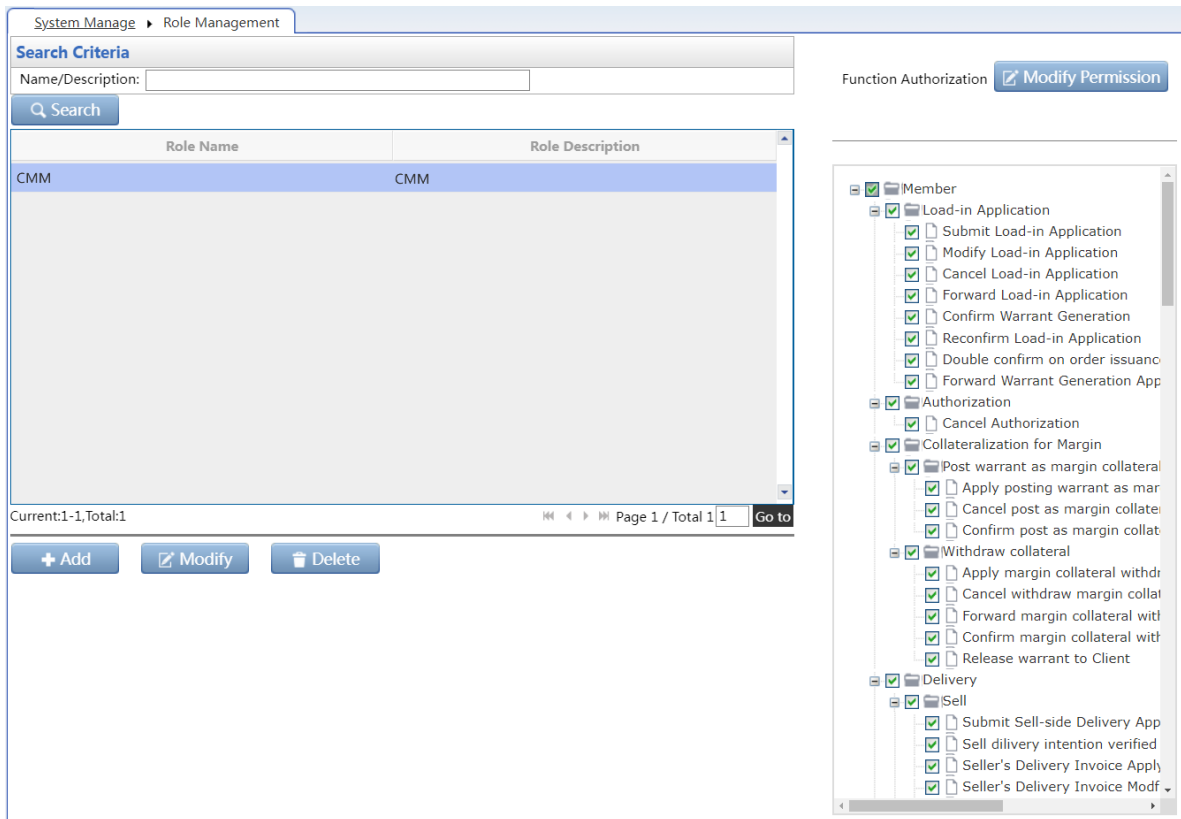
This System adopts a User-Role-Permission Group-Function Model for the management of user's permission system. The permission group defines the universal set of functions available for a role, while the role defines the business functions under a certain permission group. An OSBP may add, modify or delete a role.

Each role has a Creator. Only the Creator of a role can modify or delete the role.

Add a Role

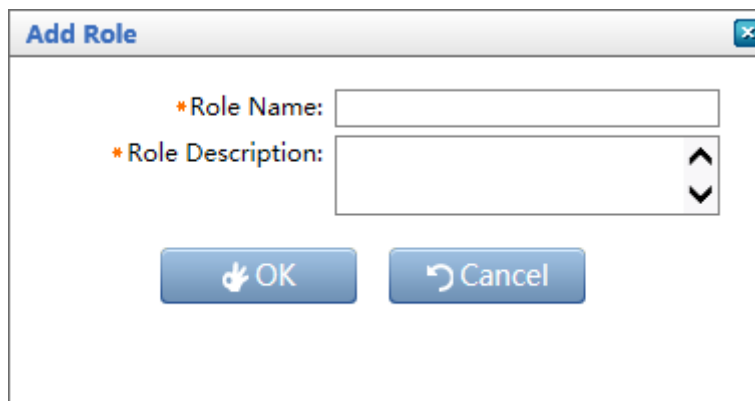
(1)

In the system navigation menu, select "System Management" -->"Role Management" to enter the page of role management.



(2)

Click the "Add" button to open a popup window for role adding.



(3)

Input the "Role Name" and "Role Description", and click the "Submit" button to add a new role.

(4)

Assign the permissions to a newly added role.

When a role is added successfully, you may search and display the universal set of functions at the right side of the page of role management, which is corresponding to the permission group of the role.

The screenshot displays the 'Role Management' interface. At the top, there is a 'Search Criteria' section with a 'Name/Description:' input field and a 'Search' button. Below this is a table with two columns: 'Role Name' and 'Role Description'. The table contains one entry: 'CMM' in both columns. Below the table, there are navigation controls including 'Current:1-1, Total:1', 'Page 1 / Total 1', and a 'Go to' button. At the bottom of the table area are three buttons: '+ Add', 'Modify', and 'Delete'.

To the right of the table is the 'Function Authorization' section, which includes a 'Modify Permission' button. Below this is a tree view showing a hierarchy of permissions. The root is 'Member', which is expanded to show several sub-categories, each with a list of permissions and checkboxes indicating their status:

- Load-in Application
 - Submit Load-in Application
 - Modify Load-in Application
 - Cancel Load-in Application
 - Forward Load-in Application
 - Confirm Warrant Generation
 - Reconfirm Load-in Application
 - Double confirm on order issuanc
 - Forward Warrant Generation App
- Authorization
 - Cancel Authorization
- Collateralization for Margin
 - Post warrant as margin collateral
 - Apply posting warrant as mar
 - Cancel post as margin collate
 - Confirm post as margin collat
- Withdraw collateral
 - Apply margin collateral withdr
 - Cancel withdraw margin collat
 - Forward margin collateral with
 - Confirm margin collateral with
 - Release warrant to Client
- Delivery
 - Sell
 - Submit Sell-side Delivery App
 - Sell delivery intention verified
 - Seller's Delivery Invoice Apply
 - Seller's Delivery Invoice Modf

Tick the permission(s) to be assigned to the role and click the "Update" button. The system will save the permission modification and prompt whether or not the operation is successful.

Note:

- The role name may not be the same as the name of any existing role.
- As for a newly added role, the existing permission will be left blank in default before you edit the permissions.

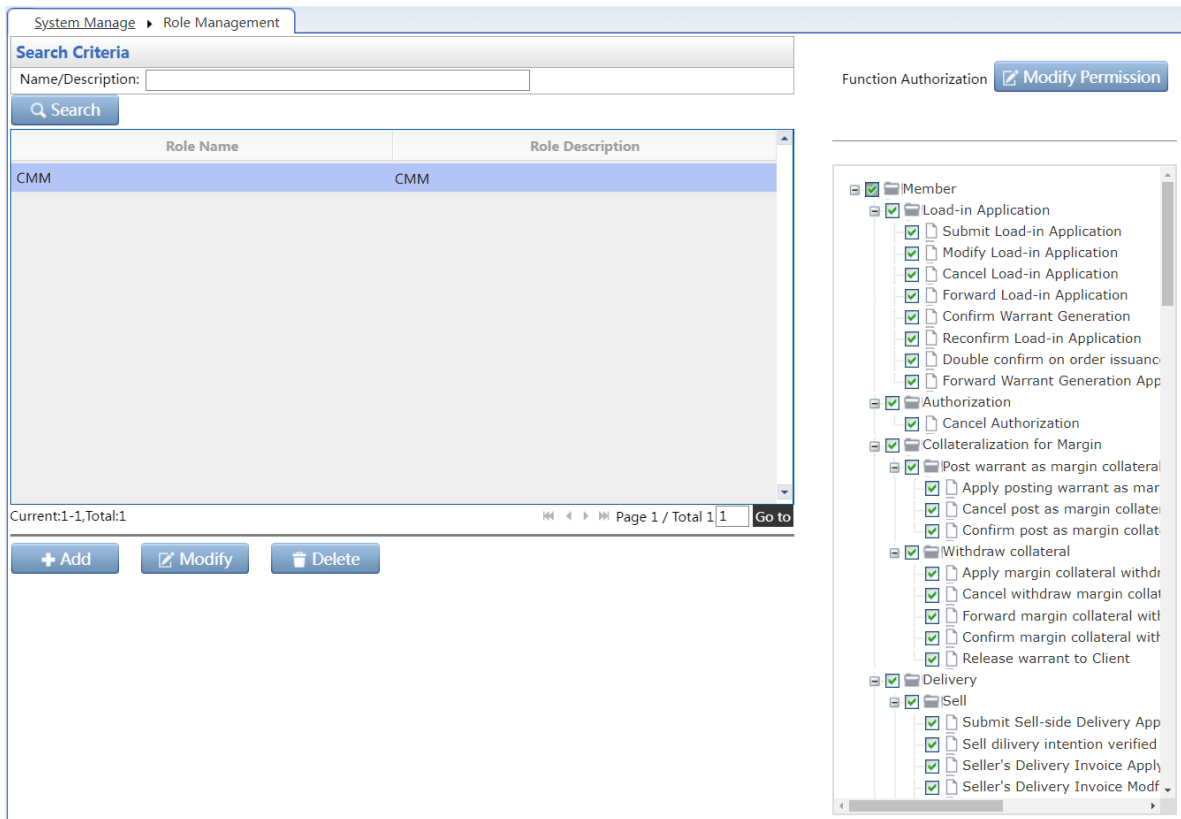
Modify a Role

Modify the functional permissions of a role.

Any other participating users than the Exchange can only modify the role created by themselves.

(1)

Search the role to be modified in the page of "Role Management".



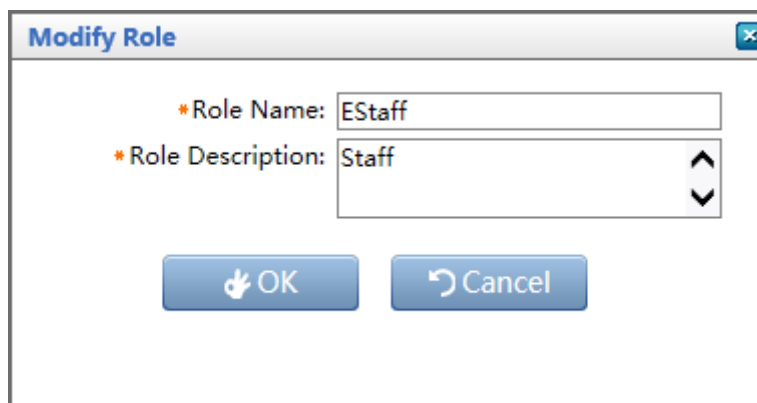
(2)

Select the role to be modified. Tick the new permission(s) or untick the existing permission (s) at the function authorization list at the right of page.

Click the "Update" button, and the System will prompt whether or not the operation is successful.

(3)

If you want to modify the role name or description, select the role and click the "Update" button to open the popup window for the role modification.



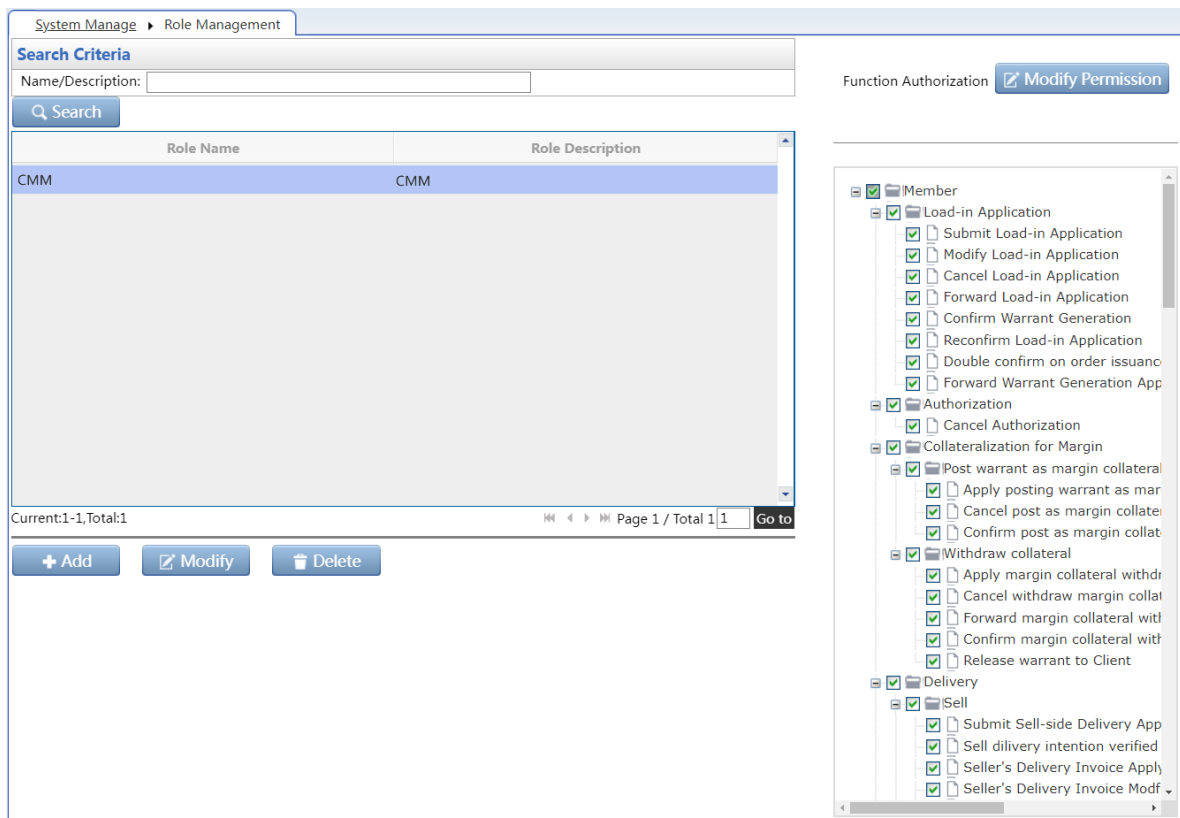
Edit the "Role Name" or "Role Description", and click the "OK" button to modify the role.

Delete a Role

In this system, other participating users than the Exchange can only delete the role created by themselves.

(1)

Find the role to be deleted in the page of "Role Management".



(2)

Select the role to be deleted, click the "Delete" button and a confirmation window will popup. Click "OK" to delete the role.

Account/User Change

Overseas Special Brokerage Participant can submit an account or user change application to INE for pre-review and review.

[Note] Before being approved by INE, a task can be searched and modified or canceled in the Task Tracking page. After being rejected by INE during pre-review or review, a task can be searched, modified, and resubmitted to INE in the To Do page.

Submit Account/User Change Application

(1)

From the Navigation Menu, access the Account/User Change page through System Manage--> (User Role) Account/User Change.

(2)

Account Change

Step 1: Select Account Change in the Operation Type drop-down box;

Step 2: Select Applicant Type and fill in Applicant Code, Applicant Name, Description, and other information.

[Note] Processor/Reviewer will be filled in automatically upon selecting the Applicant Type, which is usually preset as Client. Description field may contain details of the change.

Step 3: Upload attachments. Click the Upload button in the Attachment section to select materials from the local computer selection box, and complete the upload as instructed. To remove any uploaded attachment, click Delete in the Operation column.

Step 4: Click the OK button to submit the account change application.

System Manage ▶ Account/User Change

Information on Account/User Change

• Operation Type: Account Change

• Applicant Type: Client

• Applicant Code:

• Applicant Name:

• Processor/Reviewer Type: Member

• Processor/Reviewer: 7003

• Processor/Reviewer Short Name: n7003

Contact Person: Tel.:

• Cause of Change:

Note:

Attachment [Add Attachment](#)

File Name	Operation
-----------	-----------

(3)

User Change

Step 1: Select User Change in the Operation Type drop-down box;

Step 2: Select Applicant Type and fill in Applicant Code, Applicant Name, Description, and other information.

[Note] Processor/Reviewer will be filled in automatically upon selecting the Applicant Type. Description field may contain details of the change.

Step 3: Upload attachments. Click the Upload button in the Attachment section to select materials from the local computer selection box, and upload as instructed. To remove any uploaded attachment, click Delete in the Operation column.

Step 4: Click the OK button to submit the user change application.

System Manage ▶ Account/User Change

Information on Account/User Change

• Operation Type:
 • Applicant Type: • Applicant Code: • Applicant Name:
 • Processor/Reviewer Type: • Processor/Reviewer: • Processor/Reviewer Short Name:
 Contact Person: Tel.:
 • Cause of Change:
 Note:


Attachment



[Add Attachment](#)


File Name	Operation

Modify Account/User Change Application

A submitted Account/User Change application can be modified both before being approved by INE and after being rejected by INE during pre-review or review.


A submitted Account/User Change application can be searched in the Task Tracking page, and modified by clicking the  button in the Operation column.



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	Account/Use...	202105000011	Pending	Account/User Change(initiated by Member, Applicant Code...	Applied by F...	20210512	20210512	

An Account/User Change application rejected by INE during pre-review or review can be searched in the To Do page, and modified in the detail page opened by clicking the Application No. (as shown below). It can also be searched in the Task Tracking page, and modified by clicking the  button in the Operation column.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Account/Us...	202105000011	Account/User Change(initiated by Member, Applicant ...	Pre-review Rej...	20210512	09:36:56	20210512	09:37:40	

Cancel Account/User Change Application

A submitted Account/User Change application can be searched in the Task Tracking page and canceled by clicking the  button in the Operation column, both before being approved by INE and after being rejected by INE during pre-review or review.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	Account/Use...	202105000011	Pending	Account/User Change(initiated by Member, Applicant Code...	Applied by F...	20210512	20210512	

Circular Query

OSBPs may search the circulars in the System Management.

(1)

In the page navigation menu, select "System Management" -->"(Circular) Circular Query" to enter the page of circular query.

System Manage > Circular Query

Circular Title:

Circular Date:

Circular Title	Circular Date
----------------	---------------

Page 1 / Total 1

(2)

Set the search criteria to find the matched circular.

System Manage > Circular Query

Circular Title:

Circular Date:

Circular Title	Circular Date
Notice on the 2nd Term of Crude Oil Futures Related Business Training Tour	20170713

Current:1-1,Total:1

Page 1 / Total 1

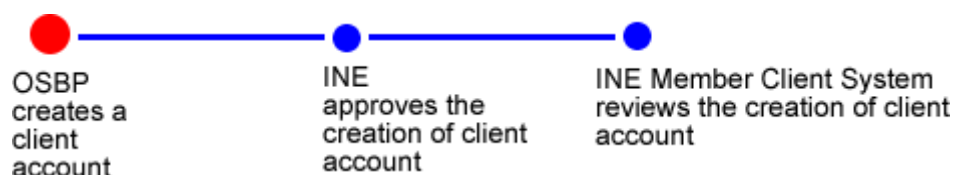
(3)

Click the "Circular Title" to enter the details page and view the circular.



Client Warrant Account Management

Client Warrant Account Management includes: Create Trading Institutional Client Account, Create Non-Trading Institutional Client Account, Create Trading Natural Person Client Account, and Create Non-Trading Natural Person Client Account. The process for OSBPs to create a Client account is as follows: OSBPs may initiate the application to create a trading institutional client account in the System and complete the process after the approval by the Exchange and the review by the Member Client System.



The operation and process for creating **Trading Institutional Client Account**, **Non-Trading Institutional Client Account**, **Trading Natural Person Client Account**, and **Non-Trading Natural Person Client Account** are similar.

Take "**Create Trading Institutional Client Account**" as an example to describe the operation details.

Create Trading Institutional Client Account

The OSBP initiates the application for creating Trading Institutional Client Account in this system, and complete the process with the approval by the Exchange and the review by the Member Client System.

[Note]After submitting an application of creating an account, you can still modify or cancel the application before the approval of INE. Find the application on the page of Task Tracking, and click the button to start the operation. After submitting the application and the rejection of INE, you can modify the information of creating the account and the attachment, on the page of To Do, find the application, click the Application No. to start the operation. You can also find the application on the page of Task Tracking to modify or cancel the application.

(1)

In the navigation menu, select "System Management" --> "Client Warrant Account Management" --> "Create Trading Institutional Client Account" to enter the relevant page.

System Manage ▶ Create Trading Institutional Client Account

Account Info.

*Account Type: Trading Institution *Client ID: *Client Name: *ID Type: *Member ID of Asset Management: *Business Type: *Tax Registration No.: *Registered Capital: *Registered Currency: *Second Business Scope: *Contact Person:

*Client Origin: *Country: *ID No.: *Extracode: *Legal Representative: *Registered Capital: *Registered Currency: *Second Business Scope: *Contact Person:

*Telephone: *First Business Scope: *Address: *Postal Code: *Address:

Info. of Authorized Person

*Contact Person: *ID No.: *Tel.: *Postal Code: *Address:

Attachment [Add Attachment](#)

File Name	Operation

User Info. [Add](#) [Modify](#) [Delete](#)

User ID	User Name	Level	Contact Person	Tel.	Email	Address	Postal Code	Note

OK

The form for Creating Trading Institutional Client Account consists of four (4) sections: **Account Information, Information of Authorized Person, Attachment and User Information.**

(2)

Fill in the information about creating Trading Institutional Client Account in sequence:

- Account Info.
- Info.of Authorized Person
- Attachment
- User Info.:Click **Add** button in the top of "User Info." area and then the "Add a User" window will show as below.Fill the information respectively in the two tabs User Info. and User's Permission, then click **Submit** button to add a new user.If you want to modify or delete one of the current users,you can click **Modify** or **Delete** button in the top of "User Info."area.

Add a User

User Info. User's Permission

* User ID: INE_

* User Name:

* Contact Person:

* Tel.:

* Address:

* Postal Code:

Email:

Note:

Submit Cancel

Note: the text box with the grey background indicates that it is not editable.

Click "Submit" button to submit the application.

Note: Please pay attention to the notes displayed at the bottom of the text boxes when filling in the Form.

Please wait for the approval by the Exchange after submitting the application successfully.

Inquire about and view the status of the application in the page of "Task Tracking".

Chapter 15 VAT invoicing section

Tax setting

Tax setting includes tax information maintenance and operation search. An OSBP may add and modify tax information on the Tax Information Maintenance page, provided that the additions and modifications are to be reviewed by INE, and may search the records of all operation activities concerning the tax information on the Operation Search page.

Tax information maintenance

In the navigation menu, select "Invoicing section" --> "(Tax setting)Tax information maintenance" to enter the page of Tax information maintenance. For maintenance, you may add, modify or a piece of tax information here.

Add

(1)

Invoicing section ▶ Tax information maintenance

Search Criteria

Status: All Forbidden Active

Taxpayer identificatio...	VAT invoicing recipien...	VAT invoicing rec...	VAT invoicing recipien...	Is main ac...	Status	VAT invoicing...	VAT invoicing recipien...	Attac
111222333	S1002			Yes	Active			

Current:1-1,Total:1 Page 1 / Total 1 | 1 Go to

Click the “Add” button at the bottom of the Tax Information Maintenance page, and the “Add Tax Information” window will pop up.

(2)

Add Tax information

*Taxpayer identification number:

*VAT invoicing recipient name:

VAT invoicing recipient address:

VAT invoicing recipient telephone:

VAT invoicing recipient bank:

VAT invoicing recipient account:

Contact:

Phone:

Attachment:

*Is main account: Note: The Exchange only issues VAT invoices to a member's main account

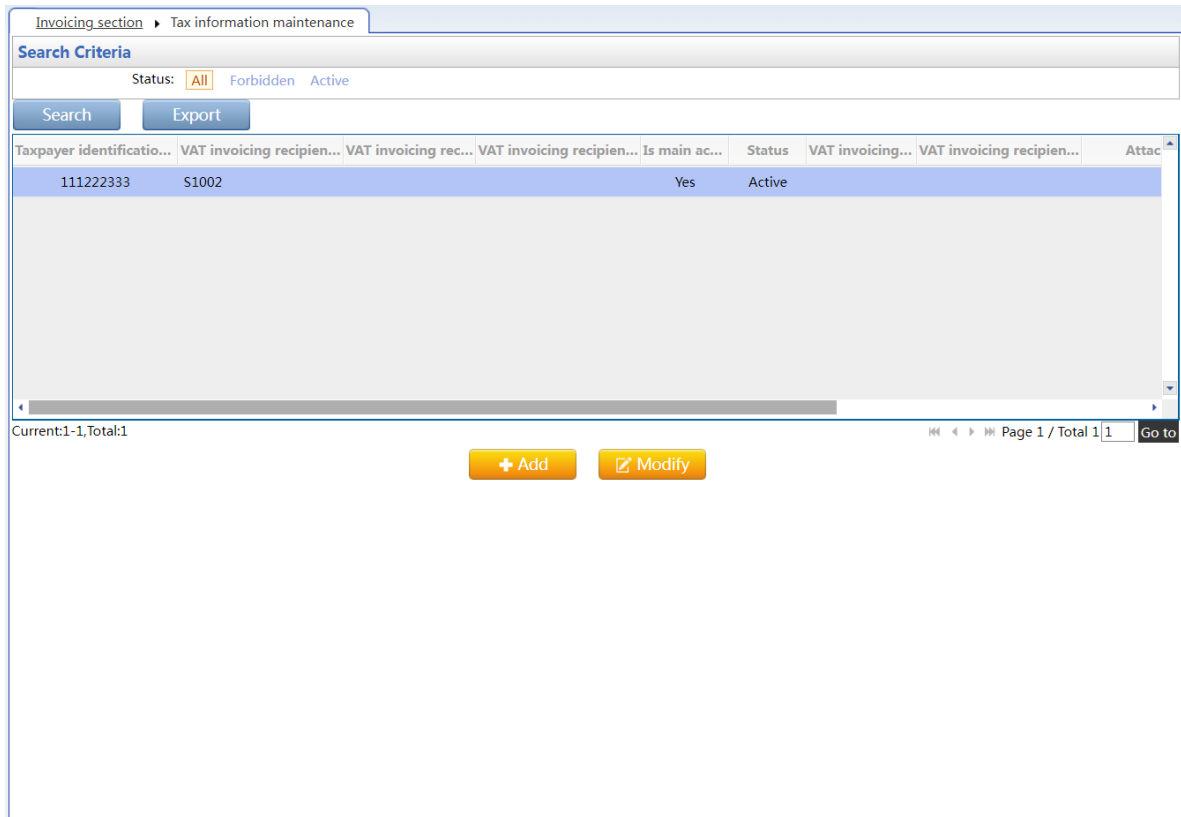
Note:

Fill in mandatory information such as taxpayer identification number, VAT invoice recipient name and whether it is the main account, as well as non-mandatory information such as VAT invoicing recipient address and VAT invoicing recipient telephone, and then click the “Confirm” button to submit the new record. The added information can only be activated and found in the table on the Tax Information Maintenance page upon approval of INE.

[Note] The Exchange only issues VAT invoices to a member’s main account, and each member may only have one active main account.

Modify

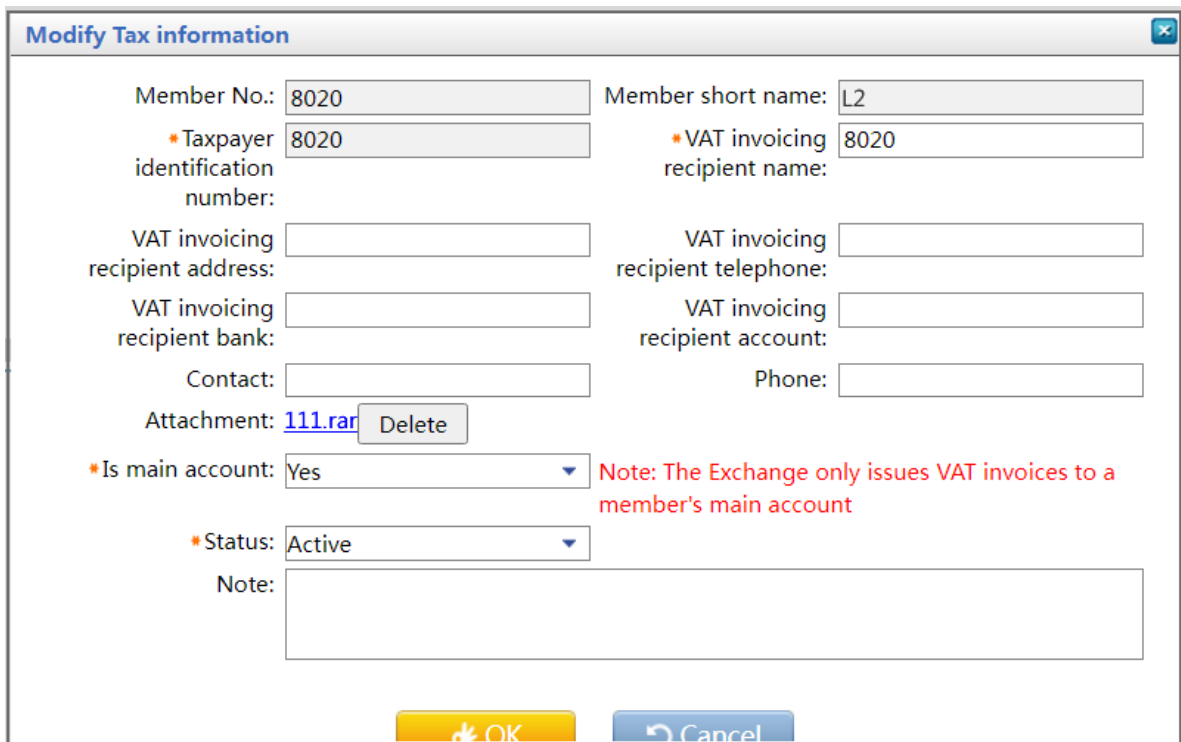
(1)



The screenshot shows a web application interface for 'Tax information maintenance'. At the top, there is a breadcrumb 'Invoicing section > Tax information maintenance'. Below it is a 'Search Criteria' section with a status filter set to 'All' (with 'Forbidden' and 'Active' as options). There are 'Search' and 'Export' buttons. A table below shows search results with columns: 'Taxpayer identificatio...', 'VAT invoicing recipien...', 'VAT invoicing rec...', 'VAT invoicing recipien...', 'Is main ac...', 'Status', 'VAT invoicing...', 'VAT invoicing recipien...', and 'Attac'. One record is highlighted in blue: '111222333', 'S1002', 'Yes', 'Active'. At the bottom of the table area, there are two buttons: '+ Add' and 'Modify'.

From the Tax Information Maintenance page, select a tax information record, click the “Modify” button at the bottom, and the “Modify Tax Information” window will pop up.

(2)



The screenshot shows a 'Modify Tax information' dialog box. It contains several input fields and dropdown menus. Fields with a gray background are read-only, while others have a white background. The fields are: 'Member No.' (8020), 'Member short name' (L2), '*Taxpayer identification number' (8020), '*VAT invoicing recipient name' (8020), 'VAT invoicing recipient address', 'VAT invoicing recipient telephone', 'VAT invoicing recipient bank', 'VAT invoicing recipient account', 'Contact', and 'Phone'. There is an 'Attachment' field with a link '111.rar' and a 'Delete' button. A dropdown for '*Is main account' is set to 'Yes', with a red note: 'Note: The Exchange only issues VAT invoices to a member's main account'. Another dropdown for '*Status' is set to 'Active'. A 'Note' field is empty. At the bottom, there are 'OK' and 'Cancel' buttons.

Modify the information in the fields with a non-gray background in the “Modify Tax Information” window, and click the “Confirm” button to submit the modification.

Export

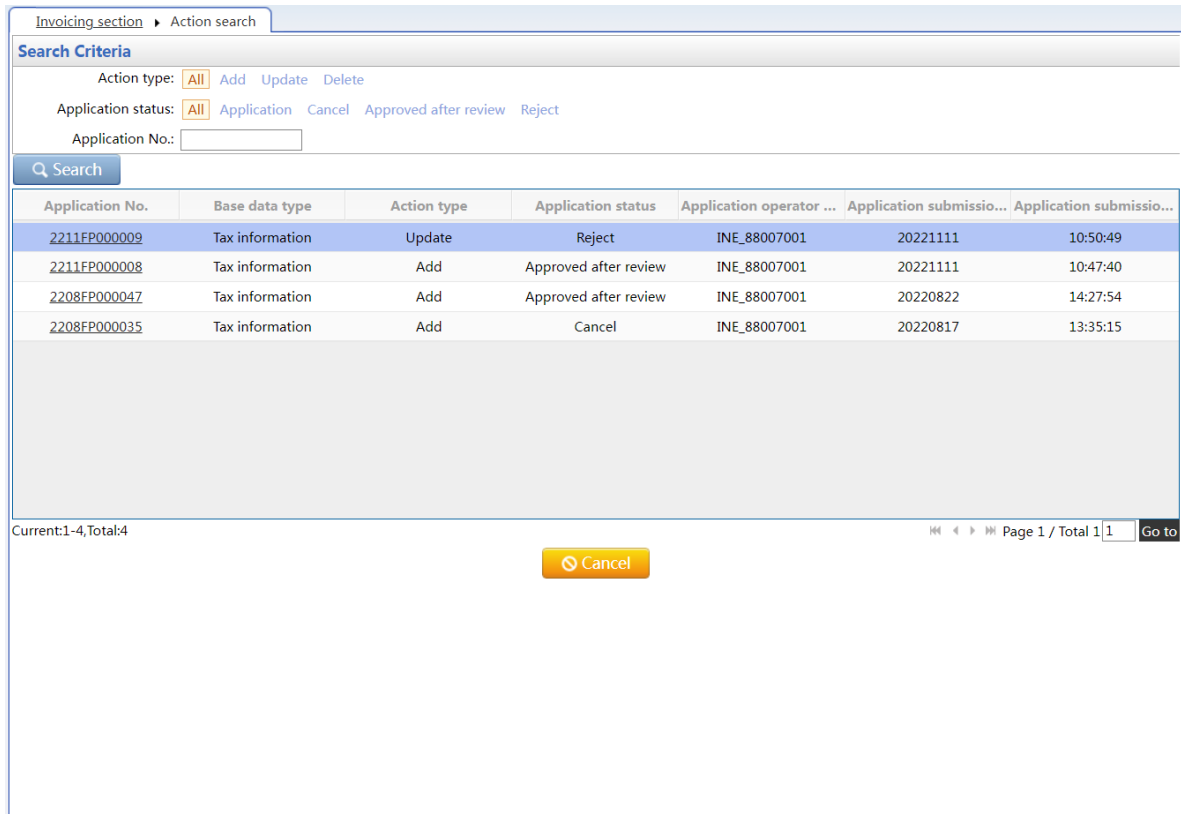
After the tax information is found, click the “Export” button at the top of the table to export the record to your local computer.

Operation search

Search records of tax information maintenance operations.

(1)

From the navigation menu, select “VAT invoicing section” --> “Tax setting” --> “Action search” to enter the page for Action search.



The screenshot displays the 'Action search' interface. At the top, there is a breadcrumb trail: 'Invoicing section > Action search'. Below this is a 'Search Criteria' section with the following options:

- Action type: All (selected), Add, Update, Delete
- Application status: All (selected), Application, Cancel, Approved after review, Reject
- Application No.:

A 'Search' button is located below the criteria. The main area contains a table with the following data:

Application No.	Base data type	Action type	Application status	Application operator ...	Application submissio...	Application submissio...
2211FP000009	Tax information	Update	Reject	INE_88007001	20221111	10:50:49
2211FP000008	Tax information	Add	Approved after review	INE_88007001	20221111	10:47:40
2208FP000047	Tax information	Add	Approved after review	INE_88007001	20220822	14:27:54
2208FP000035	Tax information	Add	Cancel	INE_88007001	20220817	13:35:15

At the bottom of the table area, there is a status bar: 'Current:1-4, Total:4'. To the right, there are navigation icons and the text 'Page 1 / Total 1 | 1 | Go to'. A 'Cancel' button is centered below the status bar.

(2)

View application details

Click the “Application No.” button for an operation record in the record table on the Operation Search page to enter the Application Details page as shown below:

Invoicing section > Action search > Business Detail Of Recheck

Trading Member (INE_88007001) INE (AEAT)

Tax information maintenance Approved

20220822 14:27 20220822 14:28

Basic Condition of Recheck

Application No.: 2208FP000047 Base data type: Tax information

Action type: Add Application status: Approved after review

Application Operator: INE_88007001 Application submission time: 20220822 14:27:54

Recheck Operator: AEAT Review time: 20220822 14:28:17

Verification Comment:

Detail of Recheck

Target	Before	After

(3)

Cancel operation records

Operation records whose status is "Applied" may be canceled.

Select the operation record to be canceled, click the "Cancel" button at the bottom of the page, and the window for confirmation will pop up. The operation record will be canceled upon confirmation, with its status changed to "Cancelled."

Output VAT invoice

Output VAT invoice submission

OSNBPs submit output VAT invoices.

(1)

From the navigation menu, select "VAT invoicing section" --> "Output VAT invoice" --> "Submission of output VAT invoices" to enter the page for Submission of output VAT invoices.

Invoicing section ▶ Output VAT invoice submission

Invoice Information

- Product: **CrudeOil** | TSR 20 | LSFO | Copper
- Transaction type: **EFP**
- Transaction No.: **[Empty]**
- Total standard weight: **[Empty]**
- Total actual weight: **[Empty]**
- Total amount: **[Empty]**
- VAT invoice file: **Upload**
- Select account: **[Empty]**

Taxpayer identification number: **[Empty]** VAT invoicing recipient name: **[Empty]**
VAT invoicing recipient address: **[Empty]** VAT invoicing recipient telephone: **[Empty]**
VAT invoicing recipient bank: **[Empty]** VAT invoicing recipient account: **[Empty]**
Is main account: **[Empty]**
Note: **[Empty]**

OK

(2)

Select a product, transaction type, and transaction number in the area for VAT invoice information. The total standard weight, total actual weight, and total amount will be automatically calculated by the system. Upload the VAT invoice file, select an account, fill out the remark field, and click the “Confirm” button to submit the output VAT invoice.

Invoicing section ▶ Output VAT invoice submission

Invoice Information

- Product: **CrudeOil** | TSR 20 | LSFO | Copper
- Transaction type: **Delivery at expiration**
- Transaction No.: **scf1001**
- Total standard weight: **1000.00** Total standard weight offset with negative VAT invoice: **2000.00**
- Total actual weight: **1000.00** Total actual weight offset with negative VAT invoice: **2000.00**
- Total amount: **11,270,550.75** Total amount offset with negative VAT invoice: **22,541,101.50**
- VAT invoice file: **111-3.png** | **Delete**
- Select account: **8020 (8020)**

Taxpayer identification number: **8020** VAT invoicing recipient name: **8020**
VAT invoicing recipient address: **[Empty]** VAT invoicing recipient telephone: **[Empty]**
VAT invoicing recipient bank: **[Empty]** VAT invoicing recipient account: **[Empty]**
Is main account: **Yes**
Note: **[Empty]**

OK

[Note] Please bundle all VAT invoices under the same application into a single compressed file and upload it. If any VAT invoice fails to pass the authentication by the VAT invoice platform, the entire application will be rejected.

Output VAT invoice search

Search output VAT invoices.

(1)

From the navigation menu, select "VAT invoicing section" --> "Output VAT invoice" --> "Output VAT invoice search" to enter the page for Output VAT invoice search.

The screenshot displays the 'Output VAT invoice search' interface. At the top, there is a breadcrumb trail: 'Invoicing section' > 'Output VAT invoice search'. Below this is a 'Search Criteria' section with the following fields:

- Product: A dropdown menu with 'All' selected, and other options: 'CrudeOil', 'TSR 20', 'LSFO', 'Copper'.
- Transaction type: A dropdown menu.
- Operation Document No.: A text input field.
- Transaction status: A dropdown menu.

Below the search criteria are two buttons: 'Search' and 'Export'. Underneath is a table with the following columns: 'Output VAT invoi...', 'Product', 'Transactio...', 'Transaction No.', 'Transaction st...', 'Transactio...', 'Total', 'Unit', 'Total amo...', 'Transactio...', and 'Verification Com...'. The table is currently empty. At the bottom right of the page, there is a pagination control showing 'Page 1 / Total 1' and a 'Go to' button.

(2)

Select a product, transaction type, transaction number, and transaction status, and click the "Search" button to find the eligible record.

Invoicing section ▶ Output VAT invoice search

Search Criteria

Product: [All](#) [CrudeOil](#) [TSR 20](#) [LSFO](#) [Copper](#)

Transaction type: Operation Document No.:

Transaction status:

Output VAT invoi...	Product	Transactio...	Transaction No.	Transaction st...	Transactio...	Total	Unit	Total amo...	Transactio...	Verification Com...
sc2300000001	CrudeOil	EFP	sc2100000001	Approved by ...	20231024	6000.00		192,766,2...	20231025	

Current:1-1,Total:1 Page 1 / Total 1 1 Go to

(3)

Click "Application No." to open the VAT Invoicing Details page and view the details of the VAT invoice.

Invoicing section ▶ Output VAT invoice search ▶ Business Detail Of Part Invoice

Prat Invoice

Product: [CrudeOil](#) Output VAT invoicing No.: [sc2300000001](#)

Member code: 7003 Member short name: n7003

Transaction type: EFP Transaction No.: [sc2100000001](#)

Total standard weight: 6000.00 Total actual weight: 6000.00

Total amount: 192,766,200.00 Transaction submission date: 20231024

VAT invoice file: [1111.png](#) Taxpayer identification number: 18293472392

VAT invoicing recipient name: shanghai FM Cor VAT invoicing recipient address:

VAT invoicing recipient telephone: VAT invoicing recipient bank:

VAT invoicing recipient account:

Transaction review date: 20231025 Transaction status: [Approved by VAT invoice platform](#)

Verification Comment:

Note:

Part Invoice detail

VAT invoice No.	Invoiced weight	Total amount	Invoice Type
037155464541	700.00	800.00	Paper
037155464542	800.00	900.00	Paper
037155464543	800.00	1,000.00	Paper
037155464544	800.00	1,100.00	Paper

Click the "Transaction No." to view the details of the page.

Invoicing section ▶ Output VAT invoice search ▶ Delivery details

Delivery details

Product: CrudeOil
 Transaction No.: sc2100000001
 Total standard weight: 6000.00
 Price: 32,121.70
 Transaction completion date: 20230613

Transaction type: EFP
 Creation date: 20230613
 Total actual weight: 6000.00
 Total amount: 192,766,200.00

Part Invoice detail

VAT invoice No.	Output VAT invoicing No.	Invoiced weight	Total amount	Invoice Type
037155464541	sc2300000001	700.00	800.00	Paper
037155464542	sc2300000001	800.00	900.00	Paper
037155464543	sc2300000001	800.00	1,000.00	Paper
037155464544	sc2300000001	800.00	1,100.00	Paper

No. of Records: 4

Export

Details of negative VAT invoice

Original VAT invoice No.	Negative VAT invoice No.	Negative VAT invoi...	Weight under nega...	Amount under neg...	Invoice Type	File name
037155464541	sc2300000001					ceshi.pdf

No. of Records: 1

Export

(4)

Click "Export" to export the data to the computer.

Input VAT Invoice

Input VAT invoice search

Search information on input VAT invoices.

(1)

From the navigation menu, select "VAT invoicing section" --> "Input VAT invoice" --> "Input VAT invoice search" to enter the page for Input VAT invoice search.

Invoicing section ▶ Input VAT invoice search

Search Criteria

Product: [All](#) [CrudeOil](#) [TSR 20](#) [LSFO](#) [Copper](#)

Transaction type: Operation Document No.:

Transaction status:

Input VAT invoici...	Product	Transactio...	Transaction No.	Transaction st...	VAT invoice No.	Transactio...	Total	Unit	Total amo...	VAT invoic

Page 1 / Total 1 1

(2)

Select a product, transaction type, transaction number, and transaction status, and click the "Search" button to find the eligible record.

Invoicing section ▶ Input VAT invoice search

Search Criteria

Product: [All](#) [CrudeOil](#) [TSR 20](#) [LSFO](#) [Copper](#)

Transaction type: Operation Document No.:

Transaction status:

Input VAT invoici...	Product	Transactio...	Transaction No.	Transaction st...	VAT invoice No.	Transactio...	Total	Unit	Total amo...	VAT invoic
sc2300000002	CrudeOil	EFP	sc2000001012	Application s...	20231025		5000.00		160,693,5...	
sc2300000001	CrudeOil	EFP	sc2100000001	Application s...	20231024		5000.00		160,638,5...	

Current:1-2,Total:2

Page 1 / Total 1 1

(3)

Click "Input VAT Invoicing No." to open the VAT Invoicing Details page and view the details of a VAT invoice. In the breakdown list, click the download address to download the VAT invoice.

Invoicing section ▶ Input VAT invoice search ▶ Business Detail Of Part Invoice

Prat Invoice

Product: CrudeOil	Input VAT invoicing No.: sc2300000002
Transaction type: EFP	Member code: 7003
Member short name: 7005	Member's taxpayer identification number: 18293472392
Member's VAT invoicing name: shanghai FM Cor	Member's VAT invoicing address:
Member's VAT invoicing telephone:	Member's VAT invoicing bank:
Member's VAT invoicing account:	Transaction No.: sc2000001012
Total standard weight: 5000.00	Total actual weight: 5000.00
Actual weight at parity: 5000.00	Value at parity: 160,608,500.00
Actual weight at discount: 0.00	Value at discount: 0.00
Actual weight at premium: 5000.00	Value at premium: 85,000.00
Total amount: 160,693,500.00	Transaction submission date: 20231025
VAT invoice creation date:	Transaction status: Application submitted
Exchange's taxpayer identification number: 124553154	Exchange's VAT invoicing name:
Exchange's VAT invoicing address:	Exchange's VAT invoicing telephone:
Exchange's VAT invoicing bank:	Exchange's VAT invoicing account:
Verification Comment:	
Note:	

Part Invoice detail

VAT invoice No.	Invoiced weight	Total amount	VAT invoice download URL
No. of Records: 0			

Click the "Transaction No." to view the details of the page.

Invoicing section ▶ Input VAT invoice search ▶ Delivery details

Delivery details

Product: CrudeOil	Transaction type: EFP
Transaction No.: sc2100000001	Creation date: 20230613
Total standard weight: 5000.00	Total actual weight: 5000.00
Price: 32,121.70	Total amount: 160,638,500.00
Transaction completion date: 20230613	

Part Invoice detail

VAT invoice No.	Input VAT invoicing No.	Invoiced weight	Total amount	VAT invoice download URL
No. of Records: 0				

(4)

Click "Export" to export the data to the computer.

Negative VAT invoice

Submit negative VAT invoices

(1)

From the navigation menu, select "VAT invoicing section" --> "Negative VAT invoice" --> "Submit negative VAT invoice" to enter the page for Submit negative VAT invoice.

Invoicing section ▸ Submit negative VAT invoice

Product: **CrudeOil** | TSR 20 | LSFO | Copper

Transaction type: **EFP**

Transaction No.: **scf18000000**

Note:

Note: A member will confirm with the Exchange before submitting any negative VAT invoice.

Details of negative VAT invoice [Add](#)

Operation	Original VAT invoice No.	Upload attachments
-----------	--------------------------	--------------------

[OK](#)

(2)

Select a product, transaction type, and transaction number, and click the "Add" button at the top right of the VAT invoice file list below to add a new record. Select a VAT invoice number in the drop-down list of original VAT invoice numbers, click the "Upload" button next to it to upload the negative VAT invoice, then click the "Confirm" button to submit the same. The new record cannot be canceled until the review by the VAT invoice platform is completed.

Invoicing section ▸ Submit negative VAT invoice

Product: **CrudeOil** | TSR 20 | LSFO | Copper

Transaction type: **EFP**

Transaction No.: **scf18000000**

Note:

Note: A member will confirm with the Exchange before submitting any negative VAT invoice.

Details of negative VAT invoice [Add](#)

Operation	Original VAT invoice No.	Upload attachments
	0000001043	111-3.png Delete

[OK](#)

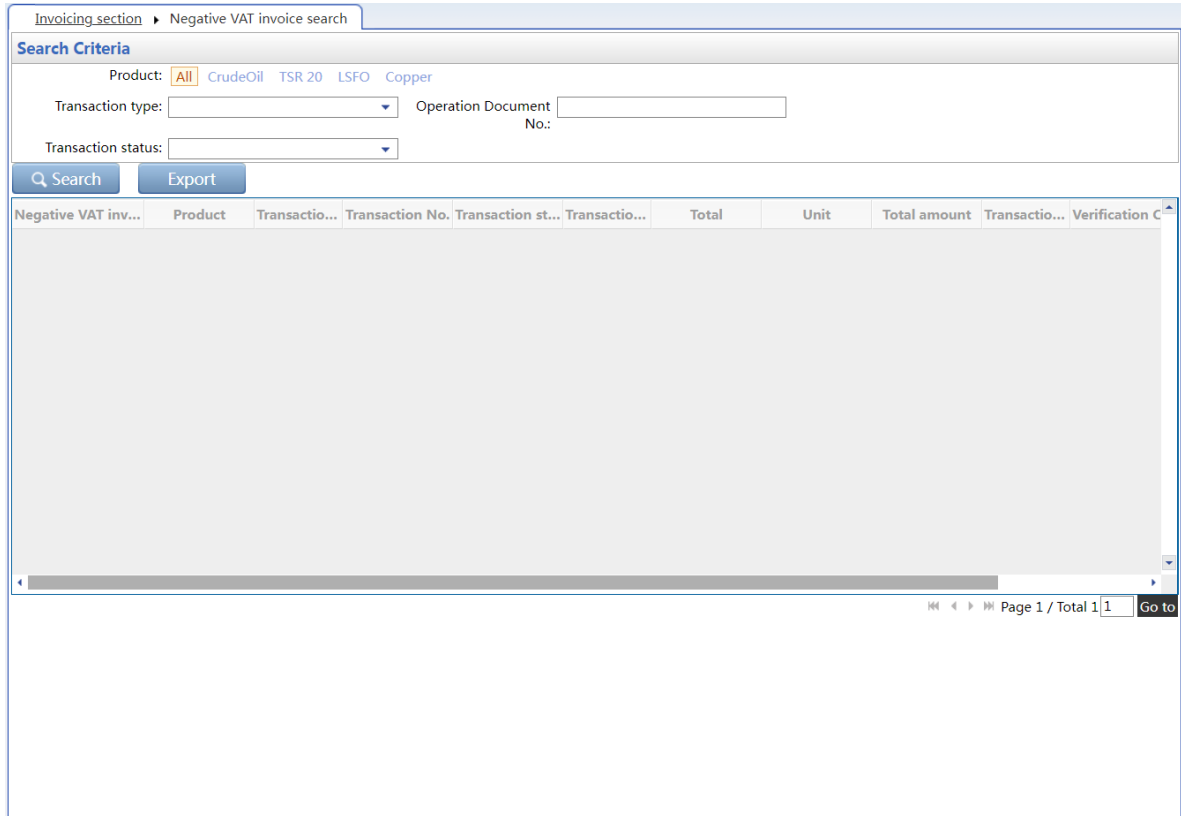
[Note] Each uploaded negative VAT invoice should correspond to the original VAT invoice.

Negative VAT invoice search

Search negative VAT invoices.

(1)

From the navigation menu, select "VAT invoicing section" --> "Negative VAT invoice" --> "Negative VAT invoice search" to enter the page for Negative VAT invoice search.



The screenshot shows a web application interface for searching negative VAT invoices. At the top, there is a breadcrumb navigation: "Invoicing section" > "Negative VAT invoice search". Below this is a "Search Criteria" section with the following fields:

- Product: A dropdown menu currently set to "All", with other options being "CrudeOil", "TSR 20", "LSFO", and "Copper".
- Transaction type: A dropdown menu.
- Operation Document No.: A text input field.
- Transaction status: A dropdown menu.

Below the search criteria are two buttons: "Search" and "Export".

The main area of the interface is a table with the following columns: "Negative VAT inv...", "Product", "Transactio...", "Transaction No.", "Transaction st...", "Transactio...", "Total", "Unit", "Total amount", "Transactio...", and "Verification C". The table body is currently empty.

At the bottom right of the table area, there is a pagination control showing "Page 1 / Total 1" and a "Go to" button.

(2)

Select a product, transaction type, transaction number, and transaction status, and click the "Search" button to find the eligible record.

Invoicing section > Negative VAT invoice search

Search Criteria

Product: [All](#) [CrudeOil](#) [TSR 20](#) [LSFO](#) [Copper](#)

Transaction type: Operation Document No.:

Transaction status:

Negative VAT inv...	Product	Transactio...	Transaction No.	Transaction st...	Transactio...	Total	Unit	Total amount	Transacti...	Verification Co
sc2300000001	CrudeOil	EFP	sc2100000001	Submit VAT i...	20231025	100.00		800.00		

Current:1-1,Total:1 Page 1 / Total 1 1 Go to

(3)

Click the “Negative VAT Invoicing No.” to open the Negative VAT Invoice Details page and view the details of a negative VAT invoice. Download the attachment to the negative VAT invoice in the breakdown list of negative VAT invoices.

Invoicing section > Negative VAT invoice search > Particulars of negative VAT invoice

Information on negative VAT invoice

Negative VAT invoicing No.: sc2300000001	Output VAT invoicing No.: sc2300000001
Product: CrudeOil	Transaction type: EFP
Transaction No.: sc2100000001	Transaction status: Submit VAT invoice
Member code: 7003	Member short name: n7003
Total standard weight: 100.00	Total actual weight: 700.00
Total amount: 800.00	
Transaction submission date: 20231025	Transaction submission time: 13:04:21
Transaction review date:	Transaction review time:
Verification Comment:	
Note:	

Details of negative VAT invoice

Original VAT invoice No.	Negative VAT invoice No.	Weight under negativ...	Amount under negati...	Invoice Type	File name
037155464541					ceshi.pdf

Click the “Transaction No.” to view the details of the page.

Invoicing section ▶ Negative VAT invoice search ▶ Delivery details

Delivery details

Product: CrudeOil
 Transaction No.: sc2100000001
 Total standard weight: 6000.00
 Price: 32,121.70
 Transaction completion date: 20230613

Transaction type: EFP
 Creation date: 20230613
 Total actual weight: 6000.00
 Total amount: 192,766,200.00

Part Invoice detail

VAT invoice No.	Output VAT invoicing No.	Invoiced weight	Total amount	Invoice Type
037155464541	sc2300000001	700.00	800.00	Paper
037155464542	sc2300000001	800.00	900.00	Paper
037155464543	sc2300000001	800.00	1,000.00	Paper
037155464544	sc2300000001	800.00	1,100.00	Paper

No. of Records: 4

Export

Details of negative VAT invoice

Original VAT invoice No.	Negative VAT invoice No.	Negative VAT invoi...	Weight under nega...	Amount under neg...	Invoice Type	File name
037155464541	sc2300000001					ceshi.pdf

No. of Records: 1

Export

(4)

Click "Export" to export the data to the computer.