



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If you have an outdated copy of this User Guide, please contact Shanghai Futures Information Technology to receive the latest edition.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

User Guide v1.32, last updated 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 System 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 OSNBPs.

System Functions

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

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

[OSNBP User] Medium Sour Crude Oil	To-do Tasks	New Tasks	Task Tracking
Load-in	Confirmation/Check	Initiating the task	Tracking/Print a Load-in Application
Warrant authorization/Return of authorization		Initiating the task	
Deposit/Withdrawal of margin collateral		Initiating the task	Tracking
(Delivery) Submit a notice of interest Check a notice of interest Confirm a warrant	Confirmation	Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
EFP application	Confirmation	Initiating the task	Tracking
(EFP delivery) Submit a warrant Confirm a warrant		Initiating the task	
EFP intention		Initiating the task	Track
Off-exchange pledge registration	Confirmation	Initiating the task	Tracking
Discharge of off-exchange pledge registration	Confirmation/Review	Initiating the task	Tracking
Warrant transfer (Settlement between a buyer and a seller)	Confirmation/release of warrant	Initiating the task	Tracking
Warrant transfer (Settlement via the Exchange)	Confirmation	Initiating the task	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment		Initiating the task	Tracking
(Physicals filing) Physicals filing application Physicals filing cancellation		Initiating the task	Tracking

[OSNBP User] Medium Sour Crude Oil	To-do Tasks	New Tasks	Task Tracking
Quotation of Warrant Transfer		Initiating the task/Withdrawing the task	
Warehouse Transfer	Confirmation		Tracking

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

[OSNBP User] TSR 20	To-do Tasks	New Tasks	Task Tracking
Load-in	Confirmation/Check	Initiating the task	Tracking/Print a Load-in Application
Warrant authorization/Return of authorization		Initiating the task	
Deposit/Withdrawal of margin collateral		Initiating the task	Tracking
(Delivery) Submit a notice of interest Check a notice of interest Confirm a warrant	Confirmation	Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
EFP application	Confirmation	Initiating the task	Tracking
(EFP delivery) Submit a warrant Confirm a warrant		Initiating the task	
EFP intention		Initiating the task	Track
Off-exchange pledge registration	Confirmation	Initiating the task	Tracking
Discharge of off-exchange pledge registration	Confirmation/Review	Initiating the task	Tracking
Warrant transfer (Settlement between a buyer and a seller)	Confirmation/release of warrant	Initiating the task	Tracking
Warrant transfer (Settlement via the Exchange)	Confirmation	Initiating the task	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment		Initiating the task	Tracking
Change Quality Inspection Date		Initiating the task	Tracking
Modify Warrant Weight		Initiating the task	Tracking
Warrant Trading Authorization			

[OSNBP User] TSR 20	To-do Tasks	New Tasks	Task Tracking
Quotation of Warrant Transfer		Initiating the task/Withdrawing the task	
OTC online pledge		Initiating the task	Tracking
Discharge OTC online pledge	Confirmation/Review	Initiating the task	Tracking
Warehouse Transfer	Confirmation		Tracking

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

【OSNBP User】 LSFO	To-do Tasks	New Tasks	Task Tracking
Load-in	Confirmation/Check	Initiating the task	Tracking/Print a Load-in Application
Warrant authorization/Return of authorization		Initiating the task	
Deposit/Withdrawal of margin collateral		Initiating the task	Tracking
(Delivery) Submit a notice of interest Check a notice of interest Confirm a warrant	Confirmation	Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
EFP application	Confirmation	Initiating the task	Tracking
(EFP delivery) Submit a warrant Confirm a warrant		Initiating the task	
EFP intention		Initiating the task	Track
Off-exchange pledge registration	Confirmation	Initiating the task	Tracking
Discharge of off-exchange pledge registration	Confirmation/Review	Initiating the task	Tracking
Warrant transfer (Settlement between a buyer and a seller)	Confirmation/release of warrant	Initiating the task	Tracking
Warrant transfer (Settlement via the Exchange)	Confirmation	Initiating the task	Tracking
Warrant load-out Warrant Load-out (Factory Warehouse)	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment		Initiating the task	Tracking
Overseas Delivery-Taking by Agreement	Check/Confirmation	Initiating the task	Tracking
Warrant Trading Authorization			

【OSNBP User】 LSFO	To-do Tasks	New Tasks	Task Tracking
Quotation of Warrant Transfer		Initiating the task/Withdrawing the task	
OTC online pledge		Initiating the task	Tracking
Discharge OTC online pledge	Confirmation/Review	Initiating the task	Tracking
Warehouse Transfer	Confirmation		Tracking

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

[OSNBP User] Copper	To-do Tasks	New Tasks	Task Tracking
Load-in	Confirmation/Check	Initiating the task	Tracking/Print a Load-in Application
Warrant authorization/Return of authorization		Initiating the task	
Deposit/Withdrawal of margin collateral		Initiating the task	Tracking
(Delivery) Submit a notice of interest Check a notice of interest Confirm a warrant	Confirmation	Initiating the task	
(Delivery) Submit a warrant		Initiating the task	
EFP application	Confirmation	Initiating the task	Tracking
(EFP delivery) Submit a warrant Confirm a warrant		Initiating the task	
EFP intention		Initiating the task	Track
Off-exchange pledge registration	Confirmation	Initiating the task	Tracking
Discharge of off-exchange pledge registration	Confirmation/Review	Initiating the task	Tracking
Warrant transfer (Settlement between a buyer and a seller)	Confirmation/release of warrant	Initiating the task	Tracking
Warrant transfer (Settlement via the Exchange)	Confirmation	Initiating the task	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment		Initiating the task	Tracking
Modify Warrant Weight	Check/Confirmation	Initiating the task	Tracking
Warrant Trading Authorization			
Quotation of Warrant Transfer		Initiating the task/Withdrawing the task	

[OSNBP User] Copper	To-do Tasks	New Tasks	Task Tracking
OTC online pledge		Initiating the task	Tracking
Discharge OTC online pledge	Confirmation/Review	Initiating the task	Tracking
Warehouse Transfer	Confirmation		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
	SMS Subscription

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 Chrome or Edge Explorer 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.

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INE Warrant System 中文

Sign In

Authentication: Password+USBKey

User Name: Remember me

Password:

Security Code:

Sign In **Cancel**

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)



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)



The screenshot shows a 'Downloads' section with two buttons: 'Root Certification' and 'HaiKey Driver'. A red box highlights both buttons. An arrow points from the text 'Download the certificate' to the 'Root Certification' button.

Downloads

[Root Certification](#)

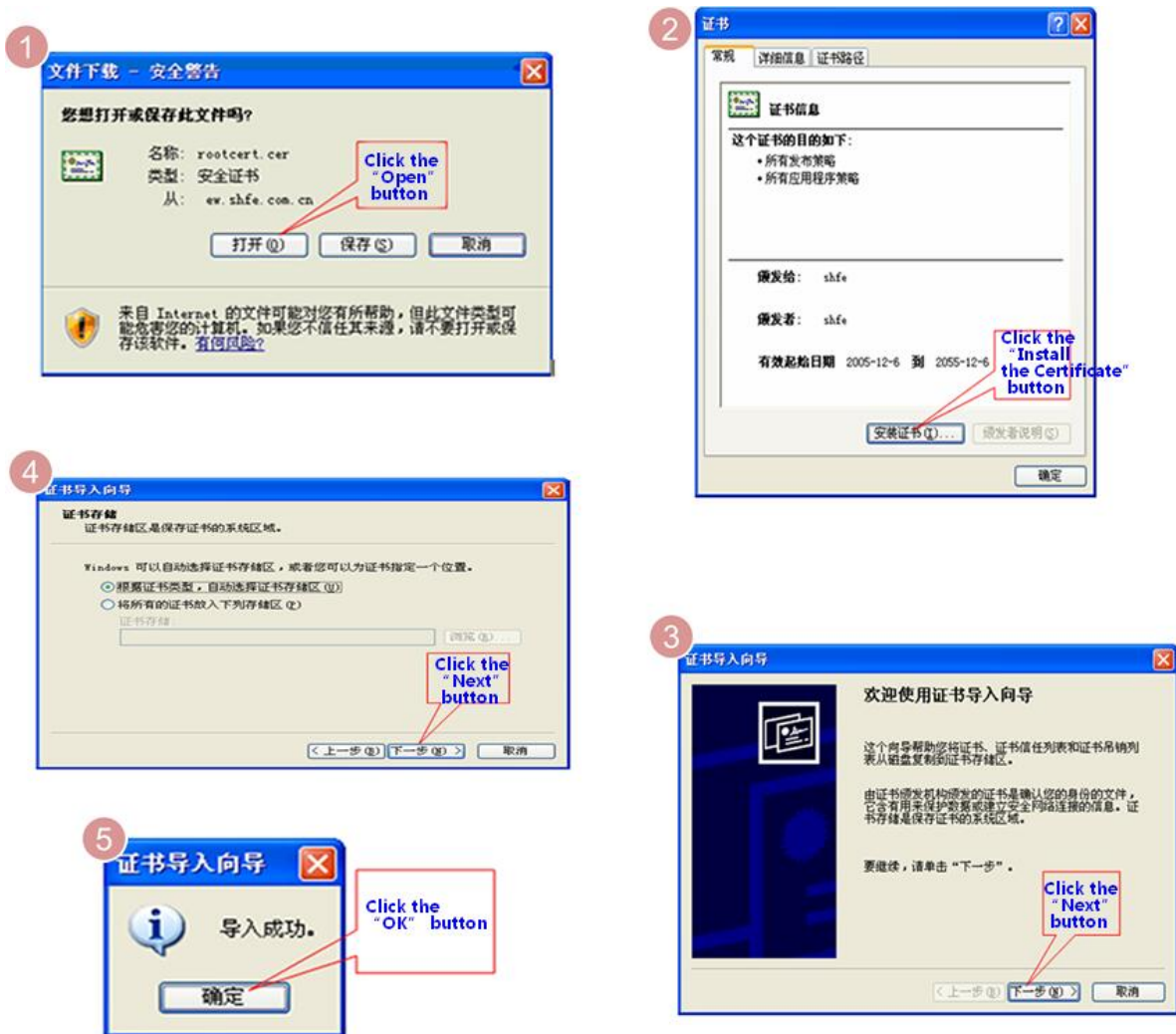
[HaiKey Driver](#)

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.

(2)



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

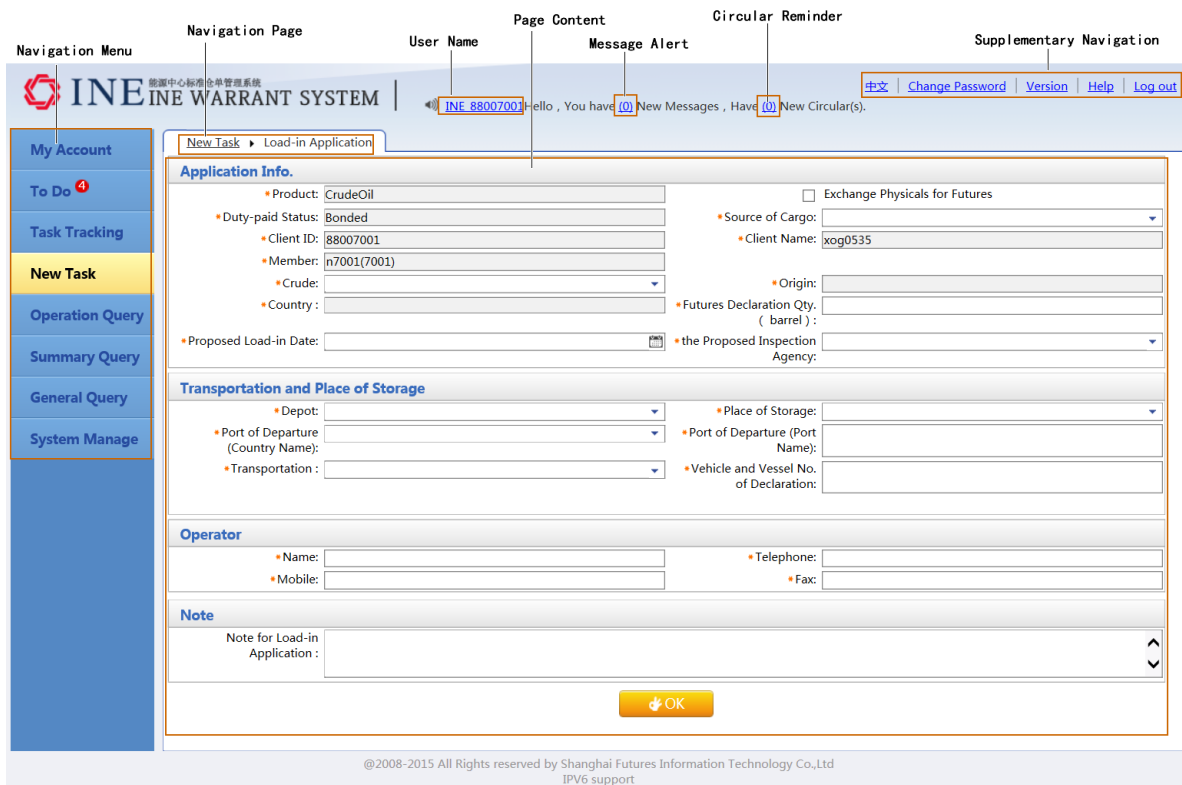
(3) Click the link of "Download and Install the Haitai Digital Certificate Driver" in the certificate downloading page after the completion of the installation of the root certificate. Likewise, follow the install wizard to complete the installation of the digital certificate.

(4) Upon completion of the installation of all necessary certificates, plug the USB-KEY into your computer once again, open the Explorer 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 OSNBPs, the System is displayed as follows:



- 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.

Operation Query ▶ Load-in Application Query

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.

Date	Content
20170711	Member submitted sell-side warrant for delivery: Document No. sc1707000001, Quantity 1000; Operator...

Mark all messages as read

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.

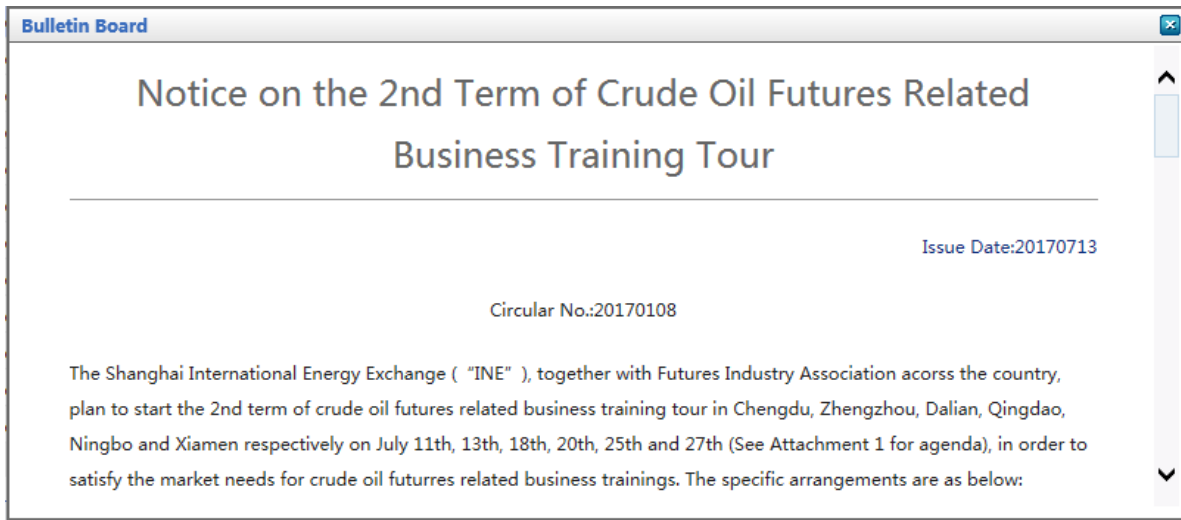
- Circular Reminder: You may see the circular page after login. The list of unread circulars is shown in the page. Click the title of a circular to view the details on the popup window. Circular reminder is also shown following the welcome line. The underlined number indicates the number of unread circulars.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

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

Current:1-1,Total:1

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



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 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

Search results area

(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 **To Process** 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.
- **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.

*Contract:

Note: If there are too many search criteria, some conditions 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 criteria, and then click "Hide" to collapse the view.

Search Criteria

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

Operation Type: [All](#) [Load-in](#) [Margin Deposit](#) [Margin Withdrawal](#) [Delivery](#) [Warrant Transfer](#) [Warrant Load-out](#) [EFP Application](#)
[Off-Exchange Pledge Registration](#) [Discharge of Off-Exchange Pledge Registration](#) [Warrant Revocation](#) [Prepaid storage fee](#)
[Load-in Compensation](#) [Physicals Filing](#) [Physicals Filing Cancellation](#) [Create User](#) [Seller's delivery invoice](#)
[Change Quality Inspection Date](#) [Modify Warrant Weight](#) [Overseas Delivery-Taking by Agreement](#) [Account/User Change](#)
[Maintain the tax information of organizations in the VAT invoice section](#) [Warehouse transfer](#) [OTC online pledge](#)
[Discharge OTC online pledge](#)

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](#)

[More](#)

Click "More" to expand all search criteria

Search Criteria

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

Operation Type: [All](#) [Load-in](#) [Margin Deposit](#) [Margin Withdrawal](#) [Delivery](#) [Warrant Transfer](#) [Warrant Load-out](#) [EFP Application](#)
[Off-Exchange Pledge Registration](#) [Discharge of Off-Exchange Pledge Registration](#) [Warrant Revocation](#) [Prepaid storage fee](#)
[Load-in Compensation](#) [Physicals Filing](#) [Physicals Filing Cancellation](#) [Create User](#) [Seller's delivery invoice](#)
[Change Quality Inspection Date](#) [Modify Warrant Weight](#) [Overseas Delivery-Taking by Agreement](#) [Account/User Change](#)
[Maintain the tax information of organizations in the VAT invoice section](#) [Warehouse transfer](#) [OTC online pledge](#)
[Discharge OTC online pledge](#)

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](#)

Application No.:

[Hide](#)

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 "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.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	EFP Applicati...	nr1900000003	Pending	Member submitted EFP application(initiated by Member (Bu...	EFP Applicati...	20190805	20190805
	TSR 20	Discharge of ...	nr0011900001	Pending	Discharge of Off-exchange Pledge (Pledgee 88007001 initi...	Discharge of ...	20190802	20190802
	TSR 20	Discharge of ...	nr0011900002	Pending	Discharge of Off-exchange Pledge (Pledgee 60010012 initi...	Discharge of ...	20190802	20190802
	TSR 20	Warrant Tran...	nr0011900005	Pending	Warrant Transfer(initiated by Client 60010012, weight 10.08...	Transfer Appl...	20190802	20190802
	TSR 20	Warrant Tran...	nr0011900006	Pending	Warrant Transfer(initiated by Client 88007001, weight 10.08...	Transfer Appl...	20190802	20190802
	TSR 20	Warrant Load...	nr0011900004	Pending	Warrant Load-out(initiated by Client 88007001, weight 20.1...	Confirmed b...	20190802	20190802
	TSR 20	Warrant Rev...	nr0011900001	Pending	Warrant Revocation(initiated by Client 88007001, weight 20...	Application S...	20190802	20190802
	TSR 20	Change Quali...	nr1900000001	Pending	Change Quality Inspection Date(initiated by Member 7001, ...	Rejected by ...	20190731	20190731

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



User ID	User Name	Level	Status	Account Opening D...
JWFJJ8302	JWFJJ8302	Operator	Activate	20150227

[+ Add](#)
[Update](#)
[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 records, then you cannot perform the same operation in such records as you do to other records with a button.

Operation Column	Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	Medium Sou...	Load-in	sc190000012	Pending	Load-in (Member 7001 initiated, Client ID 88007001, Quant...	Load-in Appl...	20190905	20190905	

Perform relevant operation by clicking the corresponding button.

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	sc170000036	Load-in (Member 8302 initiated, Client ID 83028302, Q...	Warrant Gene...	20170530	21:41:10	20170627	01:35:49
Medium Sou...	Load-in	sc170000054	Load-in (Member 8302 initiated, Client ID 83028302, Q...	Application Su...	20170713	21:50:58	20170713	22:09:12
Medium Sou...	Warrant Tra...	scbjc1700022	Warrant Transfer(initiated by Client 83028302, Quantit...	Sell-Side Sub...	20170531	03:39:07	20170531	03:39:07
Medium Sou...	Warrant Loa...	scbjc1700011	Warrant Load-out(initiated by Client 83028302, Quanti...	Application Su...	20170531	04:11:46	20170531	04:11:46

Display the Details of Warrant Accounts

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

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

Settlement Method: Settled by INE
 Transfer Price: 12,535.70
 Client ID (Buy-side): 60010012
 Client ID (Sell-side): 88007001
 Trading Member ID (Sell-side): 7001
 Clearing Member ID (Sell-side): 7001
 Trading Member ID (Buy-side):
 Clearing Member ID (Buy-side):
 Note:

Available Quantity: 1000
 Total Amount: 12,535,810.00
 Client Name (Buy-side): 7003
 Client Name (Sell-side): tst2013
 Trading Member Abbr. (Sell-side): n7001
 Clearing Member Abbr. (Sell-side): n7001
 Trading Member Abbr. (Buy-side):
 Clearing Member Abbr. (Buy-side):

Warrant Acco...	Duty-paid ...	Depot	Premium/Disc...	Crude	Premium/Disc...	Premium/Disc...	Last Delivery P...	Last Delivery P...	Qty. Submitted
scB000000009	Bonded	BJ Oil Storage	0.10	CHINA Crude 1	0.01	0.00			1000

Product Property - Storage Location : Qty. Submitted
 • bj --:1000

Start/End Date of Storage - Paid storage period: Qty. Submitted
 • 20190703-20190731:1000

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

Attention: This settlement price is the final execution price

✓ Approve ✗ Reject

Print

Print 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...	BJC	China DIN	CHINA Crude 1			Authorization for C...	988000	5000

Please select by product property - Storage Location : Qty. Submitted/Qty. Available
 • -- : 5000 / 988000

Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available
 • 20170519-20181212 : 5000 / 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.

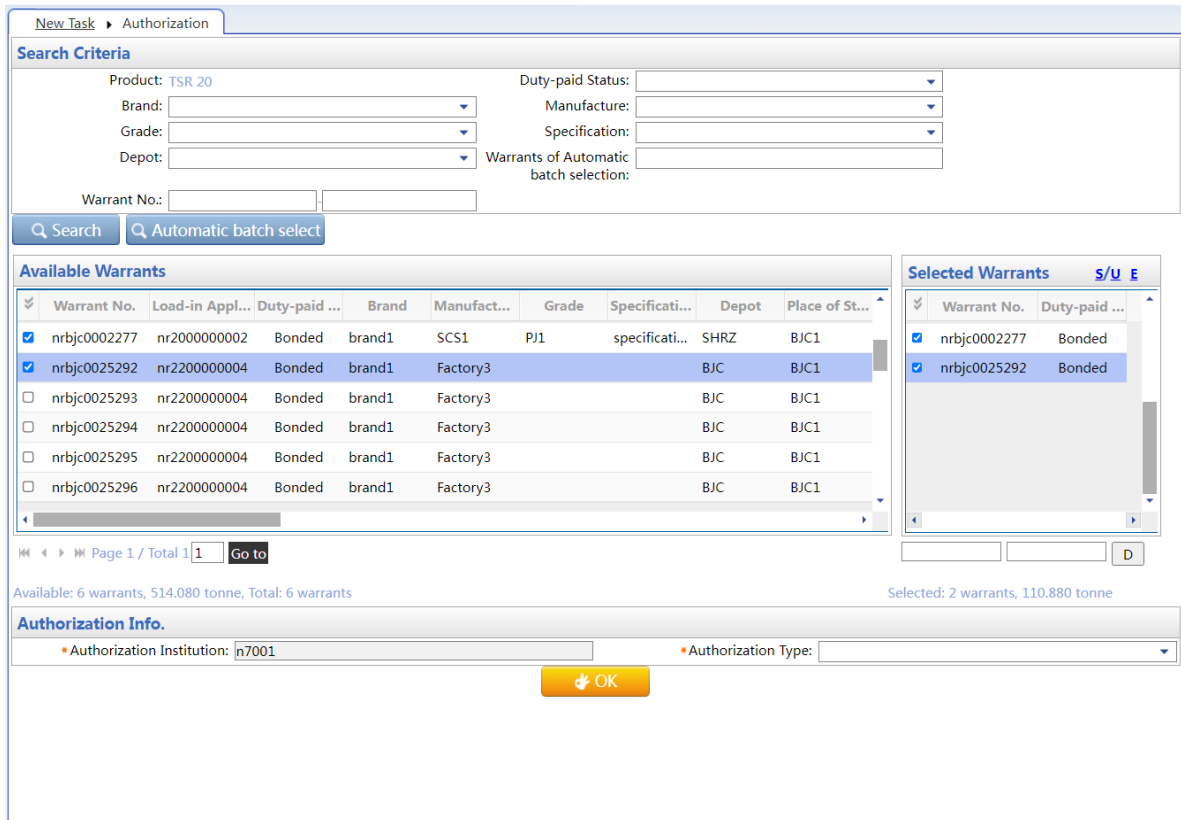
Select Warrants

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

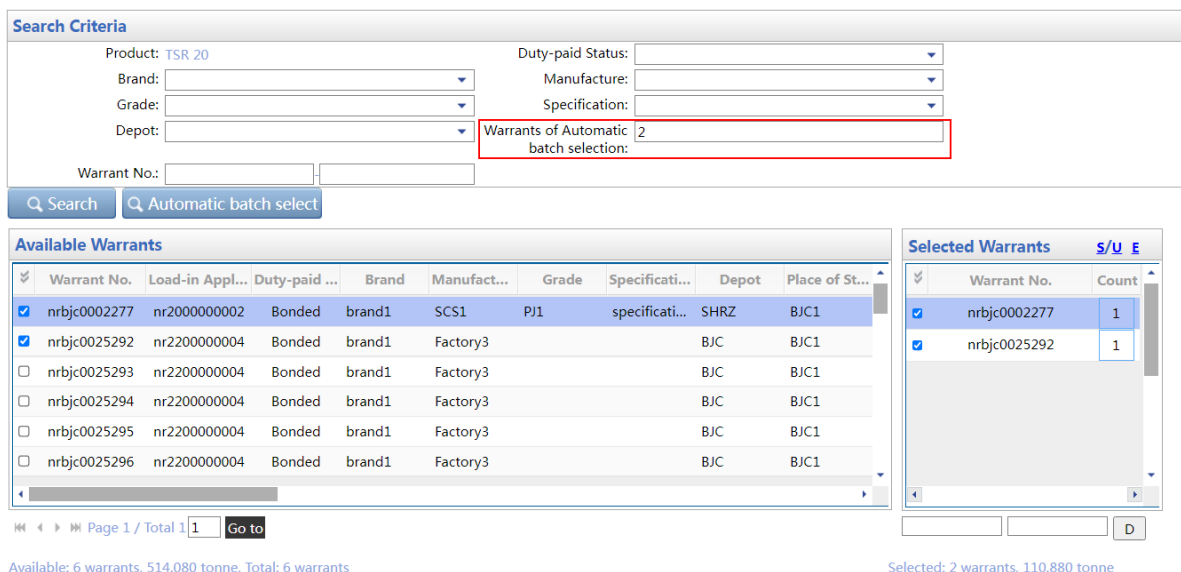
(1)

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.



The screenshot shows the 'New Task' window for 'Authorization'. The 'Search Criteria' section includes fields for Product (TSR 20), Brand, Grade, Depot, Duty-paid Status, Manufacture, Specification, and Warrants of Automatic batch selection. Below this are 'Search' and 'Automatic batch select' buttons. The 'Available Warrants' table lists 6 warrants with columns for Warrant No., Load-in Appl., Duty-paid, Brand, Manufacture, Grade, Specification, Depot, and Place of St... Two warrants (nr200000002 and nr220000004) are selected. The 'Selected Warrants' table on the right shows the same two warrants. At the bottom, there is an 'Authorization Info' section with 'Authorization Institution: n7001' and 'Authorization Type' dropdown, and an 'OK' button.

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.

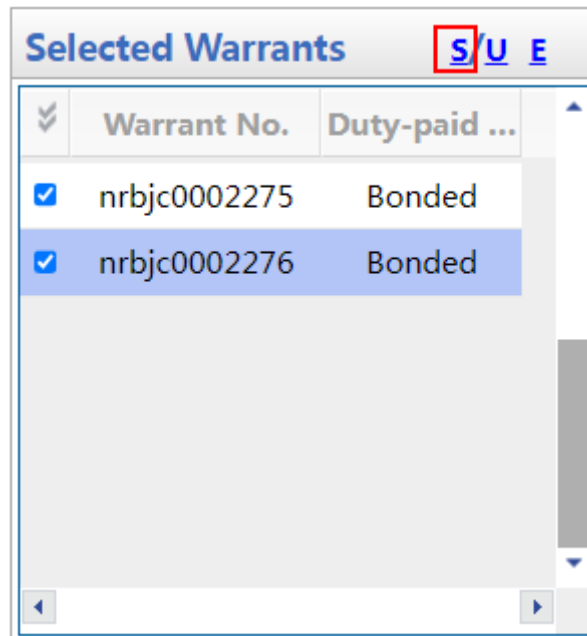


This screenshot is similar to the previous one but highlights the 'Warrants of Automatic batch selection' field in the 'Search Criteria' section, which is set to the value '2'. The 'Available Warrants' and 'Selected Warrants' tables show the same results as before, with two warrants selected. The 'OK' button is also visible at the bottom.

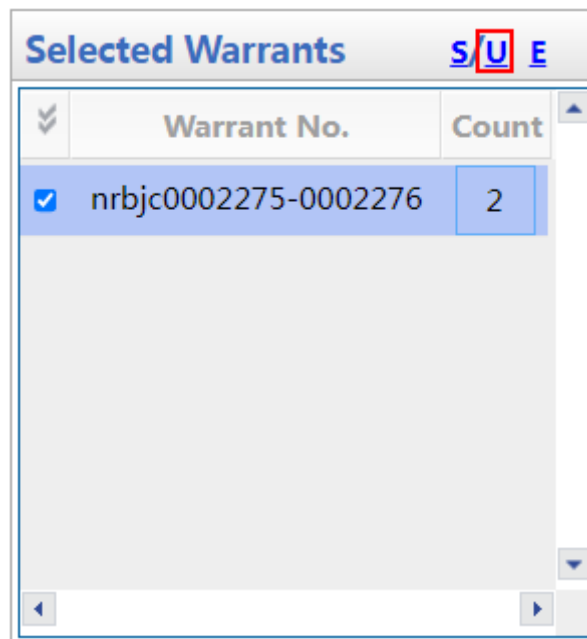
(2)

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.



- 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.



- 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;


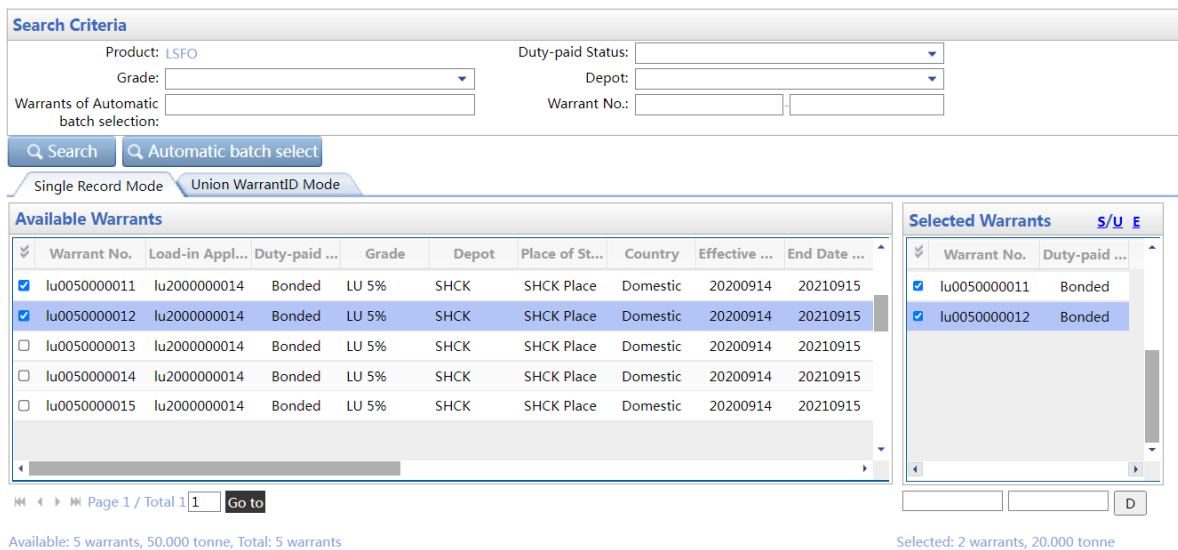
- Search under the “Union WarrantID Mode” and then select the warrants for the operation.

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 “


Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection:

Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

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

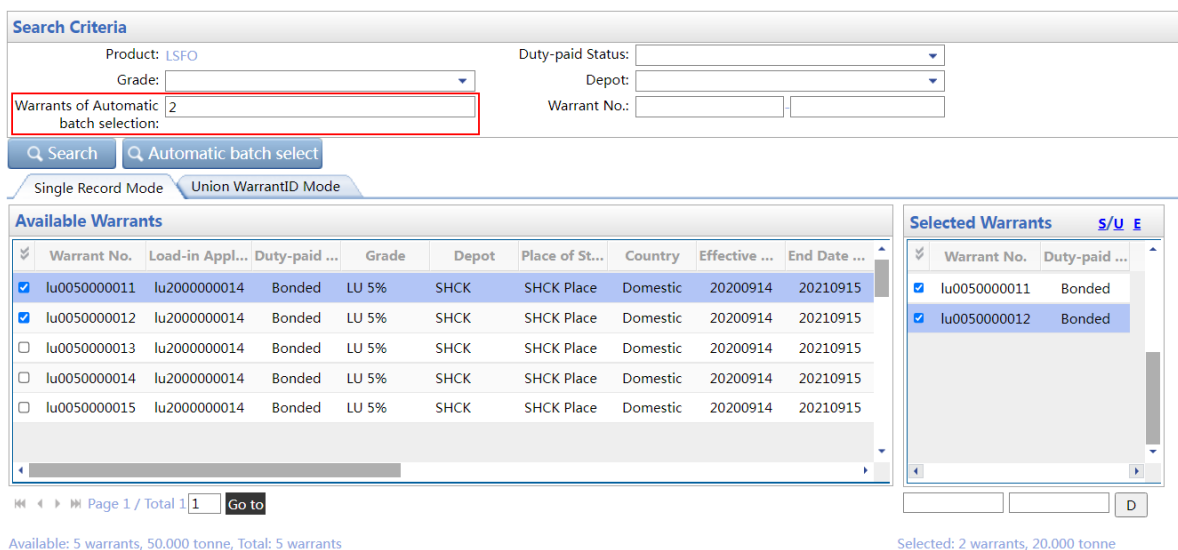
Page 1 / Total 1

Available: 5 warrants, 50.000 tonne, Total: 5 warrants

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

Selected: 2 warrants, 20.000 tonne

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:

Warrants of Automatic batch selection:

Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

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

Page 1 / Total 1

Available: 5 warrants, 50.000 tonne, Total: 5 warrants

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

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.

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.

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.

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".

The screenshot shows the "Search Criteria" section with the following fields: Product: LSFO, Duty-paid Status: (dropdown), Grade: (dropdown), Depot: (dropdown), Warrants of Automatic batch selection: (input field), and Warrant No.: (input fields). Below the search criteria are two buttons: "Search" and "Automatic batch select". The main table is in "Union WarrantID Mode" and has columns: Warrant No., Available ..., Selected Warr..., Load-in Appl..., Duty-paid ..., Grade, Depot, Place of St..., Country, Effective ..., End Date ..., and Ex. The table contains one row with the following data: Warrant No. lu005000011-0000015, Available ... 5, Selected Warr... (empty), Load-in Appl... lu2000000014, Duty-paid ... Bonded, Grade LU 5%, Depot SHCK, Place of St... SHCK Place, Country Domestic, Effective ... 20200914, End Date ... 20210915, and Ex 2. Below the table, it says "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.

This screenshot is similar to the previous one, but the "Selected Warr..." column for the first row now contains an input field with the number "2" entered. The status below the table remains "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.

The screenshot shows the "Search Criteria" section with the "Warrants of Automatic batch selection" field highlighted in red and containing the number "2". The "Automatic batch select" button is also visible. The main table is in "Union WarrantID Mode" and the first row is now selected, indicated by a blue checkmark in the "Selected Warr..." column. The status below the table is "5 warrants are available, 2 warrants are selected".

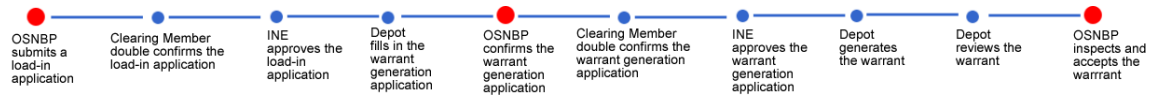
(4)

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

Process nodes diagram

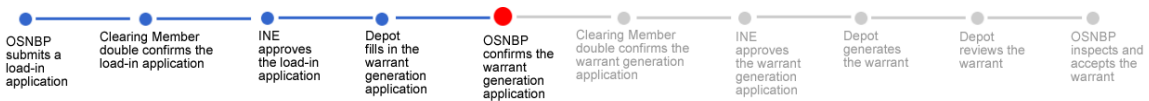
This Guide exhibits the process of relevant business in the form of process nodes diagram, which is divided into the following two types:

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.

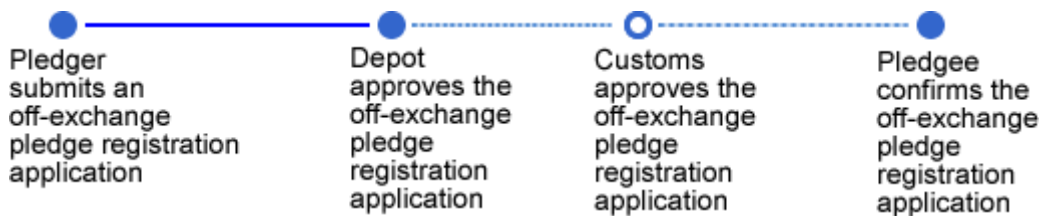
Type 2: the process nodes diagram that exhibits the general overview of an ongoing business, including already done, to-be-done and undone tasks, as shown below:



- 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.

Note: In some process diagrams, certain nodes are displayed in the form of hollow circle, and connected with dotted line in both directions. Such a node indicates that this task is required to be done only under certain circumstances or only when certain conditions are satisfied.

As shown below, there is a node of Pledge Registration Application reviewed by the Customs in the process nodes diagram of Off-exchange Pledge Registration. As a matter of fact, the application is reviewed by the Customs only when such a warrant is a bonded one.



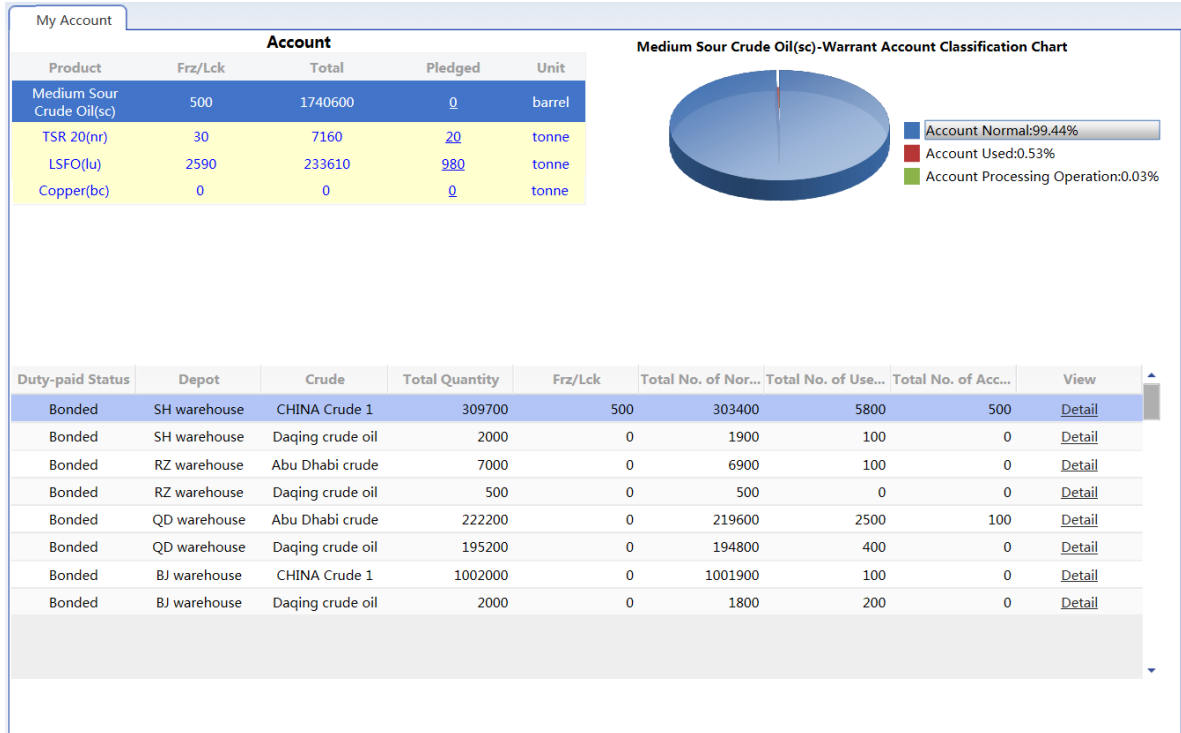
Chapter 3 Business Operation

In the page of "My Account", OSNBPs may view the quantity of the commodities, the property of commodities and warrant business through which these commodities have been going.

The business operations are mainly conducted through the three sections in the navigation menu, including "To-do Tasks", "Task Tracking" and "New Task". You may handle any task to be done in "To-do Tasks", which is a task that is assigned to an OSNBP 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".

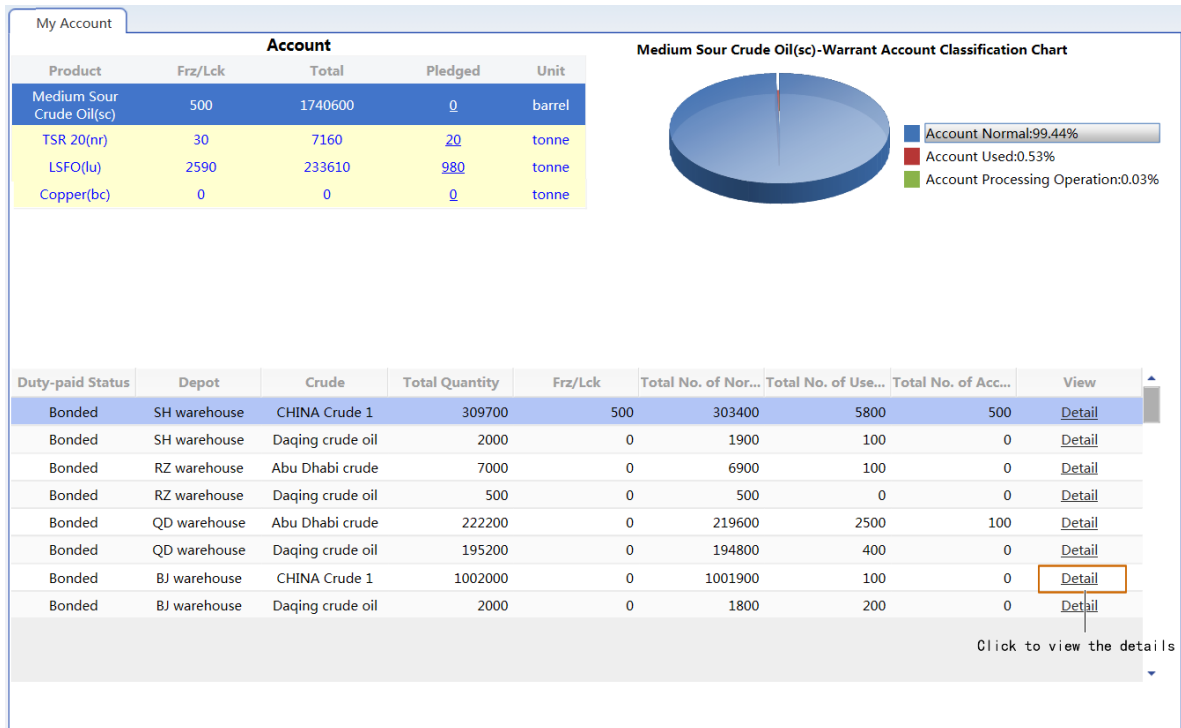
My Account

My Account is the default home page when an OSNBP logs in the System. My Account exhibits, in the form of graphics and forms, the quantity, property and the corresponding warrant business of the commodities held by the OSNBP.

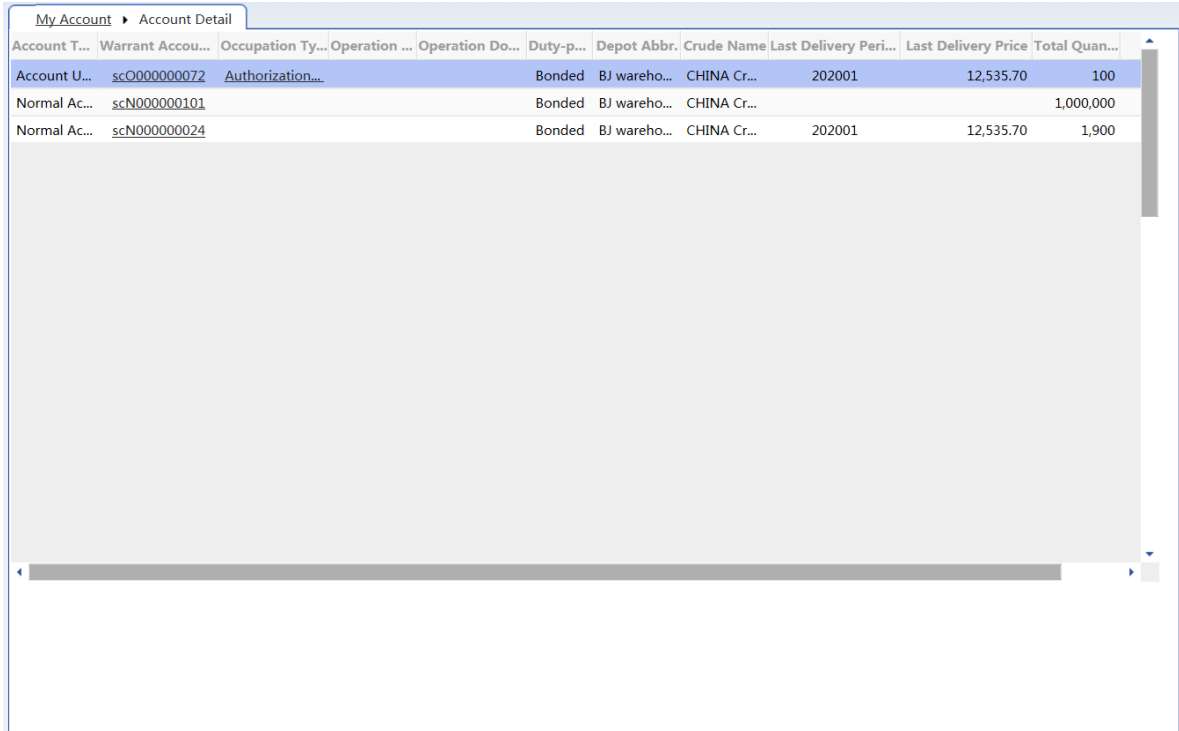


Note:

"Warrant Account" is a bookkeeping tool established by the Standard Warrant Management System of the Exchange for the standard warrant owners, reflecting the increase and decrease in the equity of standard warrant owners. Being configured according to the warrant operations and the essential property of commodities, each warrant account corresponds to a batch of commodities with the same property. Through a warrant account, a warrant owner may keep abreast of the quantity, property and the corresponding warrant operation of the commodities held by itself.



Click the "Details" link in the "View" column of an account to enter the details page. You may view the account details here, including the occupation situation and type of the warrant account as well as the corresponding warrant operation and quantity of the commodities.



Account T...	Warrant Accou...	Occupation Ty...	Operation ...	Operation Do...	Duty-p...	Depot Abbr.	Crude Name	Last Delivery Peri...	Last Delivery Price	Total Quan...
Account U...	scO000000072	Authorization...			Bonded	BJ wareho...	CHINA Cr...	202001	12,535.70	100
Normal Ac...	scN000000101				Bonded	BJ wareho...	CHINA Cr...			1,000,000
Normal Ac...	scN000000024				Bonded	BJ wareho...	CHINA Cr...	202001	12,535.70	1,900

To-do

As shown below, To-do Tasks present all tasks that need to be done by OSNBPs.

To Do

Search Criteria

Product: All Medium Sour Crude Oil TSR 20 LSFO Copper

Operation Type: All Load-in Margin Deposit Margin Withdrawal Delivery Warrant Transfer Warrant Load-out EFP Application
 Off-Exchange Pledge Registration Discharge of Off-Exchange Pledge Registration Warrant Revocation Prepaid storage fee
 Load-in Compensation Physicals Filing Physicals Filing Cancellation Create User Seller's delivery invoice
 Change Quality Inspection Date Modify Warrant Weight Overseas Delivery-Taking by Agreement Account/User Change
 Maintain the tax information of organizations in the VAT invoice section Warehouse transfer OTC online pledge
 Discharge OTC online pledge

Application No.:

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	EFP Applicat...	nr2300000001	Member submitted EFP application(initiated by Member...	EFP Application	20230817	13:55:09	20230817	13:55:09
TSR 20	EFP Applicat...	nr2300000002	Member submitted EFP application(initiated by Member...	EFP Application	20230817	13:55:27	20230817	13:55:27
TSR 20	EFP Applicat...	nr2300000003	Member submitted EFP application(initiated by Member...	EFP Application	20230817	13:55:57	20230817	13:55:57

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 and start handling the to-do tasks.

Task Tracking

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

Define the search criteria to find the specific task.

Task Tracking

Search Criteria

Product: **All** Crude Oil TSR 20 LSFO Copper

Operation Type: **All** Load-in Margin Deposit Margin Withdrawal Delivery Warrant Transfer Warrant Load-out EFP Application
 Off-Exchange Pledge Registration Discharge of Off-Exchange Pledge Registration Warrant Revocation Prepaid storage fee
 Load-in Compensation Physicals Filing Physicals Filing Cancellation Create User Seller's delivery invoice
 Change Quality Inspection Date Modify Warrant Weight Overseas Delivery-Taking by Agreement Account/User Change
 Maintain the tax information of organizations in the VAT invoice section Warehouse transfer OTC online pledge
 Discharge OTC online pledge

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 20230809 20230816

Search

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Discharge OT...	lu2300000376	Pending	Discharge OTC online pledge (initiated by Pledgee 6000710...	Pass reexami...	20230814	20230814
	LSFO	Discharge OT...	lu2300000377	Pending	Discharge OTC online pledge (initiated by Pledgee 6000710...	Pass reexami...	20230814	20230814
	Crude Oil	Off-Exchange...	sc8022300001	Pending	Off-Exchange Warrant Pledge (Pledgee 60007100 initiated, ...	Submit Off-E...	20230814	20230814

Page 1 / Total 11

Click the "Application No." to view the details of the operation.

Similar to To-do Tasks, you may define the search criteria 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.

Task Tracking > Archive of warrant transfers

Client (INE_88007001) Trading Member (INE_88007001) Client (INE_01654427) Trading Member Warehouse INE INE INE INE

Applied Approved Approved Buy-Side Trading Member approve the warrant transfer Approve warrant transfer Transfer Application examined by the Exchange Transfer Application examined by the Exchange Release Warrants Release Warrants (Confirm)

20200115 12:10 20200115 12:11 20200115 12:11





Transfer Info.

Warrant Transfer No.: nrbjc2000004
 Application Date: 20200115
 Product: TSR 20
 Client ID (Sell-side): 88007001
 Client ID (Buy-side): 01654427
 Trading Member ID (Sell-side): 7001
 Clearing Member ID (Sell-side): 7001
 Trading Member ID (Buy-side): 8008
 Clearing Member ID (Buy-side): 8008
 Status: Buy-Side confirmed transfer application
 Weight: 10.080
 Transfer Price: 9,260.00
 Note:

Confirmation Date: 20200115
 Depot: BJ warehouse
 Client Name (Sell-side): tst2013
 Client Name (Buy-side): shh
 Trading Member Abbr. (Sell-side): n7001
 Clearing Member Abbr. (Sell-side): n7001
 Trading Member Abbr. (Buy-side): 8008
 Clearing Member Abbr. (Buy-side): 8008
 Settlement Method: Settled by INE
 Total value: 93,110.47

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Depot	Premium/...	Premium/...	Place o
nrbjc0000909	nr2000000002	Bonded	Brand TSR...	-23.00	Productio...	Grade TSR...	0.01	Specificati...	BJ wareho...	0.14	0.00	Jing Yi

In the above Archive of Load-outs process, the meanings of different colors nodes are as follows:

-  : 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 OSNBPs 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

Crude Oil


TSR 20

LSFO

Copper

 **Load-in**
[Load-in Application](#)

 **Collateralization For Margin**
[Deposit](#) [Withdrawal](#)

 **EFP Delivery**
[EFP Application](#) [Submission of Warrants](#)
[Confirm Warrant Purchase](#) [EFP Intention](#) [Seller's Delivery Invoice](#)


 **Warrant Transfer**
[Transfer Application](#)

 **Prepaid Storage Fee**
[Storage Fee Prepayment Application](#)


 **SHFE OTC Platform transaction**
[Submit Quotation of Warrant Transfer](#)
[Withdraw Quotation of Warrant Transfer](#)

 **Warrant Authorization**
[Authorization](#) [Return of Authorization](#)

 **Delivery**
[Submit a Notice of Interest](#) [Submission of Warrants](#)
[Confirm Warrant Purchase](#) [Seller's Delivery Invoice](#)
[Check a Notice of Interest](#)

 **Off-Exchange Pledge**
[Off-Exchange Pledge Registration](#)
[Discharge of Off-Exchange Pledge](#)

 **Warrant Cancellation**
[Warrant Load-out](#) [Warrant Revocation](#)

 **Physicals Filing**
[Physicals Filing](#) [Physicals Filing Cancellation](#)

Crude Oil

TSR 20

LSFO

Copper



Load-in

[Load-in Application](#)



Collateralization For Margin

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



AFP Delivery

[AFP Application](#) [Submission of Warrants](#)
[Confirm Warrant Purchase](#) [AFP Intention](#) [Seller's Delivery Invoice](#)



Warrant Transfer

[Transfer Application](#)



Prepaid Storage Fee

[Storage Fee Prepayment Application](#)



Modify Warrant Weight

[Modify Warrant Weight](#)



Warrant Authorization

[Authorization](#) [Return of Authorization](#)



Delivery

[Submit a Notice of Interest](#) [Submission of Warrants](#)
[Confirm Warrant Purchase](#) [Seller's Delivery Invoice](#)
[Check a Notice of Interest](#)



Off-Exchange Pledge

[Off-Exchange Pledge Registration](#)
[Discharge of Off-Exchange Pledge](#)



Warrant Cancellation

[Warrant Load-out](#) [Warrant Revocation](#)



Change Quality Inspection Date

[Change Quality Inspection Date](#)



SHFE OTC Platform transaction

[Submit Warrant Auth](#) [OTC online pledge](#)
[Discharge OTC online pledge](#)
[Submit Quotation of Warrant Transfer](#)
[Withdraw Quotation of Warrant Transfer](#)

Crude Oil

TSR 20

LSFO

Copper



Load-in

Load-in Application



Collateralization For Margin

Deposit Withdrawal



EFP Delivery

EFP Application Submission of Warrants

Confirm Warrant Purchase EFP Intention

Seller's Delivery Invoice



Warrant Transfer

Transfer Application



Prepaid Storage Fee

Storage Fee Prepayment Application



Warrant Authorization

Authorization Return of Authorization



Delivery

Submit a Notice of Interest Submission of Warrants

Confirm Warrant Purchase Seller's Delivery Invoice

Check a Notice of Interest



Off-Exchange Pledge

Off-Exchange Pledge Registration Discharge of Off-Exchange Pledge



Warrant Cancellation

Warrant Load-out Warrant Revocation

Warrant Load-out (Factory Warehouse)

Overseas Delivery-Taking by Agreement Application



SHFE OTC Platform transaction

Submit Warrant Auth OTC online pledge

Discharge OTC online pledge Submit Quotation of Warrant Transfer

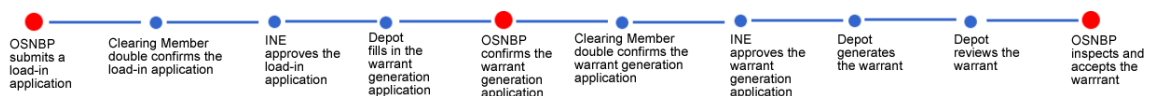
Withdraw Quotation of Warrant Transfer



Chapter 4 Load-in

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

The process nodes diagram for the load-in operation participated by an OSNBP is shown as below, starting from the load-in application initiated by the an OSNBP.



Note: In the above load-in process diagram, the OSNBP is required to authorize a Clearing Member to double confirm its operation since it cannot go through clearing business at the Exchange.

In the process of load-in, an OSNBP involves in three operation activities, including "Submit a Load-in Application", "Confirm a Warrant Generation Application" and "Warrant Inspection".

In addition, an OSNBP may "Print a Load-in Approval Notification" after the Exchange approves the load-in application submitted by the OSNBP.

Product: Medium Sour Crude Oil

Submit a Load-in Application

In the system, an OSNBP may submit a load-in application to initiate the load-in operation.

(1)

In the system navigation menu, select "New Task"--> "Load-in Application" to enter the page of load-in application and fill in the details.

(2)

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

The screenshot shows a web-based form titled "New Task" with a sub-tab "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 (88007001), Member (n7001(7001)), Crude, Country, Proposed Load-in Date, Source of Cargo, Client Name (tst2013), 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".

At the bottom center of the form is a yellow button with a downward arrow and the text "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 grey background indicates that it is not editable.

The OSNBP 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 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.



You need to wait for the approval of this load-in application by the Exchange after submitting the application successfully.

Task Tracking

Search the status of the load-in application in the page of "Task Tracking".

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
 	Medium Sou...	Load-in	sc2000000012	Pendi...	Load-in (Member 7001 initiated, Client ID 88007001, Quanti...	Load-in Appli...	20200108	20200108

Modify/Cancel Load-in Application

An OSNBP may click  or  in the operation column of an item in the page of "Task Tracking" to modify or cancel the load-in application before the approval or after the rejection of the application by the Exchange.

Print a Load-in Approval Notification

When a load-in application submitted by an OSNBP is approved by the Exchange, the OSNBP may print a Load-in Approval Notification in the page of Task Tracking.

(1)

In the Task Tracking, set the "Operation Type" in search criteria as "Load-in" to search the task.

(2)

Click the field of "Application No." of that task to open the details page of the Load-in Application Document as follows:

(3)

Click "Print Load-in Approval Notification" at the bottom of the page to enter the preview page of "Load-in Application/Approval Notice" as follows:

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

Designated Delivery Storage Facility:Beijing warehouse

Load-in Filing No.:sc2000000012

Customs Clearance Status	Bonded	Source of Cargo	Imported
Member ID	7001	Member Name	n7001
OSP ID		OSP Name	
Overseas Intermediary ID		Overseas Internediary Name	
Client ID	88007001	Client Name	tst2013
Grade of Crude	CHINA Crude 1	Origin	
Declared Futures Qty (barrel)	1000000	Declared Physical Qty (barrel)	0
Transportaion	Waterway	Country	Domestic
Port of Departure	Philippines-F012	Vehicle& Vessel No.	A0120
Proposed Load-in Date	20200108	Proposed Inspection Agency	Certificate Issue
Operator		Tel.	13012012010
Mobile	13012012010	Fax	01020120102
Load-in Deposit (Yuan)	6,000,000.00		
Remarks			

Notes:

Click "Print" to complete the printing as per the prompts.

Confirm a Warrant Generation Application

As for a whole load-in process, after the load-in application initiated by an OSNBP was double confirmed by a Clearing Member and then approved by the Exchange, the OSNBP is still required to confirm the warrant generation application completed by the depot.



(1)

After the warrant generation application is submitted by the depot, you may find the to-do task in the page of "To-do" of an OSNBP. The status of such a to-do task is "Warrant Generation Application Submitted".

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Load-in	sc1700000036	Load-in (Member 8302 initiated, Client ID 83028302, Q...	Warrant Gene...	20170530	21:41:10	20170627	01:35:49
Medium Sou...	Load-in	sc1700000054	Load-in (Member 8302 initiated, Client ID 83028302, Q...	Application Su...	20170713	21:50:58	20170713	22:09:12

(2)

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

To Do > Confirm Warrant Generation

Depot: BJC Place of Storage: j002

Port of Departure: Singapore Port of Departure (Port Name): P20511

(Country Name): Vehicle and Vessel No. of S10245

Transportation: In Storage Declaration:

Name: SLI Wang Telephone: 13000000000

Mobile: 13000000000 Fax: 01010000000

Note for Load-in Application:

Warrant Generation Application Information

the Inspection Agency: BJM Inspection Certificate No.: C202210001000

Actual Arrived Vehicle and Vessel No.: S10232 Actual Load-in Date: 20221111

Actual Load-in Quantity: 330000.00 Qty. can be Issued: 330000

Quality Inspection Result: Qualified Customs Document ID: 12012450031

Customs Amount: 100,000,000,000.00 Currency: RMB

Additional 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	Cerdocx	

✓ Approve
✗ Reject

Note: all information in the page of Confirm Warrant Generation shall be double checked.

(3)

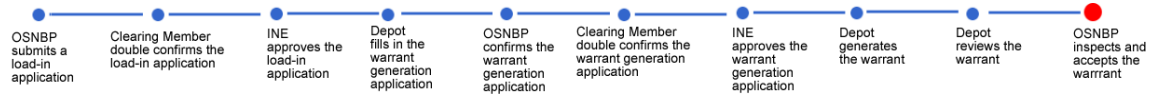
Perform the following steps at the lower part the page:

- Pass: Click the "Approve" button to confirm the warrant generation application and proceed to the next step of the entire process;
- Reject: Click the "Reject" button and fill in 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.

Warrant Inspection and Acceptance

In the entire load-in process, an OSNBP is required to finally inspect the warrant generated and reviewed by the depot.



(1)

You can find that to-do task in the page of "To-do" of OSNBPs after the depot generated and reviewed the warrant. The status of such a to-do task will be "Warrant Generation Review".

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Load-in	sc2000000012	Load-in (Member 7001 initiated, Client ID 88007001, Q...	Warrant Gene...	20200108	14:42:50	20200108	16:59:58

(2)

Click the "Application No." of that to-do task to enter the page of warrant inspection and acceptance.

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	Cerdocx	

Note: All information in the page of warrant inspection and acceptance shall be double checked.

(3)

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

- Pass: Click the "Approve" button to approve the warrant and complete the load-in process;
- Reject: Click the "Reject" button and fill in the review comments (the reason for the rejection). After being rejected and sent back to the depot, such a warrant can still be re-submitted by the depot after modification.

Product: TSR 20, Copper

The load-in process is the same for TSR 20 and Copper. This section describes the specific operations to be performed by an OSNBP 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

In the system, an OSNBP may submit a load-in application to initiate the load-in operation.

(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 OSNBP 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: [dropdown]

Client ID: 88007001

Brand: [dropdown]

Country: [dropdown]

Specification: [dropdown]

Declaration Warrant Count: [text box]

The Proposed Inspection Agency: [dropdown]

Duty-paid Status: Bonded

Member: n7001(7001)

Client Name: xog0535

Manufacture: [dropdown]

Grade: [dropdown]

Declaration Weight (tonne): [text box]

Proposed Load-in Date: [text box]

Transportation and Place of Storage

Depot: [dropdown]

Port of Departure (Region): [dropdown]

Transportation: [dropdown]

Place of Storage: [dropdown]

Port of Departure (Port Name): [text box]

Vehicle and Vessel No. of Declaration: [text box]

Operator

Name: [text box]

Mobile: [text box]

Telephone: [text box]

Fax: [text box]

Note

Note for Load-in Application: [text box]

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

OK

The Application Form consists of 4 sections. Please fill out all sections in sequence:

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



You need to wait for the approval of this load-in application by the Exchange after submitting the application successfully.

Task Tracking

Search the status of the load-in application in the page of "Task Tracking".

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Load-in	nr2000000003	Pendi...	Load-in (Member 7001 initiated, Client ID 88007001, Weight...	Load-in Appli...	20200109	20200109

Modify/Cancel Load-in Application

An OSNBP may click  or  in the operation column of an item in the page of "Task Tracking" to modify or cancel the load-in application before the approval or after the rejection of the application by the Exchange.

Print a Load-in Approval Notification

When a load-in application submitted by an OSNBP is approved by the Exchange, the OSNBP may print a Load-in Approval Notification in the page of Task Tracking.

(1)

In "Task Tracking", set the search criteria for "Product" to "TSR 20" and "Operation Type" to "Load-in" to search for the desired load-in operation.

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Load-in	nr2000000002	Pendi...	Load-in (Member 7001 initiated, Client ID 88007001, Weight...	Load-in Appli...	20200109	20200109

(2)

Click the field of "Application No." of that task to open the details page of the Load-in Application Document as follows:

Task Tracking > Load-in Application Detail

Trading Member (INE_88007001) INE(AEAT) Warehouse Trading Member INE Warehouse Warehouse Client

Applied Load-in Application Approved Load-in Application Submit filled warrant generation form Confirm Warrant Generation Approve warrant generation Fill in warrant generation form Warrant generation verification Inspect and Accept warrant

20200109 09:51 20200109 09:52

Application Info.

Load-in Application Form No.: nr2000000002

Product: TSR 20 Duty-paid Status: Bonded

Source of Cargo: Imported Client ID: 88007001

Client Name: tst2013 Member: n7001(7001)

Brand: Brand TSR20 Manufacture: Production plant

Country: Domestic Grade: Grade TSR20

Specification: Specification 1 Declaration Weight: 20000.000 (tonne)

Declaration Warrant Count: 2000 Proposed Load-in Date: 20200109

The Proposed Inspection Agency: Certificate Issue Depot: BJ warehouse

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

Port of Departure (Port Name): Transportation: Railway

Vehicle and Vessel No. of Declaration:

Name: Lily Telephone: 13021457412

Mobile: 13021457412 Fax: 01021014102

Note for Load-in Application:

[Print Load-in Approval Notification](#)

(3)

Click "Print Load-in Approval Notification" at the bottom of the page to enter the preview page of "Load-in Application/Approval Notice" as follows:

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

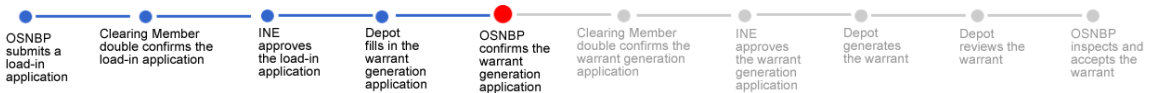
Load-in Filing No. :nr1900000024

Customs Clearance Status	Bonded	Source of Cargo	Imported
Member ID	7001	Member Name	n7001
OSP ID		OSP Name	
Overseas Intermediary ID		Overseas Intermediary Name	
Client ID	88007001	Client Name	tst2013
Designated Delivery Storage Facility	SHC	Place of Storage	SHC-portOFstorage1
Grade/Spec	nrGRADE02/nr-Specifacation01	Mfg	Manufacture2
Brand	nrbrand02		
Declaration Volume	200	Declaration Weight (tonne)	2000
Transportation	Waterway	Country	Domestic
Port of Departure	Singapore	Vehicle And Vessel No. of Declaration	
Proposed Load-in Date		Proposed Inspection Agency	TSR_CERT
Operator	LILI	Tel.	01021012012
Mobile	13201023014	Fax	01021012012
Remarks			

Click "Print" to complete the printing as per the prompts.

Confirm a Warrant Generation Application

As for a whole load-in process, after the load-in application initiated by an OSNBP was double confirmed by a clearing member and then approved by the Exchange, the OSNBP is still required to confirm the warrant generation application completed by the depot.



(1)

After the warrant generation application is submitted by the depot, you may find the to-do task in the page of "To-do" of an OSNBP. The status of such a to-do task is "Warrant Generation Application Submitted".

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr2000000002	Load-in (Member 7001 initiated, Client ID 88007001, W...	Application S...	20200109	09:51:28	20200109	10:07:03

(2)

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

To Do ▶ Confirm Warrant Generation

Port of Departure (Port Name): Transportation: Railway

Vehicle and Vessel No. of Declaration:

Name: Lily Telephone: 13021457412

Mobile: 13021457412 Fax: 01021014102

Note for Load-in Application:

Warrant Generation Application Information

Actual Arrived Vehicle and Vessel No.: Actual Load-in Date: 20200109

Actual Load-in Weight 20000.000 (tonne) : Max Warrants can be Issued: 1984

Production Date: 20200102 Quality Inspection Result: Qualified

Customs declaration No.: B20202000 Load-in Amount: 20000000.00

Currency: RMB

Application Notes:

Certificate of Load-in

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Storage Location L...	Scanning Copy Of Ch...	Note
Bill of lading	GH1		20200109	12345			
Approval of load-i...	GH2		20200109	1234			
Inspection certific...	HH1	10080.000	20200109	00109	x001,nr111	Chrysanthemum.jpg	

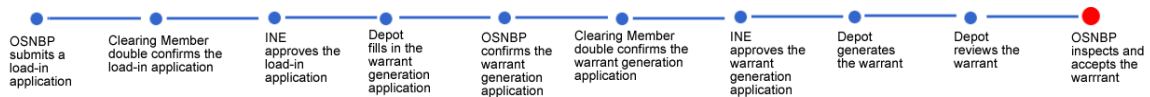
Note: all information in the page of Confirm Warrant Generation shall be double checked.

(3)

Perform the following steps at the lower part the page:

- Pass: Click the "Approve" button to confirm the warrant generation application and proceed to the next step of the entire process;
- Reject: Click the "Reject" button and fill in 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.

Warrant Inspection and Acceptance



In the entire load-in process, an OSNBP is required to finally inspect the warrant generated and reviewed by the depot.

(1)

You can find that to-do task in the page of "To-do" of OSNBPs after the depot generated and reviewed the warrant. The status of such a to-do task will be "Warrant Generation Review".

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr2000000002	Load-in (Member 7001 initiated, Client ID 88007001, W...	Warrant Gene...	20200109	09:51:28	20200109	10:19:52

(2)

Click the "Application No." of that to-do task to enter the page of warrant inspection and acceptance.

To Do ▸ Inspect and Accept warrant
 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	00109	x001,nr111	Chrysanthemum.jpg	

Warrant Info.

Warrant No.	Qty. of Generat...	Weight of Gen...	Quality inspecti...	Inspection Expi...	Production Date	Certificate	Storage Locatio...	Note of Warrant
nrbjc0000901-nrbjc0000...	10	100.800	20200109	20200706	20200102	C2020002001	b5000	

Total: 10 warrants, 100.800 tonne

Load-in Storage Fees

Start Date of Storage: 20200109
 Fees:
 Days of Storage: 64
 Warrant Generation
 Notes:

End Date of Storage Fees: 20200312

✓ Approve ✗ Reject

Note: All information in the page of warrant inspection and acceptance shall be double checked.

(3)

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

- Pass: Click the "Approve" button to approve the warrant and complete the load-in process;
- Reject: Click the "Reject" button and fill in the review comments (the reason for the rejection). After being rejected and sent back to the depot, such a warrant can still be re-submitted by the depot after modification.

Product: LSFO

This section describes the specific operations to be performed by an OSNBP at each process node for the load-in of LSFO. Operations shared with TSR 20 will not be repeated here; please refer to the section on TSR 20 above for details.

Submit a Load-in Application

In the system, an OSNBP may submit a load-in application to initiate the load-in operation.

(1)

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

(2)

The OSNBP 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: 88007001
 * Country:
 * Declaration Weight (tonne):
 Proposed Load-in Date:

* Duty-paid Status: Bonded
 * Member: n7001(7001)
 * Client Name: xog0535
 * 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)



The Application Form consists of 4 sections. Please fill out all the sections in sequence:

- **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. 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.



You need to wait for the approval of this load-in application by the Exchange after submitting the application successfully.

Task Tracking

Search the status of the load-in application in the page of "Task Tracking".

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
 	LSFO	Load-in	lu2000000012	Pendi...	Load-in (Member 7001 initiated, Client ID 88007001, Weight...	Load-in Appli...	20200108	20200108

Modify/Cancel Load-in Application

An OSNBP may click  or  in the operation column of an item in the page of "Task Tracking" to modify or cancel the load-in application before the approval or after the rejection of the application by the Exchange.

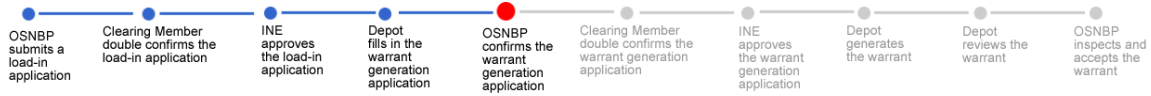
Print a Load-in Approval Notification

When a load-in application submitted by an OSNBP is approved by the Exchange, the OSNBP may print a Load-in Approval Notification 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.

Confirm a Warrant Generation Application

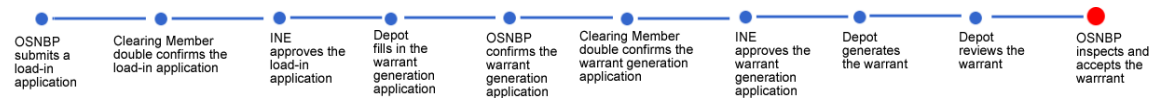
As for a whole load-in process, after the load-in application initiated by an OSNBP was double confirmed by a Clearing Member and then approved by the Exchange, the OSNBP is still required to confirm the warrant generation application completed by the depot.



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.

Warrant Inspection and Acceptance

In the entire load-in process, an OSNBP is required to finally inspect the warrant generated and reviewed by the depot.



Note: Warrant inspection and acceptance is also required for OSNBP during the factory warehouse load-in process. This process is outlined below. After warrant generation is approved by the factory warehouse, the OSNBP needs to inspect and accept the warrants.



The steps needed to inspect and accept warrants is the same for LSFO and TSR 20. Please refer to the relevant sections for TSR 20 for details.

Chapter 5 Warrant Authorization

Product: Medium Sour Crude Oil

Authorization

Authorization is divided into three types, namely Margin Collateral Authorization, Delivery Authorization and EFP Delivery Authorization.

(1)

In the system navigation menu, select "New Task" -->"Authorization" to enter the authorization page.

New Task > Authorization

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

Search

Warrant Account ID	Duty-paid...	Depot Abbr.	Crude Name	Last Delivery ...	Last Delivery Price	Available Qty.	Qty. Submitted

Authorization Institution: Authorization Type:

OK

(2)

Define the search criteria and find the warrant to be authorized.

New Task > Authorization

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

Search

Warrant Account ID	Duty-paid...	Depot Abbr.	Crude Name	Last Delivery ...	Last Delivery Price	Available Qty.	Qty. Submitted
<input type="checkbox"/>	scN000000009	Bonded	BJ Oil Storage	CHINA Crude 1		112889000	<input type="text" value="0"/>

Authorization Institution: Authorization Type:

OK

(3)

In the information of the warrant to be authorized, click the text box of "Quantity Submitted" to fill in the quantity (the quantity of the commodities to be authorized), or fill in the quantity in the popup drop-down sub-list as per the storage space and end date of storage fee.

New Task > Authorization

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

Q Search

Warrant Account ID	Duty-paid...	Depot Abbr.	Crude Name	Last Delivery ...	Last Delivery Price	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/>	scN000000009	Bonded	BJ Oil Storage	CHINA Crude 1		112889000	8000

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

- BjDepot 123 -- : 8000 / 112889000

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

- 20181212-20180630 : 8000 / 112889000

*Authorization Institution: *Authorization Type:

OK

Select the "Authorizing institution" and the "Authorization Type". Authorization is divided into three types, including Margin Collateral Authorization, Delivery Authorization and EFP Delivery Authorization. You may select the type of authorization accordingly. Click the "OK" button to submit the authorization.

Return of Authorization

(1)

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

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

Q Search

Document No. ...	Warrant Accoun...	Duty-paid Status	Depot Abbr.	Crude	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
------------------	-------------------	------------------	-------------	-------	---------------------	----------------------	----------------	----------------

OK

(2)

Define the search criteria and find the authorized warrant.

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

Q Search

Document No. ...	Warrant Accoun...	Duty-paid Status	Depot Abbr.	Crude	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
<input type="checkbox"/> sc1700000024	scO000010518	Bonded	BJ Oil Storage	CHINA Crude 1			60000	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

Q Search

Document No. ...	Warrant Accoun...	Duty-paid Status	Depot Abbr.	Crude	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/> sc1700000024	scO000010518	Bonded	BJ Oil Storage	CHINA Crude 1			60000	8000

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

- BJDpot 123 -- : 8000 / 60000

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

- 20181212-20180519 : 8000 / 60000

OK

Select the warrant for the return of authorization. Fill in the "Quantity Submitted", i.e. the quantity of the warrant for the return of authorization.

Click the "OK" button to return the authorization.

Product: TSR 20, LSFO, Copper

The process and steps for warrant authorization are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be performed by an OSNBP at each process node for warrant 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.

Authorization

Authorization is divided into three types, namely Margin Collateral Authorization, Delivery Authorization and EFP Delivery Authorization.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Warrant Authorization) Authorization" to enter the warrant authorization page for TSR 20.

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 Warrant No.:

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

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...
-------------	-----------------	---------------	-------	-------------	-------	----------------	-------	----------------

Page 1 / Total 1

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

Selected Warrants

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

Authorization Info.

* Authorization Institution: n7001 * Authorization Type:

(2)

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.

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 Warrant No.:

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

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...
<input checked="" type="checkbox"/>	nrbjc0002277	nr2000000002	Bonded	brand1	SCS1	PJ1	specificati...	SHRZ BJC1
<input checked="" type="checkbox"/>	nrbjc0025291	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1
<input type="checkbox"/>	nrbjc0025292	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1
<input type="checkbox"/>	nrbjc0025293	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1
<input type="checkbox"/>	nrbjc0025294	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1
<input type="checkbox"/>	nrbjc0025295	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1

Page 1 / Total 1

Available: 7 warrants, 614.880 tonne, Total: 7 warrants

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nrbjc0002277 Bonded
<input checked="" type="checkbox"/>	nrbjc0025291 Bonded

Authorization Info.

* Authorization Institution: n7001 * Authorization Type:

(3)

New Task ▸ Authorization

Search Criteria

Product: TSR 20 Duty-paid Status:

Brand:

Grade:

Depot:

Manufacture:

Specification:

Warrants of Automatic batch selection:

Warrant No.:

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...	
<input checked="" type="checkbox"/>	nrbjc0002277	nr2000000002	Bonded	brand1	SCS1	PJ1	specificati...	SHRZ	BJC1
<input checked="" type="checkbox"/>	nrbjc0025291	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1	
<input type="checkbox"/>	nrbjc0025292	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1	
<input type="checkbox"/>	nrbjc0025293	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1	
<input type="checkbox"/>	nrbjc0025294	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1	
<input type="checkbox"/>	nrbjc0025295	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1	

Page 1 / Total 1

Available: 7 warrants, 614.880 tonne, Total: 7 warrants

Selected Warrants S/U E

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nrbjc0002277 Bonded
<input checked="" type="checkbox"/>	nrbjc0025291 Bonded

Selected: 2 warrants, 110.880 tonne

Authorization Info.

* Authorization Institution: n7001 * Authorization Type:

- Delivery Authorization
- EFP Delivery Authorization
- Authorization For Margin Collaterals

Select the "Authorizing institution" and the "Authorization Type". Authorization is divided into three types, including Margin Collateral Authorization, Delivery Authorization and EFP Delivery Authorization. You may select the type of authorization accordingly. Click the "OK" button to submit the authorization.

Note: "Authorization Institution" does not need to be specified as it will be automatically completed by the System (namely the OSNBP's member ID).

Click the "OK" button to submit the authorization.

Return of Authorization

(1)

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

New Task ▶ Return of Authorization

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Authorization Type: Authorization For Margin Collaterals
 Client ID: 88007001
 Warrant No.:

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

Available Warrants

Warrant No.	Document N...	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

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

Selected: 0 warrants, 0.000 tonne

(2)

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 ▶ Return of Authorization

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Authorization Type: Authorization For Margin Collaterals
 Client ID: 88007001
 Warrant No.:

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

Available Warrants

Warrant No.	Document N...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot
<input checked="" type="checkbox"/>	nrbjc0002275	nr2300000001	nr2000000002	Bonded	brand1	SCS1	PJ1	specificati... SHRZ
<input type="checkbox"/>	nrbjc0002276	nr2300000001	nr2000000002	Bonded	brand1	SCS1	PJ1	specificati... SHRZ

Page 1 / Total 1

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

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nrbjc0002275 Bonded

Selected: 1 warrants, 10.080 tonne

After selecting the desired warrants, click "OK" button to return the authorization.

Chapter 6 Collateralization For Margin

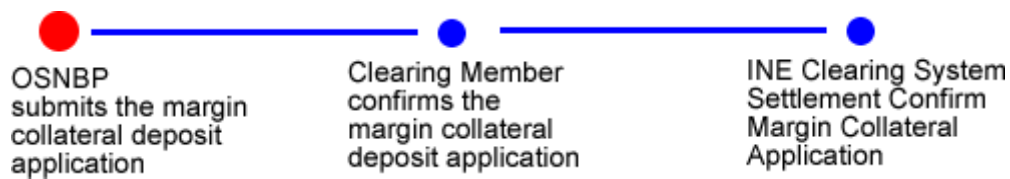
OSNBPs may apply to the Exchange for the deposit of standard warrants used as margin collateral at the Exchange. However, trading deficits, expenses and taxes of the OSNBPs must be settled with monetary funds.

OSNBPs are required to give authorization to relevant warrants prior to the deposit of margin collateral. See "chapter-5-warrant-authorization" for detailed operations.

Product: Medium Sour Crude Oil

Deposit of Margin Collateral

OSNBPs may select the authorized warrants and deposit them at the Exchange to use as margin collateral.



Note: (1) In the above process, the OSNBP is required to authorize a Clearing Member to double confirm the deposit application since it cannot go through clearing business at the Exchange. (2) OSNBPs can only submit the margin collateral deposit application within the time range specified by the Exchange.

(1)

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

(2)

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

New Task > Deposit

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

Search

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

Qty. Selected for Deposit:0

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

Note:

OK

(3)

Fill in the "Quantity Submitted" and then define the "Margin Type" at the bottom 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 all items, click the "OK" button to submit the application for deposit of margin collateral.

After submitting the deposit application, you need to wait for the confirmation by clearing member and the approval of the Clearing System of the Exchange.

Task Tracking

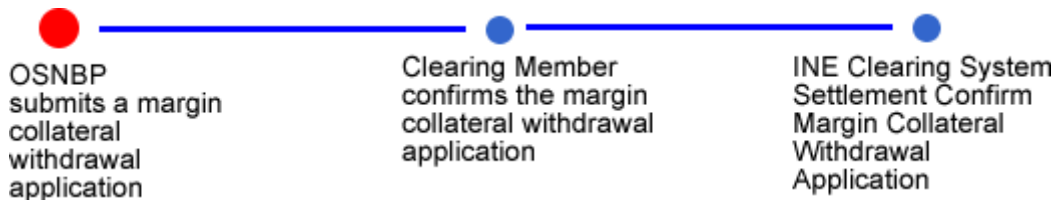
OSNBPs may search the task and its status in the page of Task Tracking after submitting the application for deposit of margin collateral.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Collateralizat...	sc1700000024	Pending	Collateralization for Margin - Deposit(initiated by Member ...	Apply for Ma...	20170713	20170713
	Medium Sou...	Collateralizat...	sc1700000013	Pending	Collateralization for Margin - Deposit(initiated by Member ...	Apply for Ma...	20170531	20170531

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

Withdrawal of Margin Collateral

Should an OSNBP use the standard warrants as margin collateral, it may go through the withdrawal procedures to retrieve the deposited standard warrants after paying sufficient margin.



Note: (1) In the above process, the OSNBP is required to authorize a clearing member to double confirm the withdrawal application since it cannot go through clearing business at the Exchange. (2) OSNBPs can only submits a margin collateral withdrawal application within the time range specified by the Exchange.

(1)

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

(2)

Define the search criteria and find the warrant to be withdrawn as margin collateral.

(3)

Select the warrants to be withdrawn as margin collateral and fill in the "Quantity Submitted". Then select the "Withdrawal Method" at the bottom of the page and complete the "Note" box.

Upon completion of all the items, click the "OK" button to submit the application for withdrawal of margin collateral.

After submitting the withdrawal application, you need to wait for the approval of the Clearing System of the Exchange.

Task Tracking

OSNBPs may search the task and its status in the page of Task Tracking after submitting the application for withdrawal of margin collateral.

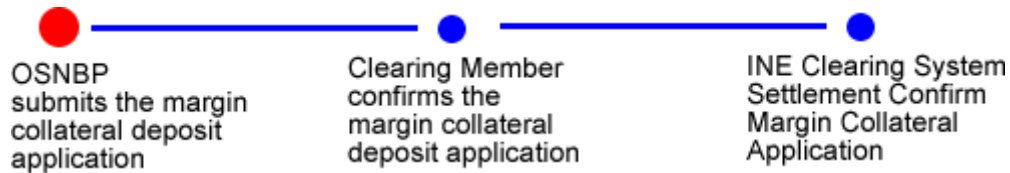
Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Margin With...	sc1700000013	Pending	Collateralization for Margin - Withdraw(initiated by Membe...	Margin With...	20170713	20170713
	Medium Sou...	Margin With...	sc1700000008	Pending	Collateralization for Margin - Withdraw(initiated by Membe...	Margin With...	20170531	20170531
	Medium Sou...	Margin With...	sc1700000006	Pending	Collateralization for Margin - Withdraw(initiated by Membe...	Margin With...	20170519	20170519

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 performed by an OSNBP 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

OSNBPs may select the authorized warrants and deposit them at the Exchange to use as margin collateral.



Note: (1) In the above process, the OSNBP is required to authorize a clearing member to double confirm the deposit application since it cannot go through clearing business at the Exchange. (2) OSNBPs can only submit the margin collateral deposit application within the time range specified by the Exchange.

(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.

New Task ▶ Deposit

Search Criteria

Product: TSR 20
Brand:
Grade:
Depot:
Warrant No.:

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

Available Warrants

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

Page 1 / Total 1

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

Selected Warrants S/U E

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

Selected: 0 warrants, 0.000 tonne

Deposit info.

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

Note:

(2)

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 ▶ Deposit

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 Warrant No.:

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

Available Warrants

Warrant No.	Document N...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	
<input checked="" type="checkbox"/>	nrbjc0002275	nr2300000001	nr2000000002	Bonded	brand1	SCS1	PJ1	specificati...	SHRZ
<input type="checkbox"/>	nrbjc0002276	nr2300000001	nr2000000002	Bonded	brand1	SCS1	PJ1	specificati...	SHRZ

Page 1 / Total 1

Available: 2 warrants, 20.160 tonne, Total: 2 warrants
 Selected: 1 warrants, 10.080 tonne

Deposit info.

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

Note:

Fill in the "Quantity Submitted" and then define the "Margin Type" at the bottom 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 all items, click the "OK" button to submit the application for deposit of margin collateral.

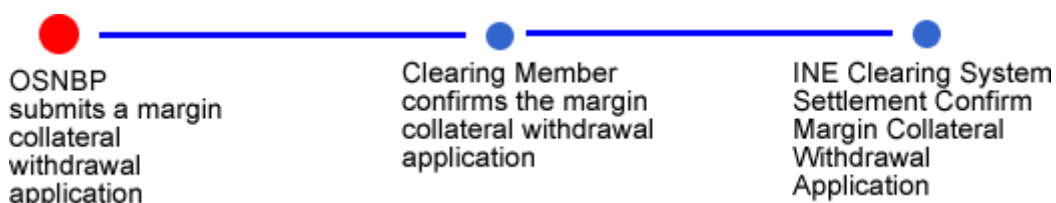
After submitting the deposit application, you need to wait for the confirmation by clearing member and the approval of the Clearing System of the Exchange.

Task Tracking

OSNBPs may search the task and its status in the page of Task Tracking after submitting the application for deposit of margin collateral.

Withdrawal of Margin Collateral

Should an OSNBP use the standard warrants as margin collateral, it may go through the withdrawal procedures to retrieve the deposited standard warrants after paying sufficient margin.



Note: (1) In the above process, the OSNBP is required to authorize a clearing member to double confirm the withdrawal application since it cannot go through clearing business at the Exchange. (2) OSNBPs can only submit a margin collateral withdrawal application within the time range specified by the Exchange.

(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: -
 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

Margin Withdrawal Info.

*Withdrawal Method:
 Note:

(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.

New Task > Withdrawal

Search Criteria

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

Duty-paid Status:
 Manufacture:
 Specification:
 Margin expiry date: -
 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...	SH wareh.
<input checked="" type="checkbox"/>	nr0210001982	nr2000000019	nr1900000025	Bonded	Brand TSR...	Productio...	Grade TSR...	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
<input checked="" type="checkbox"/>	nr0210001982

Selected: 2 warrants, 20.160 tonne

Margin Withdrawal Info.

*Withdrawal Method:
 Note:

Select the warrants to be withdrawn as margin collateral and fill in the "Quantity Submitted". Then select the "Withdrawal Method" at the bottom of the page and complete the "Note" box.

Upon completion of all the items, click the "OK" button to submit the application for withdrawal of margin collateral.

After submitting the withdrawal application, you need to wait for the approval of the Clearing System of the Exchange.

Task Tracking

OSNBPs may search the task and its status in the page of Task Tracking after submitting the application for withdrawal of margin collateral.

Chapter 7 Delivery

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

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

Product: Medium Sour Crude Oil

(Buyers) Submit a Notice of Interest

Once a contract enters the delivery stage, the buying OSNBP needs to submit its intention to buy, which is entered into the Delivery System for the assignment of deliverables.

(1)

In the system navigation menu, select "New Task" -->"Submit a Notice of Interest" to enter the page of "submit a notice of interest".From the submit buy intent page,users can add buy intent,modify buy intent and withdraw buy intent.

New Task ▸ Submit a Notice of Interest

Search Criteria

Contract: sc1410

Search

	Contract	Client ID	Client Name	First intention	Second intention	Third intention
<input type="checkbox"/>	sc1410	88007001	xog0535	Dutystatus:Duty-paid ;		

Page 1 / Total 1 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: 88007001

Client Name: xog0535

First intention: Dutystatus Warehouseregion Warehouse
Brand/Oil Brandregion

Second intention: Dutystatus Warehouseregion Warehouse
Brand/Oil Brandregion

Third intention: Dutystatus Warehouseregion Warehouse
Brand/Oil Brandregion

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: 88007001
 Client Name: xog0535

First intention: Dutystatus Warehouseregion Warehouse
 Brand/Oil Brandregion

Dutystatus:
 Warehouseregion:

Second intention: Dutystatus Warehouseregion Warehouse
 Brand/Oil Brandregion

Third intention: Dutystatus Warehouseregion Warehouse
 Brand/Oil Brandregion

Note:

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.

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 Brandregion

Dutystatus:

Second intention: Dutystatus Warehouseregion Warehouse
Brand/Oil Brandregion

Third intention: Dutystatus Warehouseregion Warehouse
Brand/Oil Brandregion

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.

(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 OSNBP needs to review a buy intent after it submits 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

Search

	Contract	Client ID	Client Name	First intention	Second intention	Third intention
<input type="checkbox"/>	sc1410	88007001	xog0535	Dutystatus:Duty-paid ;		

Page 1 / Total 1 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

Search

	Contract	Client ID	Client Name	First intention	Second intention	Third intention
<input checked="" type="checkbox"/>	sc1410	88007001	xog0535	Dutystatus:Duty-paid ;		

Page 1 / Total 1 1 Go to

Submit

(Sellers) Submit a Warrant

When entering the contract delivery period, sell-side OSNBPs will submit the declaration of commodities authorized for delivery in accordance with the sell-side delivery information generated by the clearing system.

(1)

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

The contract information at the top the same page is the delivery information generated by the clearing system. Perform the following steps of delivery as per this information:

The screenshot shows the 'Submission Of Warrant' page. At the top, there is a breadcrumb 'New Task > Submission Of Warrant'. Below this is the 'Contract Info.' section with the following details: Contract: sc1703, Qty. to Be Delivered: 12000, Qty. Submitted: 0, and Remaining Quantity: 12000. The 'Search Criteria' section includes filters for Duty-paid Status (All, Bonded, Duty-paid), Depot (All, SHC, BJ Oil Storage), and Crude (All, Crude 2, CHINA Crude 1). A search button is located below the criteria. A table with columns: Warrant Authori..., Duty-paid..., Client Name, Depot Ab..., Crude Name, Last Delivery Per..., Last Delivery Price/Available ..., and Qty. Submitted is present but empty. At the bottom, summary statistics show: Total Available Qty.:0, Bonded Available Qty.:0, Total Submitted Qty.:0, and Bonded Commodity Submitted Qty.:0.

(2)

Define the search criteria and find the authorized warrants to be sold.

The screenshot shows the 'Submission of Warrants' page. The 'Contract Info.' section is identical to the previous screenshot. The 'Search Criteria' section is also identical. The search results table now contains two rows: one with a checkbox and 'Qty. Submitted' of 0, and another with a checked checkbox and 'Qty. Submitted' of 12000. Below the table, there are instructions: 'Please select by product property - Storage Location : Qty. Submitted/Qty. Available' with a dropdown showing '12000 / 12000', and 'Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available' with a dropdown showing '12000 / 12000'. Summary statistics at the bottom show: Total Available Qty.:24000, Bonded Available Qty.:24000, Total Submitted Qty.:12000, and Bonded Commodity Submitted Qty.:12000. A yellow 'Submit' button is located at the bottom center.

(3)

Select the warrants to be submitted and fill in the quantity for delivery.

Click the "Submit" button to submit the warrants.

(Buyers) Confirm a Warrant

Buy-side OSNBPs are required to confirm the buy-side warrants allocated by the system after submitting the notice of interest and going through the delivery matching in the delivery system.

(1)

In the system navigation menu, select "New Task" -->"Confirm Warrant Purchase (Delivery)" to enter the page of confirmation of warrant purchase.

(2)

Input the contract, and then the system will automatically display the data such as Delivery Quantity (Buy), Delivery Amount, Quantity Allocated and Quantity Unallocated.

Define the search criteria and find the warrants to be confirmed.

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

Search

	Product	Duty-paid ...	Depot Abbr.	Crude Name	Tank No.	Delivery Qty. (Buy)	Allocation of Delivery A...
<input type="checkbox"/>	CrudeOil	Bonded	BJ Oil Storage	CHINA Crude 1	--	13000	420,021.00

Total Available Qty.:13000 Bonded Available Qty.:13000 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0
Total value of the buy-sell delivery product: 0

(3)

Select the warrants to be confirmed.

Click the "Submit" button to submit your confirmation.

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 performed by an OSNBP 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, the buying OSNBP needs to submit its intention to buy, which is 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 OSNBP 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 entering the contract delivery period, sell-side OSNBPs will submit the declaration of commodities authorized for delivery in accordance with the sell-side delivery information generated by the clearing system.

(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 contract information at the top the same page is the delivery information generated by the clearing system. Perform the following steps of delivery as per this information:

The screenshot displays the 'Submission of Warrants' interface. At the top, the breadcrumb navigation shows 'New Task' > 'Submission of Warrants'. The 'Contract Info.' section indicates Contract: nr1408, Qty. to Be Delivered (tonne): 1000, Qty. Submitted (tonne): 350, and Remaining Quantity (tonne): 650. The 'Search Criteria' section includes dropdown menus for Brand, Grade, Depot, Duty-paid Status, Manufacture, Specification, and Warrants of Automatic batch selection, along with a text input for Warrant No. Below the search criteria are 'Search' and 'Automatic batch select' buttons. The 'Available Warrants' table is currently empty, with columns for Warrant No., Duty-paid, Brand, Grade, Manufacture, Specification, Depot, Place of St., Country, and Ef. The 'Selected Warrants' table is also empty, with columns for Warrant No., Duty-paid, and S/U. At the bottom, there is a 'Submit' button and status indicators: 'Available: 0 warrants, 0.000 tonne, Total: 0 warrants' and 'Selected: 0 warrants, 0.000 tonne'.

(2)

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.

Note: Warrants to be sold will only show up in the search results if there is authorization.

New Task ▸ Submission of Warrants

Contract Info.

Contract: nr1408
 Qty. to Be Delivered(tonne): 1000 Qty. Submitted (tonne): 350 Remaining Quantity(tonne): 650

Search Criteria

Product: TSR 20 Duty-paid Status:

Brand:

Grade:

Depot:

Warrant No.:

Manufacture:

Specification:

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 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

(3)

Click the "Submit" button to submit the warrants.

Following submission, the OSNBP also needs to ask the corresponding Clearing Member to approve the request.

(Buyers) Confirm a Warrant

Buy-side OSNBPs are required to confirm the buy-side warrants allocated by the system after submitting the notice of interest and going through the delivery matching in the delivery system.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Delivery) Confirm Warrant Purchase" to enter the page for confirming purchase of TSR 20 warrants.

New Task > Confirm Warrant Purchase

Contract Info.

Contract:

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

Search Criteria

Product: TSR 20 Duty-paid Status:

Brand:

Grade:

Depot:

Manufacture:

Specification:

Warrant No.: -

Q Search

Available Warrants								Selected Warrants		
Warrant No.	Duty-paid ...	Brand	Grade	Manufacture	Specification	Depot	Place of St...	Delivery Settle...	Warrant No.	Duty-paid ...

Page 1 / Total 1 1 Go to

Standard warrants: 0 warrants, 0.000 tonne, Total amount: 0.00 Selected warrants: 0 warrants, 0.000 tonne, Total amount: 0.00

Submit

(2)

Select the contract, and then the system will automatically display the data such as Delivery Quantity (Buy), Delivery Amount, Quantity Allocated and Quantity Unallocated.

Define the search criteria and find the warrants to be confirmed.

New Task > Confirm Warrant Purchase

Contract Info.

Contract: nr1908

Delivery Qty. (Buy) 100 (tonne): Delivery Amount: 20,462.40 Allocated Qty.(tonne): 0 Unallocated Quantity 100 (tonne):

Search Criteria

Product: TSR 20 Duty-paid Status:

Brand:

Grade:

Depot:

Manufacture:

Specification:

Warrant No.: -

Q Search

Available Warrants								Selected Warrants		
Warrant No.	Duty-paid ...	Brand	Grade	Manufacture	Specification	Depot	Place of St...	Delivery Settle...	Warrant No.	Duty-paid ...

Page 1 / Total 0 1 Go to

Standard warrants: 0 warrants, 0.000 tonne, bonded incl: 0 warrants, 0.000 tonne. Total amount: 0.00 Selected warrants: 0 warrants, 0.000 tonne, bonded incl: 0 warrants, 0.000 tonne. Total amount: 0.00

Submit

(3)

New Task ▸ Confirm Warrant Purchase

Contract Info.

Contract: nr1908

Delivery Qty. (Buy) 100 (tonne) Delivery Amount: 20,462.40 Allocated Qty.(tonne): 0 Unallocated Quantity 100 (tonne):

Search Criteria

Product: TSR 20 Duty-paid Status:

Brand:

Grade:

Depot:

Manufacture:

Specification:

Warrant No.:

Q Search

Available Warrants										Selected Warrants			
Warrant No.	Duty-paid ...	Brand	Grade	Manufacture	Specification	Depot	Place of St...	Country	Effe	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr0010000105	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20	<input checked="" type="checkbox"/>	nr0010000105	Bonded
<input checked="" type="checkbox"/>	nr0010000106	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20	<input checked="" type="checkbox"/>	nr0010000106	Bonded
<input checked="" type="checkbox"/>	nr0010000107	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20	<input checked="" type="checkbox"/>	nr0010000107	Bonded
<input type="checkbox"/>	nr0010000108	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/>	nr0010000109	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/>	nr0010000110	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20			
<input type="checkbox"/>	nr0010000111	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20			

Page 1 / Total 1 Go to

Available: 10 warrants, 100.800 tonne, incl. Bonded: 10 warrants, 100.800 tonne; Total: 10 warrants Selected: 3 warrants, 30.240 tonne, incl. Bonded: 3 warrants, 30.240 tonne

Select the warrants to be confirmed. Click the "Submit" button to submit your confirmation.

Chapter 8 EFP Delivery

This Chapter describes the operation of EFP by OSNBPs.

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 is approved by the Exchange, both the buyers and sellers will have their respective positions in such contract closed out by the Exchange at the price prescribed by the Exchange. And sellers will submit the authorized warrants to the Exchange within prescribed period to proceed to the process of EFP delivery.

Product: Medium Sour Crude Oil

Submit an EFP Application

After a buyer and a seller make an agreement, either side may submit the EFP application with this function. The following is a process node diagram that shows OSNBPs act as the initiating parties who submit the EFP application.



(1)

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

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?: <input checked="" type="radio"/> Standard <input type="radio"/> Non-Standard	* Settlement Method: settlement via the Exchange
* Contract: <input type="text"/>	* Side of Initiation: <input type="text"/>
* Delivery Qty: <input type="text"/>	* Final Settlement Price: 300.00
* Member ID (Buy-side): <input type="text"/>	* Member ID (Sell-side): <input type="text"/>
Client ID (Buy-side): <input type="text"/>	Client ID (Sell-side): <input type="text"/>
Client Name (Buy-side): <input type="text"/>	Client Name (Sell-side): <input type="text"/>
Buy Position Type: <input type="text"/>	Sell Position Type: <input type="text"/>
delivery venues for non-standard warrants: <input type="text"/>	
crude 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: 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: **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
 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.

Confirm an EFP Application

When counterparty members submit the EFP application as agreed upon, OSNBPs are required to confirm the EFP application.



(1)

OSNBPs may search and view that to-be-confirmed EFP application in "To-do Tasks".

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	EFP Applicat...	sc1700000027	Member submitted EFP application(initiated by Member...	EFP Applicati...	20170717	00:35:57	20170717	00:35:57

(2)

Click the field of "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

* EFP Application No.: sc1800000014	* Declaration Date: 20181012
* Standard Warrant?: Standard	* Settlement Method: settlement via the Exchange
* Contract: sc1812	Status: EFP Application
* Delivery Qty.: 200000	* Final Settlement Price: 14,204.40
* 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:

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.

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)

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.

Select the position type of the counterparty, and perform the following steps at the lower part of the page:

- Pass: Click the "Approve" button to confirm the EFP application submitted by the counterparty. And the process enters the node of the approval by the Exchange.
- Reject: Click the "Reject" button to reject the EFP application submitted by the counterparty.

Such EFP application, after confirmation, needs to be approved by the Exchange.

(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 OSNBPs may use this function to submit the warrants for the EFP delivery.

Note: Before submitting the warrants, OSNBPs are required to perform the EFP delivery authorization on the warrants for delivery. See chapter-5-warrant-authorization" for details.

(1)

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

(2)

Define the search criteria and find the authorized warrant for delivery.

New Task ▶ Submission of Warrants

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

Q Search

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

Total Available Qty.:5000 Bonded Available Qty.:5000 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0

Transaction Information

EFP Application No.: Filled Order No.:

Transaction Qty.: Transaction Price:

Submit

(3)

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

Fill in the "EFP Application No." at the lower part of the page. If you select the "Filled Order No." by the drop down box, such data as transaction quantity and price will be automatically displayed in the system.

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

(Buyers) Confirm a Warrant

Buy-side OSNBPs in EFP are required to confirm the buy-side warrants after the sell-side warrants were submitted by the sellers and matched in the delivery system.

(1)

In the system navigation menu, select "New Task" --> "(EFP Delivery) Confirm Warrant Purchase" to enter the page of confirming the warrant.

(2)

Input the "EFP Application No." and click the enter key to display the EFP information as follows:

New Task ▶ Confirm Warrant Purchase.

Buy-Side EFP Delivery Allocation

EFP Application No.:

EFP Info.

Product: sc

Delivery date: 20170517 Delivery Price: 12,535.70 Delivery Qty.: 4000

Sell-side Member ID: 7003 Sell-side Client ID: 81000059 Buy-side Client ID: 88007001

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.	Delivery Qty. (Buy)	Buy-side Delivery Value
----------------	-------------	------------	----------	---------------------	-------------------------

(3)

Define the search criteria and find the warrant to be confirmed.

Search Criteria

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

Search

	Duty-paid S...	Depot Abbr.	Crude Name	Tank No.	Delivery Qty. (Buy)	Buy-side Delivery Value
<input type="checkbox"/>	Bonded	BJ Oil Storage	CHINA Crude 1	--	4000	420,021.00

Total Available Qty.:4000 Bonded Available Qty.:4000 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0
Total value of the buy-sell delivery product: 0

Submit

Select the to-be-confirmed warrant.

Click the "Submit" button to submit your confirmation.

EFP Intention

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

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

Search Criteria

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

More

Search

EFP Intention ...	Contract	Client ID	Buy/Sell	Quantity	Status of ...	Contact Person	Tel.	Email	Fax	Recorder
-------------------	----------	-----------	----------	----------	---------------	----------------	------	-------	-----	----------

+ Add ↓ Issue 🗑 Delete ↺ Cancel

Page 1 / Total 1 1 Go to

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 screenshot displays the 'EFP Intention' search interface. At the top, the breadcrumb 'New Task > EFP Intention' is visible. Below it, the 'Search Criteria' section contains the following fields: 'Product: Medium Sour Crude Oil', 'Contract:' (an empty text box), 'Buy/Sell: All Buy Sell' (with 'All' highlighted in orange), and 'Status: All Initial Issued Cancelled Deleted' (with 'All' highlighted in orange). A 'More' dropdown menu is located to the right of the status field. A 'Search' button is positioned below the criteria. The main area is a table with the following columns: 'EFP Intention ...', 'Contract', 'Client ID', 'Buy/Sell', 'Quantity', 'Status of ...', 'Contact Person', 'Tel.', 'Email', 'Fax', and 'Recorder'. The table is currently empty. At the bottom of the interface, there are four buttons: '+ Add', 'Issue', 'Delete', and 'Cancel'. To the right of these buttons, the pagination information 'Page 1 / Total 1' is shown, along with a 'Go to' field containing the number '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:

*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

You may modify the EFP intentions in the "Initial" status.

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

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

Delete an EFP Intention

You may delete the EFP intentions in the "Initial" status. 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

You may cancel the EFP intentions in the "Posted" status.

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 OSNBP 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, either side may submit the EFP application with this function. The following is a process node diagram that shows OSNBPs act as the initiating parties who submit the EFP application.



(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 (Buy-side): <input type="text"/>	* Member ID (Sell-side): <input type="text"/>
Client ID (Buy-side): <input type="text"/>	Client ID (Sell-side): <input type="text"/>
Client Name (Buy-side): <input type="text"/>	Client Name (Sell-side): <input type="text"/>
Buy Position Type: <input type="text"/>	Sell 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:

* Settlement Method:

* Standard Weight(tonne):

* Delivery Price:

* Direction:

Warrant Count(warrants):

* 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:

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:

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.

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.

Confirm an EFP Application

When counterparty members submit the EFP application as agreed upon, OSNBPs are required to confirm the EFP application.



(1)

OSNBPs may search and view that to-be-confirmed EFP application in "To-do Tasks".

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
20 RN	EFP Applicat...	nr1900000005	Member submitted EFP application(initiated by Membe...	EFP Application	20190806	09:17:52	20190806	09:17:52

(2)

Click the field of "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

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:

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:

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.

Input the Client ID and Client Name of Sell-side, then select the position type of the counterparty, and perform the following steps at the lower part of the page:

- Pass: Click the "Approve" button to confirm the EFP application submitted by the counterparty. And the process enters the node of the approval by the Exchange.
- Reject: Click the "Reject" button to reject the EFP application submitted by the counterparty.

Such EFP application, after confirmation, needs to be approved by the Exchange.

(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 OSNBPs may use this function to submit the warrants for the EFP delivery.

Note: Before submitting the warrants, OSNBPs are required to perform the EFP delivery authorization on the warrants for delivery. See "chapter-5-warrant-authorization" for details.

(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.

The screenshot shows a web application interface for submitting warrants. At the top, there is a breadcrumb trail: "New Task" > "Submission of Warrants". Below this is a "Transaction Information" section with fields for "EFP Application No.", "Filled Order No.", "Contract", "Standard Weight", and "Transaction Price".

The "Search Criteria" section contains several dropdown menus and text boxes: "Product" (set to "TSR 20"), "Duty-paid Status", "Brand", "Grade", "Warrants of Automatic batch selection", "Client code", "Depot", "Manufacture", "Specification", and "Warrant No.".

Below the search criteria are buttons for "Search", "Automatic batch select", and "Hide".

The main area is divided into two tables: "Available Warrants" on the left and "Selected Warrants" on the right. Both tables have columns for "Warrant No.", "Duty-paid ...", "Brand", "Grade", "Manufact...", "Specificati...", "Depot", "Place of St...", and "Col...". The "Available Warrants" table is currently empty. The "Selected Warrants" table is also empty.

At the bottom left, there is a pagination control showing "Page 1 / Total 1" and a "Go to" button. Below this, it says "Available: 0 warrants, 0.000 tonne, Total: 0 warrants". At the bottom right, it says "Selected: 0 warrants, 0.000 tonne". A prominent yellow "Submit" button is centered at the bottom.

(2)

In "Transaction Information", fill in the "EFP Application No." and select the appropriate "Filled Order No.". This will automatically display the contract and delivery information under "Transaction Information"; the System will also fill in the product and client ID fields in "Search Criteria".

New Task ▸ Submission of Warrants

Transaction Information

• EFP Application No.: nr190000003 • Filled Order No.: 1002
 Contract: nr1405 Standard Weight:(tonne): 100 Transaction Price: 10,118.00

Search Criteria

• Product: TSR 20 • Client code: 88007001
 Duty-paid Status: Depot:
 Brand: Manufacture:
 Grade: Specification:
 Warrants of Automatic batch selection: Warrant No.:

Search Automatic batch select Hide ▲

Available Warrants											Selected Warrants S/U E	
Warrant No.	Duty-paid ...	Brand	Grade	Manufact...	Specificati...	Depot	Place of St...	Country	Eff...	Warrant No.	Duty...	
(Empty table)												

Page 1 / Total 1 1 Go to

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

Submit

(3)

Define the search criteria to search for available warrants to be submitted, select the warrants to be sold, and click the “Submit” button to submit them.

New Task ▸ Submission of Warrants

Transaction Information

• EFP Application No.: nr190000003 • Filled Order No.: 1002
 Contract: nr1405 Standard Weight:(tonne): 100 Transaction Price: 10,118.00

Search Criteria

• Product: TSR 20 • Client code: 88007001
 Duty-paid Status: Depot:
 Brand: Manufacture:
 Grade: Specification:
 Warrants of Automatic batch selection: Warrant No.:

Search Automatic batch select Hide ▲

Available Warrants											Selected Warrants S/U E		
Warrant No.	Duty-paid ...	Brand	Grade	Manufact...	Specificati...	Depot	Place of St...	Country	Eff...	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr0010000124	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20	<input checked="" type="checkbox"/>	nr0210001981	Bonded
<input checked="" type="checkbox"/>	nr0010000125	Bonded	nrBrand01	nrGRADE01	Manufact...	nr-Specifa...	SHC	SHC-port...	Domestic	20	<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

(Buyers) Confirm a Warrant

Buy-side OSNBPs in EFP are required to confirm the buy-side warrants after the sell-side warrants were submitted by the sellers and matched in the delivery system.

(1)

New Task > Confirm Warrant Purchase

Transaction Information

• EFP Application No.: Filled Order No.:
 Contract: nr1405 Standard Weight: 100 Delivery Price: 10,118.00
 Member ID (Sell-side): 7003 Client ID (Sell-side): 60010012 Client ID (Buy-side): 88007001

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 Go to

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 to-be-confirmed warrant. Click the "Submit" button to submit your confirmation.

EFP Intention

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

New Task > EFP Intention

Search Criteria

Product: TSR 20
 Contract:
 Buy/Sell: Buy Sell
 Status: Initial Issued Cancelled Deleted

EFP Intention ...	Contract	Client ID	Buy/Sell	Weight	Status of ...	Contact Person	Tel.	Email	Fax	Records
<input type="checkbox"/>	nr1908000002	nr1405	88007001	Buy	1000	Initial	11	13010210210		20190

Page 1 / Total 1 Go to

An OSNBP may "Search", "Add", "Issue", "Delete", or "Cancel" an 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 screenshot shows a web application interface for EFP Intention. At the top, there is a breadcrumb "New Task > EFP Intention". Below it is a "Search Criteria" section with the following fields: "Product: TSR 20", "Contract:" (empty), "Buy/Sell:" with radio buttons for "All", "Buy", and "Sell", and "Status:" with radio buttons for "All", "Initial", "Issued", "Cancelled", and "Deleted". A "More" dropdown menu is also present. A "Search" button is located below the criteria. The search results are displayed in a table with the following columns: EFP Intention ..., Contract, Client ID, Buy/Sell, Weight, Status of ..., Contact Person, Tel., Email, Fax, and Record. The table contains one row with the following data: nr190800002, nr1405, 88007001, Buy, 1000, Initial, 11, 13010210210, and 20190. Below the table, there are four buttons: "+ Add", "Issue", "Delete", and "Cancel". At the bottom right, there is a pagination bar showing "Page 1 / Total 1" and a "Go to" button.

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: nr1511

*Buy/Sell:

*Weight (tonne) :

*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

You may modify the EFP intentions in the "Initial" status.

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

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

Delete an EFP Intention

You may delete the EFP intentions in the "Initial" status. 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

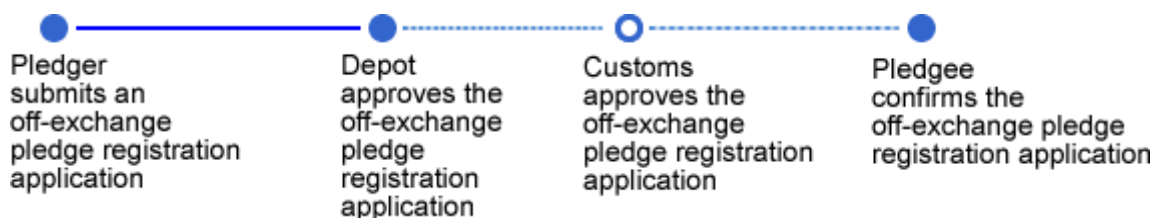
You may cancel the EFP intentions in the "Posted" status.

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

Chapter 9 Off-exchange Pledge Registration

This Chapter describes the off-exchange pledge registration of OSNBPs.

Off-exchange pledge refers to the process that the pledger pledges the commodities in warrant account to the pledgee. The following is a process node diagram for the off-exchange pledge registration. The pledger applies to the Designated Delivery Storage Facility for the approval of off-exchange pledge. In the event of bonded warrant, such a pledge is subject to the further approval of customhouse, and will finally be confirmed by the pledgee.

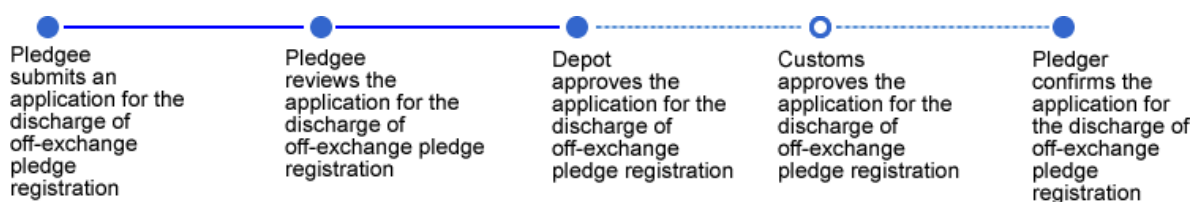


Note

- As for off-exchange pledge, the pledger and pledgee will enter into a separate pledge contract which indicates the details of the underlying commodity, and submit the copy of the pledge contract to the Designated Delivery Storage Facility for archive.
- Pledger shall pay off the storage charges prior to the off-exchange pledge registration. No delivery, transfer or withdrawal of the underlying commodities is allowed after the off-exchange pledge registration.

After the pledger repays the debt, the pledgee may apply for the discharge of the off-exchange pledge registration. The pledgee may discharge the pledge on the commodities in the warrant account of pledger, in whole or in part.

The following is a process node diagram for the discharge of the off-exchange pledge registration. As for the discharge of the off-exchange pledge registration, the pledgee will apply to the Designated Delivery Storage Facility for approval. In the event of bonded warrant, it is also subject to the further approval of customhouse, and will finally be confirmed by the pledger. Please note that the bonded warrants pledged in a single contract can only be discharged as a whole.



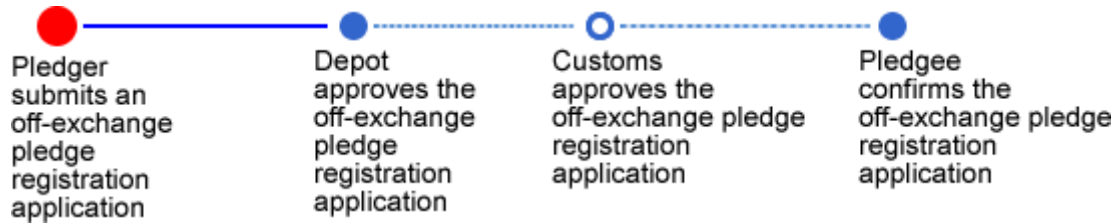
Note: The pledgee's application to discharge the off-exchange pledge registration is required to be reviewed.

Product: Medium Sour Crude Oil

Off-Exchange Pledge Registration

OSNBPs may participate in the off-exchange pledge either as a pledger or a pledgee.

The process node diagram for the off-exchange pledge in which OSNBPs act as the pledger is as shown below. The pledge registration process is initiated by OSNBPs.



The process node diagram for the off-exchange pledge in which OSNBPs act as the pledgee is as shown below. OSNBPs confirm the off-exchange pledge registration initiated by the pledger and approved by the Designated Delivery Storage Facility and the Customs (in case of bonded commodities).



(Pledger) Submit the Application for Off-Exchange Pledge Registration

(1)

In the system navigation menu, select "New Task" -->"Off-Exchange Pledge Registration" to enter the page of off-exchange pledge registration.

(2)

Search the warrants for the off-exchange pledge registration.

The screenshot shows a web application interface for "Off-Exchange Pledge Registration". At the top, there is a breadcrumb "New Task > Off-Exchange Pledge Registration". Below this is a "Search Criteria" section with several filters: "Product" set to "Medium Sour Crude Oil", "Duty-paid Status" with "Bonded" and "Duty-paid" options, "Depot" set to "SHC" and "BJ Oil Storage", and "Crude" with "All", "Crude 2", and "CHINA Crude 1" options. A "Search" button is located below the filters. Underneath is a table with columns: "Warrant Account...", "Product", "Duty-paid Status", "Depot Abbr.", "Crude Name", "Last Delivery Pe...", "Last Delivery Pri...", "Available Qty.", and "Qty. Submitted". The table area is currently empty. At the bottom of the interface is an "Information of Off-Exchange Pledge Registration" section with input fields for "Pledgee ID:", "Pledgee Name:", and "Note on Pledge:". An "OK" button is positioned at the bottom center.

(3)

New Task > Off-Exchange Warrant Pledge Registration

Search Criteria

*Product:

*Duty-paid Status:

*Depot:

Crude:

Q Search

Warrant Accoun...	Product	Duty-paid Status	Depot Abbr.	Crude Name	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/>	scN000000009	Medium & S...	Bonded	BJ Oil Storage	CHINA Crude 1		112898000	9000

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

- -- : / 112898000

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

- 20181212-20180630 : / 112898000

Information of Off-Exchange Warrant Pledge

*Pledgee ID:

*Pledgee Name:

Note on Pledge:

In the warrant list, select the warrants for the off-exchange pledge registration. Fill in the information such as "Quantity Submitted", "Pledgee ID" and "Pledgee Name".

Upon completion of the page, click the "OK" button to submit the application for the off-exchange pledge registration.

Task Tracking

In Task Tracking, you may search or view the status of the off-exchange pledge registration, as shown below:

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicatio...	Processin...
	Medium Sou...	Off-Exchang...	scbjc1700009	Pending	Off-Exhcngae Warrant Pledge (Pledger 83028302 initiated, ...	Submit Off-E...	20170713	20170713
	Medium Sou...	Off-Exchang...	scbjc1700005	Pending	Off-Exhcngae Warrant Pledge (Pledger 83028302 initiated, ...	Off-Exchang...	20170531	20170627

(Pledgee) Confirm the Application for the Off-Exchange Pledge Registration

(1)

In To-do Tasks of OSNBPs, you may find the off-exchange pledge registration application to be confirmed.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Off-Exchang...	scbjc1700011	Off-Exhcngae Warrant Pledge (Pledger 81000059 initia...	Off-Exchange ...	20170714	02:08:18	20170714	02:09:20

(2)

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

To Do > Confirm pledge warrant

Information of Off-Exchange Warrant Pledge

Off-Exchange Warrant Pledge Ticket No.: scbjc1700011

Duty-paid Status: Bonded

Customs: bj

Pledgee Name: tst2013

Pledgor Name : n7003

Pledge Status: Pledge Approved by Customs

Note on Pledge:

Product: Medium Sour Crude Oil

Depot: bj

Pledgee ID: 88007001

Pledgor ID: 81000059

Total Pledge Qty.: 4,000

Application Date: 20170714

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
sc8000000137	Medium Sour Cru...	Bonded	BJ Oil Storage	CHINA Crude 1			4000

Total Qty. Submitted:4000

(3)

After reviewing the off-exchange pledge registration information, perform the following steps at the lower part of the page:

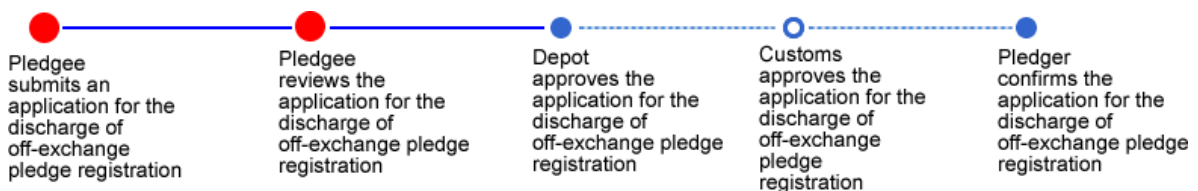
- Pass: Click the "Approve" button to confirm the application for the off-exchange pledge registration;
- Reject: Click the "Reject" button to reject the application for the off-exchange pledge registration.

Note: After the application for the off-exchange pledge registration is confirmed, the underlying commodities will be displayed in the pledge quantity of relevant products in My Account.

Discharge of Off-Exchange Pledge Registration

OSNBPs may participate in the off-exchange pledge either as a pledgee or a pledger.

The process node diagram for discharging the off-exchange pledge in which OSNBPs act as the pledgee is as shown below. OSNBPs initiate the application for discharging the off-exchange pledge. Please note that the the bonded warrants pledged in a single contract can only be discharged as a whole.



The process node diagram for the discharge of the off-exchange pledge in which OSNBPs act as the pledger is as shown below. OSNBPs confirm the application for the off-exchange pledge registration initiated by the pledgee and approved by the Designated Delivery Storage Facility and the Customs in case of bonded commodities).



(Pledgee) Submit the Application for Discharging Off-Exchange Pledge Registration

(1)

In the system navigation menu, select "New Task" --> "(Off-Exchange Pledge) Discharge Off-Exchange Pledge" to enter the page of discharge of off-exchange pledge registration.

(2)

Search the warrants involved in discharge of off-exchange pledge registration.

The screenshot shows the 'Discharge of Off-Exchange Pledge' interface. At the top, there is a breadcrumb 'New Task > Discharge of Off-Exchange Pledge'. Below it is a 'Search Criteria' section with the following fields: Product (Medium Sour Crude Oil), Duty-paid Status (Bonded), Depot (SHC), Crude (All), and Pledgor ID (empty). A 'Search' button is located below the criteria. The main area contains a table with columns: Warrant Account..., Product, Duty-paid Status, Depot Abbr., Crude Name, Operation Docu..., Operation Type, Available Qty., and Qty. Submitted. Below the table is the 'Information of discharging off-exchange pledge registration' section, which includes fields for Pledgor ID, Pledgor Name, and a text area for 'Note of Releasing the Pledge'. An 'OK' button is at the bottom.

(3)

This screenshot shows the same interface as above, but with search results. The 'Search Criteria' section now has Pledgor ID filled with '60010010'. The table below has one row selected, with the following data: Warrant Account: scO000010511, Product: Medium Sour Cr..., Duty-paid Status: Bonded, Depot Abbr.: BJ Oil Storage, Crude Name: CHINA Crude 1, Operation Docu...: scbjc1700003, Operation Type: Off-Exchange Pl..., Available Qty.: 8000, Qty. Submitted: 4000. Below the table, there are two sections for selection: 'Please select by product property' and 'Please select by start/end date of storage'. The 'Information of Discharge Off-exchange Pledge' section at the bottom now has Pledgor ID filled with '60010010' and Pledgor Name filled with '...'. An 'OK' button is at the bottom.

Select the warrants to discharge the off-exchange pledge registration.

Fill in the information such as "Quantity Submitted", "Pledger ID" and "Pledger Name".

Upon completion of the page, click the "OK" button to submit the application to discharge the off-exchange pledge registration.

Note: OSNBPs are required to review the application to discharge the off-exchange pledge registration after the submission of the application.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task with the off-exchange pledge registration being discharged.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Discharge of ...	scbjc1700013	Pending	Discharge Off-exchange Pledge (Pledgee 81000059 initiate...	Submit the R...	20170828	20170828

(Pledgee) Review the Application for Discharging Off-Exchange Pledge Registration

OSNBPs are required to confirm the application to discharge the off-exchange pledge registration after the submission of the application.

(1)

In To-do Tasks, search the to-do task, i.e. the to-be-confirmed application for the discharge off-exchange pledge registration.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Discharge of...	scbjc1700001	Discharge Off-exchange Pledge (Pledgee 88007001 init...	Release of Off...	20170516	01:35:56	20170627	21:39:50
Medium Sou...	Discharge of...	scbjc1700005	Discharge Off-exchange Pledge (Pledgee 81000059 init...	Submit the Re...	20170518	02:29:12	20170518	02:29:12

(2)

Select the to-be-confirmed task and click its "Application No." to enter the details page.

To do > Confirm unpledge warrant

Information of Discharge Off-exchange Pledge

Document No. of Releasing Off-exchange Pledge: scbjc1700001	Product: Medium Sour Crude Oil
Pledgor ID: 81000059	Pledgor Name: n7003
Duty-paid Status: Bonded	Depot: Ebjc
Customs: etHG	Pledgee ID: 88007001
Pledgee Name: tst2013	Total Qty. of Released Pledge: 1000
Status of Releasing the Pledge: Pledge Release Approved by Customs	Application Date: 20170516
Note of Releasing the Pledge:	

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB00000023	Medium Sour Crude...	Bonded	Ebjc	CHINA Crude1			1000

Total Qty. Submitted:1000

✓ Approve
⊗ Reject

(3)

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

- Pass: Click the "Approve" button to confirm the application for discharging the off-exchange pledge registration.
- Reject: Click the "Reject" button to reject the application for discharging the off-exchange pledge registration.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task with the off-exchange pledge registration being discharged.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Discharge of ...	scbjc1700009	Pending	Discharge of Off-exchange Pledge (Pledgee 88007001 initi...	Discharge of ...	20170714	20170714
	Medium Sou...	Discharge of ...	scbjc1700010	Pending	Discharge of Off-exchange Pledge (Pledgee 83010001 initi...	Discharge of ...	20170714	20170714
	Medium Sou...	Discharge of ...	scbjc1700001	Pending	Discharge of Off-exchange Pledge (Pledgee 88007001 initi...	Discharge of ...	20170516	20170627

(Pledger) Confirm the Application for Discharging Off-Exchange Pledge Registration

(1)

In To-do Tasks for OSNBPs, search the application to be confirmed for the discharge of off-exchange pledge registration.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Discharge of...	scbjc1700010	Discharge of Off-exchange Pledge (Pledgee 83010001 ...	Discharge of ...	20170714	02:23:16	20170714	02:24:30

(2)

Select the to-be-confirmed task and click its "Application No." to enter the details page.

To do > Confirm unpledge warrant

Information of Discharge Off-exchange Pledge

Document No. of Releasing Off-exchange Pledge: scbjc1700001
Product: Medium Sour Crude Oil
Pledgor ID: 81000059
Pledgor Name: n7003
Duty-paid Status: Bonded
Depot: BJ Oil Storage
Customs: bj
Pledgee Name: tst2013
Pledgee ID: 88007001
Status of Releasing the Pledge: Pledge Release Approved by Customs
Total Qty. of Released Pledge: 1000
Note of Releasing the Pledge: Application Date: 20170516

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000023	Medium Sour Crude ...	Bonded	BJ Oil Storage	CHINA Crude 1			1000

Total Qty. Submitted:1000

(3)

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

- Pass: Click the "Approve" button to confirm the application for discharging the off-exchange pledge registration and end the process.
- Reject: Click the "Reject" button to reject the application for discharging the off-exchange pledge registration.

Product: TSR 20, LSFO, Copper

The process and steps for off-exchange pledge registration are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSNBP at each process node for such registration. 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.

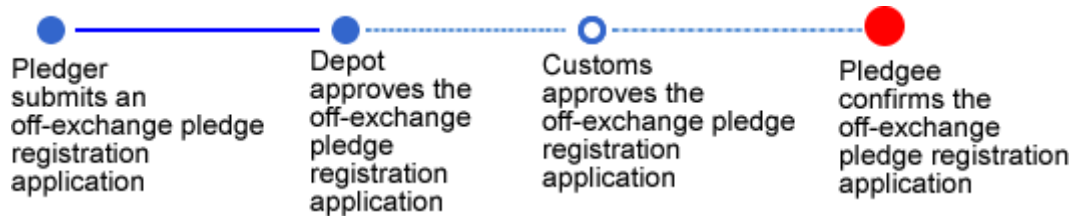
Off-Exchange Pledge Registration

OSNBPs may participate in the off-exchange pledge either as a pledgor or a pledgee.

The process node diagram for the off-exchange pledge in which OSNBPs act as the pledgor is as shown below. The pledge registration process is initiated by OSNBPs.



The process node diagram for the off-exchange pledge in which OSNBPs act as the pledger is as shown below. OSNBPs confirm the off-exchange pledge registration initiated by the pledger and approved by the Designated Delivery Storage Facility and the Customs (in case of bonded commodities).



(Pledger) Submit the Application for Off-Exchange Pledge Registration

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Off-Exchange Pledge Registration" to enter the corresponding page for TSR 20.

(2)

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 > Off-Exchange Pledge Registration

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot: BJC
 Warrant No.:

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

Available Warrants										Selected Warrants S/U E		
Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...		Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nrbjc0025292	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1		<input checked="" type="checkbox"/>	nrbjc0025292	Bonded
<input type="checkbox"/>	nrbjc0025293	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				
<input type="checkbox"/>	nrbjc0025294	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				
<input type="checkbox"/>	nrbjc0025295	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				
<input type="checkbox"/>	nrbjc0025296	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				

Page 1 / Total 1

Available: 5 warrants, 504.000 tonne, Total: 5 warrants
 Selected: 1 warrants, 100.800 tonne

Information of Off-Exchange Pledge Registration

*Pledgee ID: *Pledgee Name:
 Note on Pledge:

(3)

New Task > Off-Exchange Pledge Registration

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot: BJC
 Warrant No.:

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

Available Warrants										Selected Warrants S/U E		
Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...		Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nrbjc0025292	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1		<input checked="" type="checkbox"/>	nrbjc0025292	Bonded
<input type="checkbox"/>	nrbjc0025293	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				
<input type="checkbox"/>	nrbjc0025294	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				
<input type="checkbox"/>	nrbjc0025295	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				
<input type="checkbox"/>	nrbjc0025296	nr2200000004	Bonded	brand1	Factory3		BJC	BJC1				

Page 1 / Total 1

Available: 5 warrants, 504.000 tonne, Total: 5 warrants
 Selected: 1 warrants, 100.800 tonne

Information of Off-Exchange Pledge Registration

*Pledgee ID: 60010017 *Pledgee Name: ezj
 Note on Pledge:

In the warrant list, select the warrants for the off-exchange pledge registration. Fill in the information such as "Quantity Submitted", "Pledgee ID" and "Pledgee Name".

Once completed, click the "OK" button to read the disclaimer and then click the "OK" button once more to submit the application.

Task Tracking

In Task Tracking, you may search or view the status of the off-exchange pledge registration, as shown below:

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Off-Exchange...	nr0011900002	Pending	Off-Exchange Warrant Pledge (Pledger 88007001 initiated, ...	Submit Off-E...	20190802	20190802

(Pledgee) Confirm the Application for the Off-Exchange Pledge Registration

(1)

In To-do Tasks of OSNBPs, you may find the off-exchange pledge registration application to be confirmed.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Off-Exchange...	nr0011900003	Off-Exchange Warrant Pledge (Pledger 60010012 initia...	Off-Exchange ...	20190802	15:12:05	20190802	15:12:26

(2)

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

To Do > Confirm Off-Exchange Pledge Registration

Information of Off-Exchange Pledge Registration

Off-Exchange Pledge Registration Ticket [nr0011900003](#) Product: **TSR 20**

No.:

Duty-paid Status: **Bonded** Depot: **SHC**

Customs: **SHC** Application Date: **20190802**

Pledgee ID: **88007001** Pledgee Name: **tst2013**

Pledgor ID: **60010012** Pledgor Name: **SHC**

Total Pledge Weight: **10.080** Pledge Status: **Pledge Approved by Customs**

Note on Pledge:

[Export](#)

Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet	Bal...
nr0010002218	nr1900000...	Bonded	nrBrand01	Manufact...	nrGRADE01	nr-Specifa...	SHC	SHC-port...	Domestic	20190701		

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

Page 1 / Total 1 [Go to](#)

[✓ Approve](#)
[✗ Reject](#)

(3)

After reviewing the off-exchange pledge registration information, perform the following steps at the lower part of the page:

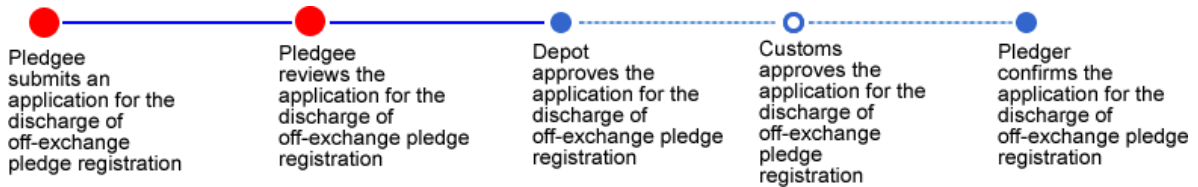
- Pass: Click the "Approve" button to confirm the application for the off-exchange pledge registration;
- Reject: Click the "Reject" button to reject the application for the off-exchange pledge registration.

Note: After the application for the off-exchange pledge registration is confirmed, the underlying commodities will be displayed in the pledge quantity of relevant products in My Account.

Discharge of Off-Exchange Pledge Registration

OSNBPs may participate in the off-exchange pledge either as a pledgee or a pledger.

The process node diagram for discharging the off-exchange pledge in which OSNBPs act as the pledgee is as shown below. OSNBPs initiate the application for discharging the off-exchange pledge. Please note that the bonded warrants pledged in a single contract can only be discharged as a whole.



The process node diagram for the discharge of the off-exchange pledge in which OSNBPs act as the pledger is as shown below. OSNBPs confirm the application for the off-exchange pledge registration initiated by the pledgee and approved by the Designated Delivery Storage Facility and the Customs in case of bonded commodities).



(Pledgee) Submit the Application for Discharging Off-Exchange Pledge Registration

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Discharge of Off-Exchange Pledge Registration" to enter the page for canceling a pledge registration for TSR 20.

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot:
 Warrants of Automatic batch selection:
 Off-Exchange Pledge Registration Ticket No.:

Duty-paid Status: Bonded
 Manufacture:
 Specification:
 Pledgor ID:
 Warrant No.:

Available Warrants

Warrant No.	Off-Exchange...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot
[Empty table]								

Selected Warrants

Warrant No.	Duty-paid ...
[Empty table]	

Page 1 / Total 1 | Go to

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

Information of discharging off-exchange pledge registration

Pledgor ID: | Pledgor Name:
 Note of Releasing the Pledge:

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.

New_Task > Discharge of Off-Exchange Pledge

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Depot: BJC
 Warrants of Automatic batch selection:
 Off-Exchange Pledge Registration Ticket No.: nrbjc2300001

Duty-paid Status: Bonded
 Manufacture:
 Specification:
 Pledgor ID: 88007001
 Warrant No.:

Search Automatic batch select

Available Warrants

Warrant No.	Off-Exchange...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot
<input checked="" type="checkbox"/>	nrbjc0025291	nrbjc2300001	nr2200000004	Bonded	brand1	Factory3		BJC

Page 1 / Total 1

Available: 1 warrants, 100.800 tonne, Total: 1 warrants
 Selected: 1 warrants, 100.800 tonne

Information of discharging off-exchange pledge registration

Pledgor ID: 88007001
 Pledgor Name:
 Note of Releasing the Pledge:

OK

(3)

Fill in the information such as "Quantity Submitted", "Pledgor ID" and "Pledgor Name".

Upon completion of the page, click the "OK" button to submit the application to discharge the off-exchange pledge registration.

Note: OSNBPs are required to review the application to discharge the off-exchange pledge registration after the submission of the application.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task with the off-exchange pledge registration being discharged and you can also cancel the task with the off-exchange pledge registration.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	20 RN	Discharge of ...	nr0011900001	Pending	Discharge of Off-exchange Pledge (Pledgee 88007001 initi...	Discharge of ...	20190802	20190802

(Pledgee) Review the Application for Discharging Off-Exchange Pledge Registration

OSNBPs are required to confirm the application to discharge the off-exchange pledge registration after the submission of the application.

(1)

In To-do Tasks, search the to-do task, i.e. the to-be-confirmed application for the discharge off-exchange pledge registration.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Discharge o...	nr0011900001	Discharge of Off-exchange Pledge (Pledgee 88007001 ...	Discharge of ...	20190802	15:20:34	20190802	15:20:34

(2)

Select the to-be-confirmed task and click its "Application No." to enter the details page.

To do ▶ Verify Discharge of Off-Exchange Pledge

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: nrbjc2300002 Product: TSR 20
 Duty-paid Status: Bonded Depot: BJC
 Customs: BJHG Application Date: 20230420
 Pledgee ID: 60010017 Pledgee Name: ezj
 Pledgor ID: 88007001 Pledgor Name: xog0535
 Total Weight of Discharge of Off-Exchange Pledge: 100.800 Status: Submit Pledge Release
 Off-Exchange Pledge Registration Ticket No.: nrbjc2300001
 Note of Releasing the Pledge:

[Export](#)

Warrant No.	Off-Exchange...	Load-in A...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...	Country	Effective ...	Pal
nrbjc0025291	nrbjc2300001	nr220000...	Bonded	brand1	Factory3			BJC	BJC1	Imported	20221202	

Total: 1 warrants, 100.800 tonne, current: 1 warrants, 100.800 tonne

Page 1 / Total 1 1 [Go to](#)

(3)

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

- Pass: Click the "Approve" button to confirm the application for discharging the off-exchange pledge registration.
- Reject: Click the "Reject" button to reject the application for discharging the off-exchange pledge registration.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task with the off-exchange pledge registration being discharged.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
TSR 20	Discharge of ...	nr0011900001	Pending	Discharge of Off-exchange Pledge (Pledgee 88007001 initi...	Discharge of ...	20190802	20190802	

(Pledger) Confirm the Application for Discharging Off-Exchange Pledge Registration

An OSNBP that is the pledger needs to confirm the pledgee's application for discharging the off-exchange pledge registration.

(1)

In To-do Tasks for OSNBPs, search the application to be confirmed for the discharge of off-exchange pledge registration.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Discharge o...	nr0011900002	Discharge of Off-exchange Pledge (Pledgee 60010012 ...	Discharge of ...	20190802	15:25:06	20190802	15:25:42

(2)

Select the to-be-confirmed task and click its "Application No." to enter the details page.

To Do ▶ Confirm Discharge of Off-Exchange Pledge

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: nrbjc2300002 Product: TSR 20
 Duty-paid Status: Bonded Depot: BJC
 Customs: BJHG Application Date: 20230420
 Pledgee ID: 60010017 Pledgee Name: ezj
 Pledgor ID: 88007001 Pledgor Name: xog0535
 Total Weight of Discharge of Off-Exchange Pledge: 100.800 Status: Pledge Release Approved by Customs
 Off-Exchange Pledge Registration Ticket No.: nrbjc2300001
 Note of Releasing the Pledge:

Export

Warrant No.	Off-Exchange...	Load-in Appl...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...	Country	Effective ...	
nrbjc0025291	nrbjc2300001	nr2200000004	Bonded	brand1	Factory3			BJC	BJC1	Imported	20221202	

Total: 1 warrants, 100.800 tonne, current: 1 warrants, 100.800 tonne

Page 1 / Total 1 | 1 Go to

(3)

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

- Pass: Click the "Approve" button to confirm the application for discharging the off-exchange pledge registration and end the process.
- Reject: Click the "Reject" button to reject the application for discharging the off-exchange pledge registration.

Chapter 10 Warrant Transfer

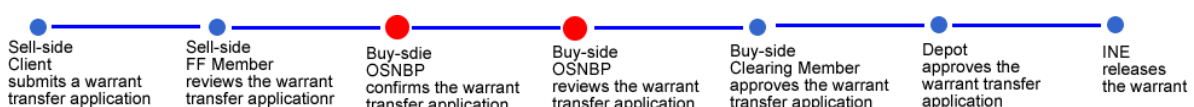
Transfer of standard warrants refers to the transfer of ownership of standard warrants. OSNBPs may choose any underlying commodity for submission of warrant transfer application, and conduct the relevant transfer.

OSNBPs may choose to settle "Via the Exchange" in the "Settlement Method" when submitting the application for warrant transfer. Settlement via the Exchange refers to fact that the buyer and the seller, in the process of warrant transfer, conduct the settlement via the Exchange.

When Settlement is via the Exchange, the warrant transfer process for the OSNBP as a seller is as follows: (The buyer is presumed to be the Client of the Futures Firm Member.)



The warrant transfer process for the OSNBP as a buyer is as follows: (The seller is presumed to be the client of the Futures Firm Member.)



Note: In the above process, warrant transfer needs to be reviewed by a clearing Member since the OSNBP cannot go through clearing business at the Exchange.

Product: Medium Sour Crude Oil

(Sellers) Submit the Transfer Application

(1)

In the system navigation menu, select "New Task" --> "(Warrant Transfer) Transfer Application" to enter the page of transfer application.

(2)

Define the search criteria to search the transfer warrant.

The screenshot displays the 'Transfer Application' page. At the top, there is a breadcrumb 'New Task > Transfer Application'. Below this is a 'Search Criteria' section with the following fields: Product (Medium Sour Crude Oil), Duty-paid Status (Bonded, Duty-paid), Depot (SHRZ, ZHCZD, SYDX, ZYZJ, BJC), and Crude (All, ZY1). A 'Search' button is located below the search criteria. Below the search criteria is a table with columns: Warrant Ac..., Duty-pa..., Depot, Premium/Di..., Crude, Premium/Di..., Premium/Di..., Assign Mode, Last Deliver..., Last Deliver..., Available Q..., Qty. Submit... The table is currently empty. Below the table is a 'Transfer Info.' section with the following fields: Settlement Method (Settled by INE), Seller's Institution (n7001), Transfer Price (12,535.70), Client ID (Buy-side), Seller type (dropdown), Available Quantity (0), Total Amount (0.00), Client Name (Buy-side), Seller's qualification certificates (Upload button), and Note (text area).

(3)

Select the warrants to be transferred and fill in the "Quantity Submitted". In the lower part of the page, the "Settlement Method" is "Via the Exchange". Fill in the "Client ID (Buy-side)" and "Client Name (Buy-side)", select "Seller Type", upload "Seller's Qualification Certificates" and fill in "Note" (optional). You can still modify the Transfer Price.

Upon completion of the page, click the "OK" button to submit the transfer application.

Note: After submission of the warrant transfer application, the OSNBP is also required to review the application in the To-do Tasks.

Task Tracking

Enter the Task Tracking to search or view that task and its status. The OSNBP may cancel the transfer application prior to the confirmation of Buyers.

Operation	Product	Operation Type	Application No.	Task ...	Task Description	Operation Stat...	Applicat...	Processin...
	Medium So...	Warrant Trans...	scbjc1700047	To P...	Warrant Transfer(initiated by Client 88007001, Quantity 200...	Sell-Side Sub...	201707...	20170714

Click the field of "Application No." to view the details of the task.

(Sellers) Review the Warrant Transfer Application

After submission of the warrant transfer application, the OSNBP is also required to review the application.

(1)

After submitting the warrant transfer application, set the operation type as "Warrant Transfer" in To-do Tasks to find the to-be-reviewed warrant transfer application.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Warrant Tra...	scbjc1900002	Warrant Transfer(initiated by Client 88007001, Quantit...	Sell-Side Sub...	20190111	13:41:01	20190111	13:41:01

(2)

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

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

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

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 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 approve the warrant transfer application and proceed to the next node of the process, i.e. "Clearing Member (Sell-side) reviews the Warrant Transfer Application".
- 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 that task and view its status.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium So...	Warrant Tran...	scbjc1900002	Pending	Warrant Transfer(initiated by Client 88007001, Quantity 10...	Sell-Side Sub...	20190111	20190111

(Buyers) Confirm the Transfer Application

As shown above, the warrant transfer application is also required to be confirmed by the buy-side OSNBP.

(1)

In the To-do Tasks, the buy-side OSNBP may set the operation type as "Warrant Transfer" to find the warrant transfer application cascading down to its end for confirmation.

Product	Operation T...	Application No.	Task Description	Operation Status	Applicatio...	Applicat...	Processin...	Processing...
Medium So...	Warrant Tra...	scbjc1800002	Warrant Transfer(initiated by Client 880...	Buy-Side confirmed tranfer appl...	20180904	09:10:02	20180904	09:11:14
Medium So...	Warrant Tra...	scbjc1900002	Warrant Transfer(initiated by Client 880...	Transfer Application Approved b...	20190111	13:41:01	20190111	13:53:10

(2)

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

To Do ▶ Buy-side Client confirms Transfer Application

Client ID (Sell-side): 60010012 Client Name (Sell-side): 7003

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

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

Trading Member ID (Buy-side): 7001 Seller type: Overseas institution

Buyer Type: Seller's qualification certificates:

Buyer's qualification certificates:

Note:

Warrant Acc...	Duty-pai...	Depot	Premium/Dis...	Crude	Premium/Dis...	Premium/Dis...	Assign Mode	Last Delivery...	Last Delivery ...	Qty. Submitt...
scB000000010	Bonded	BIC	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)

In "Transfer Application", select "Buyer Type", upload "Buyer's Qualification Certificates", and enter any remarks on buyer type if necessary.

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

- Approve: Click the "Approve" button to confirm the warrant transfer application. Such an application is still required to be reviewed by the OSNBP.
- Reject: Click the "Reject" button to reject the warrant transfer application.

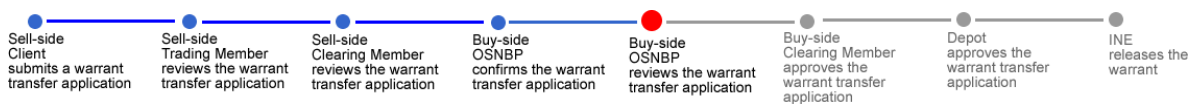
Note: After confirming the warrant transfer application, the OSNBP is still required to review it in To-do Tasks.

Task Tracking

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

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation Status	Applicati...	Processin...
	Medium So...	Warrant Tra...	scbjc1900002	Pending	Warrant Transfer(initiated by Client 88007001, Quantity 1...	Tranfer Applic...	20190111	20190111

(Buyers) Review the Warrant Transfer Application



After the "Buy-side OSNBP Confirms the Warrant Transfer Application", the application is still required to be reviewed by the buy-side OSNBP.

(1)

In To-do Task, the buy-side OSNBP sets the operation type as "Warrant Transfer" to find the warrant transfer application to be reviewed, with the status of "To be confirmed by the Buyer".

Product	Operation T...	Application No.	Task Description	Operation Status	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Warrant Tra...	scbjc1800002	Warrant Transfer(initiated by Client 880...	Buy-Side confirmed tranfer a...	20180904	09:10:02	20180904	09:11:14
Medium So...	Warrant Tra...	scbjc1900002	Warrant Transfer(initiated by Client 880...	Buy-Side confirmed tranfer a...	20190111	13:41:01	20190111	14:30:54

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

Trading Member ID (Buy-side): 7001
Trading Member Abbr. (Buy-side): n7001

Clearing Member ID (Buy-side): 7001
Clearing Member Abbr. (Buy-side): n7001

Seller type: Overseas institution
Seller's qualification certificates:

Buyer type: Others
Buyer's qualification certificates:

Notes of buyer type :
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 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 to be reviewed by the buy-side 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 S...	Task Description	Operation Sta...	Applicati...	Processin...
Medium So...	Warrant Tran...	scbjc1700048	To Pr...	Warrant Transfer	(initiated by Client 81000059, Quantity 300...	Tranfer Appli...	20170714	20170714

Print "Warrant Transfer Settlement Statement "

After INE releases the warrants , OSNBPs 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, OSNBPs can export the settlement statement as an excel or PDF file, or print it online.

(Note)OSNBPs 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 OSNBP 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) Submit the Transfer Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Warrant Transfer) Transfer Application" to enter the page for transferring out TSR 20 warrants.

Search Criteria

Product: TSR 20

• Depot:

Brand:

Grade:

Warrants of Automatic batch selection:

• Duty-paid Status: Bonded

Manufacture:

Specification:

Warrant No.:

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufact...	Grade	Premium/...	Specificati...
-------------	-----------------	---------------	-------	-------------	-------------	-------	-------------	----------------

Selected Warrants

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

Page 1 / Total 1

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

Selected: 0 warrants, 0.000 tonne

Transfer Info.

• Settlement Method: Settled by INE

• Seller's Institution: n7001

• Transfer Price: 10,250.00

• Client ID (Buy-side):

• Seller type:

Weight:

Total Amount:

• Client Name (Buy-side):

Seller's qualification certificates:

Note:

(2)

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 ▸ Transfer Application

Search Criteria

Product: TSR 20

• Depot: BJC

Brand:

Grade:

Warrants of Automatic batch selection:

• Duty-paid Status: Bonded

Manufacture:

Specification:

Warrant No.:

Search Automatic batch select

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufact...	Grade	Premium/...	Specificati...
<input checked="" type="checkbox"/> nrbjc0025292	nr2200000004	Bonded	brand1	0.22	Factory3		0.11	
<input type="checkbox"/> nrbjc0025293	nr2200000004	Bonded	brand1	0.22	Factory3		0.11	
<input type="checkbox"/> nrbjc0025294	nr2200000004	Bonded	brand1	0.22	Factory3		0.11	
<input type="checkbox"/> nrbjc0025295	nr2200000004	Bonded	brand1	0.22	Factory3		0.11	
<input type="checkbox"/> nrbjc0025296	nr2200000004	Bonded	brand1	0.22	Factory3		0.11	

Page 1 / Total 1 Go to

Available: 5 warrants, 504.000 tonne, Total: 5 warrants Selected: 1 warrants, 100.800 tonne

Transfer Info.

• Settlement Method: Settled by INE

• Seller's Institution: n7001

• Transfer Price: 10,250.00

• Client ID (Buy-side):

• Seller type:

Weight: 100.800

Total Amount: 1,033,334.07

• Client Name (Buy-side):

Seller's qualification certificates: Upload

Note:

(3)

Note: "Warrant No." and "Quality Inspection Expiry Date" will be shown in red if the quality inspection for the corresponding commodities has expired.

At the bottom of the page, choose "Settled by INE" for "Settlement Method". Enter the "Client ID (Buy-side)" and "Client Name (Buy-side)", select the "Buyer Type", upload the "Buyer's Qualification Certificates", and fill in the "Note" section (optional). A user can still modify the transfer price at this stage.

Upon completion of the page, click the "OK" button to submit the transfer application.

Note: After submission of the warrant transfer application, the OSNBP is also required to review the application in the To-do Tasks.

Task Tracking

Enter the Task Tracking to search or view that task and its status. The OSNBP may cancel the transfer application prior to the confirmation of Buyers.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Warrant Tran...	nr0011900008	Pending	Warrant Transfer(initiated by Client 88007001, weight 10.08...	Sell-Side Sub...	20190909	20190909

Click the field of "Application No." to view the details of the task.

(Sellers) Review the Warrant Transfer Application

After submission of the warrant transfer application, the OSNBP is also required to review the application.

(1)

After submitting a warrant transfer application, an OSNBP may set the product as "TSR 20" and the operation type as "Warrant transfer" on the "To-do" page to search and view the application which is pending review.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Warrant Tra...	nr0011900006	Warrant Transfer(initiated by Client 88007001, weight ...	Sell-Side Sub...	20190802	13:59:07	20190802	13:59:07

(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 :	Buyer'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 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 proceed to the next node of the process, i.e. "Clearing Member (Sell-side) reviews the Warrant Transfer Application".
- 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 that task and view its status.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
TSR 20	Warrant Tran...	nr0011900006	Pending	Warrant Transfer(initiated by Client 88007001, weight 10.08...	Transfer Appl...	20190802	20190802	

(Buyers) Confirm the Transfer Application

As shown above, the warrant transfer application is also required to be confirmed by the buy-side OSNBP.

(1)

In the To-do Tasks, the buy-side OSNBP may set the operation type as "Warrant Transfer" and the product as "TSR20" to find the warrant transfer application cascading down to its end for confirmation.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Warrant Tra...	nrbjc2000002	Warrant Transfer(initiated by Client 01654427, weight ...	Transfer Appli...	20200115	10:42:55	20200115	10:49:31

(2)

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

To Do ▶ Buy-side Client confirms Transfer Application

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): 7001
Seller type: Overseas institution

Buyer Type: Others
Buyer's qualification certificates: Upload

Client Type Notes:
Note:

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Depot	Premium/...	Premium/...	Place o...
nrbjc0002102	nr200000002	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)

In "Transfer Application", select "Buyer Type", upload "Buyer's Qualification Certificates", and enter the remarks on buyer type if necessary.

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

- Approve: Click the "Approve" button to confirm the warrant transfer application. Such an application is still required to be reviewed by the OSNBP.
- Reject: Click the "Reject" button to reject the warrant transfer application.

Note: After confirming the warrant transfer application, the OSNBP is still required to review it in To-do Tasks.

Task Tracking

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

(Buyers) Review the Warrant Transfer Application

After the "Buy-side OSNBP Confirms the Warrant Transfer Application", the application is still required to be reviewed by the buy-side OSNBP.

(1)

In To-do Task, the buy-side OSNBP sets the operation type as "Warrant Transfer" to find the warrant transfer application to be reviewed, with the status of "To be confirmed by the Buyer".

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Warrant Tra...	nrbjc2000002	Warrant Transfer(initiated by Client 01654427, weight ...	Buy-Side confi...	20200115	10:42:55	20200115	11:56:32

(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
 Trading Member ID (Buy-side): 7001
 Clearing Member ID (Buy-side): 7001
 Seller type: Overseas institution
 Buyer type: Others
 Notes of buyer type :
 Note:

(Sell-side):
 Clearing Member Abbr. n7003
 (Sell-side):
 Trading Member Abbr. n7001
 (Buy-side):
 Clearing Member Abbr. n7001
 (Buy-side):
 Seller's qualification certificates:
 Buyer's qualification certificates:

Export

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Depot	Premium/...	Premium/...	Place o
nrbjc0002102	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 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 to be reviewed by the buy-side 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 , OSNBPs 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, OSNBPs can export the settlement statement as an excel or PDF file, or print it online.

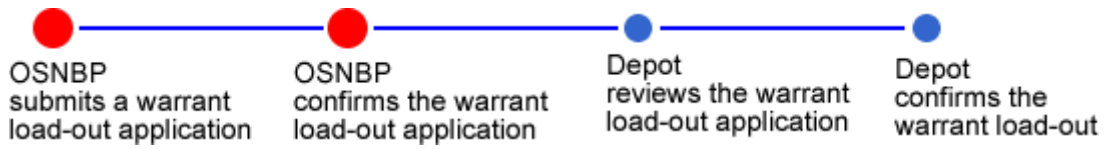
(Note)OSNBPs can print "Warrant Transfer Settlement Statement " aiming at the tasks whose status are released warrant, then both buyers and sellers can only print the settlement statement of their own.

Chapter 11 Warrant Load-out

When taking the delivery of commodities, a warrant owner will submit the warrant load-out application to Designated Delivery Storage Facility.

After choosing the commodities from warrant account for loading out, the warrant owner will also indicate the load-out quantity and the ways of taking delivery.

The following is a process node diagram of the warrant load-out participated by OSNBPs. OSNBPs may submit the warrant load-out application to initiate the process.



In the process of warrant load-out, OSNBPs are required to submit and confirm the warrant load-out application.

Product: Medium Sour Crude Oil

Submit the Warrant Load-out Application

(1)

In the system navigation menu, select "New Task" --> "Warrant Load-out" to enter the page of warrant load-out.

New Task > Warrant Load-out

Search Criteria

- * Product: Medium Sour Crude Oil
- * Duty-paid Status: Bonded Duty-paid
- * Depot: Beijing Warehouse sdf234
- * Place of Storage: (script>alert(123)/script) Beijing Warehouse No.1
- Crude: All Oman Oil

Q Search

Warrant Account...	Duty-paid S...	Depot	Crude Name	Last Delivery Peri...	Last Delivery Price	Assign Mode	Available Qty.	Qty. Submitted
<input type="checkbox"/> scN00000017	Bonded	Beijing War...	Oman Oil				1000	0

Selected Load-out Qty. for Futures Delivery: 0 Qty. of Futures with Bonded Delivery Settlement Statement: 0

Load-out Info.

- * Load-out Destination:
- * Desitination of Custon:
- Vehicle and Vessel No.:
- * Contact:
- * Contact Number:
- Physicals Load-out Qty.:
- Note:

- * Consignment Method :

Note: The depot shall issue bonded delivery settlement statement as well as the corresponding commodity list about load-out. The declared commodity and quantity shall be consistent with that in the above documents.

(2)

Load-out Info.

- * Load-out Destination:
- * Desitination of Custon:
- Vehicle and Vessel No.:
- * Contact:
- * Contact Number:
- Physicals Load-out Qty.:
- Note:

- * Consignment Method :

Note: The depot shall issue bonded delivery settlement statement as well as the corresponding commodity list about load-out. The declared commodity and quantity shall be consistent with that in the above documents.

Submit

OSNBP choose a warrant of goods, then fill in the Physicals Load-out quantity, Consignment Method, etc. System according to the product property and start/end date of storage automatically assigned quantity of Submitted. Marked with a red asterisk * is required.

Note: OSNBP not only can choose the futures when Warehouse Load-out, can also select the physicals. For the Crude oil, the sum of the physicals and futures Warehouse Load-out quantities is greater than or equal to 200,000 barrels.

(3)

Click the "Submit" button to submit the warrant load-out application. Such an application is still required to be confirmed by the OSNBP in Task Tracking.

(4)

In Task Tracking, you may search and view the task and its status.

Before OSNBP Confirm the Warrant Load-out Application, the warrant load-out application can be modified or revoked.

Confirm the Warrant Load-out Application

After the submission of the warrant load-out application, the OSNBP is also required to confirm the application.

(1)

After submitting the warrant load-out application, set the operation type as "Warrant Load-out" in To-do Tasks to view that task, i.e. the to-be-confirmed warrant load-out application.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Warrant Loa...	scbjc1700011	Warrant Load-out(initiated by Client 83028302, Quantit...	Application S...	20170531	04:11:46	20170531	04:11:46

(2)

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

(3)

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

- Approve: Click the "Approve" button to confirm the warrant load-out application.
- Reject: Click the "Reject" button and fill the rejection comments to reject the warrant load-out application. OSNBPs may modify or cancel such rejected application in Task Tracking.

Task Tracking

In Task Tracking, set the operation type as "Warrant Load-out" to find that task and view its status. Click the "Application No." to view the details of that task.

Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
Medium So...	Warrant Load...	scbjc1700017	Pendi...	Warrant Load-out(initiated by Client 88007001, Quantity 20...	Confirmed by...	20170712	20170714	

Product: TSR 20, LSFO, Copper

The process and steps for warrant load-out are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSNBP at each process node for warrant load-out. 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 the Warrant Load-out Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Warrant Revocation) Warrant Load-out" to enter the page for load-out with TSR 20 warrants.

(2)

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.

The screenshot displays the 'Warrant Load-out' application interface. At the top, there is a breadcrumb trail: 'New Task > Warrant Load-out'. Below this is the 'Search Criteria' section, which includes fields for Product (TSR 20), Duty-paid Status (Bonded), Source of Cargo, Depot, Brand, Grade, Warrant No., Country, Place of Storage, Manufacture, Specification, and Warrants of Automatic batch selection. There are buttons for 'Search' and 'Automatic batch select'. Below the search criteria are two tables: 'Available Warrants' and 'Selected Warrants'. The 'Available Warrants' table has columns for Warrant No., Load-in A..., Duty-paid..., Brand, Manufact..., Grade, Specificati..., Depot, and Place. The 'Selected Warrants' table has columns for Warrant No. and Duty. Below the tables, there is a pagination control showing 'Page 1 / Total 1' and a 'Go to' button. At the bottom, there is a 'Load-out Info.' section with fields for Load-out Destination (Tianjin), Desitination of Customs Declaration, Customs Declaration Agent, Consignment Method (Issued by Depot), and Shipping Destination. There are also fields for Vehicle and Vessel No., Contact, and Contact Number, and a Note field.

(3)

This is a close-up view of the 'Load-out Info.' section. It contains several mandatory fields marked with a red asterisk (*): Load-out Destination (filled with 'Tianjin'), Desitination of Customs Declaration, Consignment Method (filled with 'Issued by Depot'), and Shipping Destination. Other fields include Vehicle and Vessel No., Contact, and Contact Number. There is also a Note field with up and down arrow icons.

In "Load-out Info.", fill in "Load-out Destination", "Destination of Customs Declaration", contact information, and "Consignment Method", among others. A user will be prompted to provide different information based on the consignment (take-delivery) method selected.

Fields marked with a red asterisk (*) are mandatory.

(4)

Click the "OK" button to submit the warrant load-out application.

If necessary, the user may track or modify the submitted warrant load-out applications in "Task Tracking". The user may modify or cancel them in "Task Tracking" before they are approved by OSNBP.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Warrant Load...	nr0011900004	Pending	Warrant Load-out(initiated by Client 88007001, weight 20.1...	Application S...	20190802	20190802

Confirm the Warrant Load-out Application

After the submission of the warrant load-out application, the OSNBP is also required to confirm the application.

(1)

After submitting the warrant load-out application, set the operation type as "Warrant Load-out" and the product as "TSR20" in To-do Tasks to view that task, i.e. the to-be-confirmed warrant load-out application.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Warrant Loa...	nrbjc2000001	Warrant Load-out(initiated by Client 88007001, weight ...	Application Su...	20200115	14:10:06	20200115	14:10:06

(2)

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

To Do > Confirm warrant load-out
Warrant Load-out into.

Document No. for Load-out: [nrbjc2000001](#)

Product : TSR 20	Duty-paid Status: Bonded
Client ID: 88007001	Client Name: tst2013
Application Date: 20200115	Status: Application Submitted
Warrant Count: 2	Weight: 20.160
Depot Name: Beijing warehouse	Name of Place of Storage: Jing Yi warehouse
Load-out Destination: Beijing	Destination of Customs: Import
Draft Declarant: BIKD	Declaration:
Consignment Method : Issued by Depot	Vehicle and Vessel No.:
Shipping Address: <input type="text"/>	Consignment Measurement:
Contact Number: 13012012012	Contact: <input type="text"/>
ID No.:	Signer:
Note:	

[Export](#)

Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet	Bale
nrbjc0000910	nr2000000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	BJ wareho...	Jing Yi war...	Domestic	20200113		
nrbjc0000916	nr2000000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	BJ wareho...	Jing Yi war...	Domestic	20200109		

Total: 2 warrants, 20.160 tonne, current: 2 warrants, 20.160 tonne,
Qty. of Futures with Bonded Delivery Settlement Statement: 0.000 tonne

Page 1 / Total 1 [Go to](#)

(3)

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

- Approve: Click the "Approve" button to confirm the warrant load-out application.
- Reject: Click the "Reject" button and fill the rejection comments to reject the warrant load-out application. OSNBPs may modify or cancel such rejected application in Task Tracking.

Task Tracking

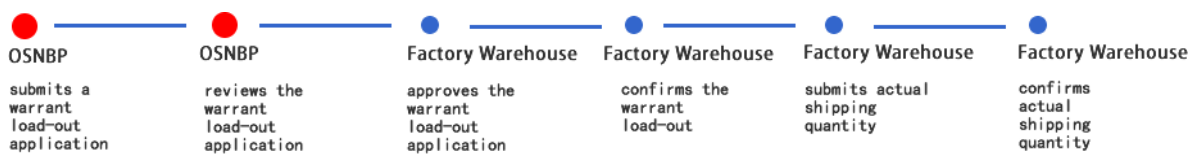
In Task Tracking, set the operation type as "Warrant Load-out" to find that task and view its status. Click the "Application No." to view the details of that task.

Chapter 12 Factory Warehouse Warrant Load-Out

A load-out with factory (warehouse) warrants may be carried out through negotiated withdrawal or non-negotiated withdrawal (POA for withdrawal). Only LSFO is supported by this function at this time.

To take delivery, a holder of factory warrants must apply for load-out. To do it, the holder should select the commodities to be loaded out under its warrant account and indicate the load-out quantity and consignment (i.e., take-delivery) method.

The process for negotiated withdrawal is identical to that for regular warrant load-out; please refer to that for details. The process node diagram for non-negotiated withdrawal by OSNBPs is given below. The process starts with the submission of an application for factory warrant load-out by an OSNBP.



In the factory warrant load-out process, the application for load-out needs to be submitted by the OSNBP and confirmed.

Product: Medium Sour Crude Oil, TSR20, Copper

Factory warrant load-out is not yet available for Medium Sour Crude Oil, TSR 20, and Copper.

Product: LSFO

To perform load-out with LSFO factory warrants, the OSNBP first needs to submit a factory warrant load-out application, then confirm it.

Submit an Application for Factory Warrant Load-out

(1)

From the navigation menu, select "New Task" --> "LSFO" --> "(Factory Warrant Revocation) Load-out of Underlying Commodity" to enter the page for load-out with LSFO factory warrants.

New Task ▸ Load-out of underlying commodity

Search Criteria

Product: LSFO
 * Depot:
 Grade:
 Warrants of Automatic batch selection:

Duty-paid Status: Bonded
 * Consignment Method:
 Warrant No.:

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants										Selected Warrants S/U E	
Warrant No.	Load-in Ap...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective D...	End Date o...	Exp	Warrant No.	Duty-paid ...
Available: 0 warrants, 0.000 tonne, Total: 0 warrants											

Page 1 / Total 1 1 Go to

Selected: 0 warrants, 0.000 tonne, Qty. of Futures with Bonded Delivery Settlement Statement:0.000tonne

Load-out Info.

* Load-out Destination:
 * Desitination of Customs:
 * Consignment Method:
 * Ways to nullify a warrant:

(2)

Warrants 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 ▸ Load-out of underlying commodity

Search Criteria

Product: LSFO
 * Depot: Shanghai Cang
 Grade:
 Warrants of Automatic batch selection:

Duty-paid Status: Bonded
 * Consignment Method: POA for Withdrawal
 Warrant No.:

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants										Selected Warrants S/U E			
Warrant No.	Load-in Ap...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective D...	End Date o...	Exp	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	lu0020003401	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input checked="" type="checkbox"/>	lu0020003401	Bonded
<input checked="" type="checkbox"/>	lu0020003402	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input checked="" type="checkbox"/>	lu0020003402	Bonded
<input type="checkbox"/>	lu0020003403	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input type="checkbox"/>		
<input type="checkbox"/>	lu0020003404	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input type="checkbox"/>		
<input type="checkbox"/>	lu0020003405	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input type="checkbox"/>		
<input type="checkbox"/>	lu0020003406	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input type="checkbox"/>		
<input type="checkbox"/>	lu0020003407	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20	<input type="checkbox"/>		

Page 1 / Total 348 1 Go to

Available: 100 warrants, 1000.000 tonne, Total: 34800 warrants

Selected: 2 warrants, 20.000 tonne, Qty. of Futures with Bonded Delivery Settlement Statement:0.000tonne

Load-out Info.

* Load-out Destination:
 * Desitination of Customs:
 * Consignment Method: POA for Withdrawal
 * Ways to nullify a warrant: Take-delivery

(3)

<p>Load-out Info.</p> <p>* Load-out Destination: <input type="text"/> * Desitination of Customs Declaration: <input type="text"/> * Customs Declaration Agent: <input type="text"/> * Proposed take-delivery date: <input type="text"/> Vehicle and Vessel No.: <input type="text"/> * Contact: <input type="text"/> * Contact Number: <input type="text"/> Note: <input type="text"/></p>	<p>* Consignment Method: POA for Withdrawal * Ways to nullify a warrant: Take-delivery * Delivery Corporation: <input type="text"/> * Delivery password: <input type="text"/> * Confirm Password: <input type="text"/> * Take-delivery location: <input type="text"/> * Delivery Person: <input type="text"/> * ID No.: <input type="text"/></p>
--	---

In "Load-out Info.", fill in "Load-out Destination", "Destination of Customs Declaration", "Contact", and "Consignment Method", among others. A user will be prompted to provide different information based on the consignment (take-delivery) method selected.

Fields marked with a red asterisk (*) are mandatory.

(4)

*Shipping date	*Grade	*Shipping weight(ton...	*Delivery Person	*ID No.	*Transportation	Note

In "Take-delivery Plan", click the fields marked by the blue ribbon to fill in the relevant information or select an option from the drop-down menu, as shown in the screenshot below. All fields marked with a red asterisk (*) are required.

*Shipping date	*Grade	*Shipping weight(ton...	*Delivery Person	*ID No.	*Transportation	Note

You may click the "Add" button at the top of the table to add a record, or select an existing record and click the "Delete" button to delete it.

Note: If the consignment method is "Negotiated Withdrawal", the take-delivery plan section will not be displayed as the plan is not required. The process for negotiated withdrawal is essentially the same as that for warrant load-out.

(5)

Click the "OK" button to submit the application for factory warrant load-out.

If you need to track the progress or modify a submitted application, you can do so through "Task Tracking". Applications can be modified or withdrawn before they are approved.

Confirm an Application for Factory Warrant Load-out

Once an OSNBP submits an application for factory warrant load-out, the application needs to be confirmed.

(1)

After a load-out application is submitted, it can be found in the "To-do" section with a search for "LSFO" as the product and "Warrant Load-out" as the operation type. The application is waiting for confirmation.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Warrant Loa...	lu0022000005	Warrant Load-out(initiated by Client 88007001, weight ...	Application Su...	20200710	10:34:44	20200710	10:34:44

(2)

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

To Do ▶ Confirm warrant load-out

Warrant Load-out Info.

Document No. for Load-out: lu0022000005
 Product: LSFO
 Client ID: 88007001
 Application Date: 20200710
 Warrant Count: 200
 Depot Name: Shanghai Cang
 Load-out Destination: Tianjin
 Customs Declaration Agent: SSFurla
 Consignment Method: Negotiated Withdrawal
 Shipping Address:
 Contact Number: 13201012010
 ID No.:
 Take-delivery location: thd 03
 Note:

Duty-paid Status: Bonded
 Client Name: tst2013
 Status: Application Submitted
 Weight: 2000.000
 Name of Place of Storage: Shanghai Cang Baoyang Road
 Desitination of Customs: Import
 Declaration:
 Vehicle and Vessel No.:
 Consignment Measurement:
 Contact: WangF
 Consigner:
 Ways to nullify a warrant: Take-delivery
 Proposed take-delivery date: 20200714

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Ap...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective D...	End Date o...	Expiry date	Validity	Weight	Last Deliv...
lu0020003201	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	
lu0020003202	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	
lu0020003203	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	
lu0020003204	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	
lu0020003205	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	
lu0020003206	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	
lu0020003207	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200710	20200810	20210131	Normal	10.000	

(3)

The following actions may be taken at the bottom of the page:

- Approve: Click the “Approve” button to confirm the application for factory warrant load-out;
- Reject: Click the “Reject” button and fill in the rejection comments to reject the application for factory warrant load-out. The OSNBP may then modify or withdraw the rejected application in “Task Tracking”.

Task Tracking

In “Task Tracking”, set the operation type as “Warrant Load-out” to search for factory warrant load-out tasks and their status. Click “Application No.” to view the details of a task.

Chapter 13 Overseas Delivery-Taking by Agreement

This chapter describes the operations that can be performed by OSNBPs 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 OSNBPs is as follows:

- If the OSNBP 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 OSNBP 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

To conduct overseas delivery-taking by agreement for LSFO, an OSNBP needs to submit an application to the effect. The factory warrant load-out application needs to be confirmed.

(Takers) Submit the Overseas Delivery-taking by Agreement Application

(1)

From the navigation menu, select "New Task" --> "LSFO" --> "(Warrant Revocation Overseas Delivery-taking by Agreement Application)" to enter the page for overseas delivery-taking by agreement for LSFO.

(2)

Warrants 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)

Note: If the warrant has expired or there is a quality issue or other abnormal circumstances, “Warrant No.” and “Warrant Validity” will be in red.

In the “Information on Overseas Delivery-taking” section at the bottom, fill in “Take-delivery person or company”, “ID number”, “Contact person”, “Contact number”, and “Proposed take-delivery date”, among others. “Warrant transfer price” will be automatically completed by the System and may be modified by the user. Click “Look up reference premiums/discounts for overseas take-delivery locations” to the right to view the premiums or discounts applicable to the proposed take-delivery location.

Once information is entered, click the “OK” button to submit the application for overseas delivery-taking by agreement.

Note: An OSNBP submits the overseas delivery-taking by agreement application as a client. The application needs to be then reviewed through the “To-do” page.

Task Tracking

In “Task Tracking”, a user may search for the application and view its status. The application may also be withdrawn before the Trading Factory Warehouse confirms it.

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 ...	Taker submit...	20201105	20201105

Click on the “Application No.” to view the details of the task.

(Takers) Confirm the Overseas Delivery-taking by Agreement Application

After an application for overseas delivery-taking by agreement is submitted by an OSNBP, the application needs to be reviewed.

(1)

Following application submission, enter the “To-do” page and set the product as “LSFO” and the operation type as “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

Product: LSFO

Taker ID: 60010017

Factory ID: 60010012

Taker's Member ID: 7005

Taker's Clearing Member ID: 7005

Status: Taker submitted application

Warrant transfer price: 1245.00

Method of taking delivery: Others

Proposed take-delivery date: 20201102

Contact person: LLYW

Contact number: 13012544012

Notes:

Application Date: 20201102

Depot Abbr.: SHCK

Taker Name: dgg

Factory Name: *****

Taker's Member Abbr.: 7005

Taker's Clearing Member Abbr.: 7005

Weight: 100.000

Total amount: 124,590.00

Proposed take-delivery location: THD2

Take-delivery person or company: 01201

ID number: 0144511

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
lu0050006001	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006002	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006003	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
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...

Available: 10 warrants, 100.000 tonne, Total: 10 warrants

Page 1 / Total 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., OSNBP);
- Reject: Click the “Reject” button to reject the overseas delivery-taking by agreement application.

Task Tracking

In “Task Tracking”, set the operation type as “Overseas delivery-taking by agreement” to search for the task and view its status.

(Trading Factory Warehouse) Confirm an Overseas Delivery-taking by Agreement Application

After an overseas delivery-taking by agreement application is approved by the Clearing Member of the taker, the OSNBP, in this case as the trading factory warehouse, needs to confirm the application.

(1)

On the the “To-do” page, the OSNBP, 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 confirmation.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Overseas D...	lu0052000004	Overseas Delivery-Taking by Agreement(initiated by Cli...	Application ap...	20201102	15:45:28	20201102	15:45:50

(2)

Click on the “Application No.” to enter the details page:

To do ▶ Factory verify the overseas delivery-taking by agreement

Information on overseas delivery-taking

Transaction number for lu0052000004
overseas delivery-taking:

Product: LSFO
Taker ID: 60010017
Factory ID: 60010012
Taker's Member ID: 7005
Weight: 200.000
Total amount: 249180.00
Proposed take-delivery THD2
location:
Take-delivery person or W00120
company:
ID number: 41521023
Factory's Institution: 7003

Application Date: 20201102

Depot Abbr.: SHCK
Taker Name: dgg
Factory Name: 7003
Taker's Member Abbr.: 7005
Warrant transfer price: 1245.00
Method of taking delivery: Others
Proposed take-delivery 20201102
date:
Contact person: LY
Contact number: 13001201234

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
lu0050006012	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006013	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006014	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006015	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006016	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006017	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006018	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...

Available: 20 warrants, 200.000 tonne, Total: 20 warrants

Page 1 / Total 1
Go to

✓ Approve
✗ Reject

(3)

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

- Approve: Click the “Approve” button to confirm the application. Review by OSNBP is needed following this confirmation;
- Reject: Click the “Reject” button to reject the application.

Note: An overseas delivery-taking by agreement application confirmed by the OSNBP needs to be reviewed in “To-do”.

Task Tracking

In “Task Tracking”, set the operation type as “Overseas delivery-taking by agreement” to search for the task and view its status.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
LSFO	Overseas Deli...	lu0052000004	Pending	Overseas Delivery-Taking by Agreement(initiated by Client ...	Factory confi...	20201102	20201105	

(Trading Factory Warehouse) Review an Overseas Delivery-taking by Agreement Application

After an overseas delivery-taking by agreement application passes the “trading factory warehouse – OSNBP (client) - application confirmation” steps, it needs to be reviewed by the OSNBP as the trading factory warehouse.

(1)

On the “To-do” page, set the product to “LSFO” and the operation type to “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...	lu0052000004	Overseas Delivery-Taking by Agreement(initiated by Cli...	Factory confir...	20201102	15:45:28	20201105	09:00:24

(2)

Click on the “Application No.” to enter the details page:

To do ▶ Factory's member verify the overseas delivery-taking by agreement

Factory ID: 60010012	Factory Name: 7003
Taker's Member ID: 7005	Taker's Member Abbr.: 7005
Taker's Clearing Member ID: 7005	Taker's Clearing Member Abbr.:
Factory's Member ID: 7003	Factory's Member Abbr.: n7003
Factory's Clearing Member ID: 7003	Factory's Clearing Member Abbr.:
Status: Factory confirmed application	Weight: 200.000
Warrant transfer price: 1245.00	Total amount: 249,180.00
Method of taking delivery: Others	Proposed take-delivery location: THD2
Proposed take-delivery date: 20201102	Take-delivery person or company: W00120
Contact person: LY	ID number: 41521023
Contact number: 13001201234	
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
lu0050006012	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006013	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006014	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006015	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006016	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006017	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...
lu0050006018	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210...

Available: 20 warrants, 200.000 tonne, Total: 20 warrants

[Approve](#) [Reject](#) Page 1 / Total 1 [Go to](#)

(3)

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

- Approve: Click the “Approve” button to approve the application. Review by the Clearing Member of the OSNBP is needed following this approval;
- Reject: Click the “Reject” button to reject the application.

Task Tracking

In “Task Tracking”, set the operation type as “Overseas delivery-taking by agreement” to search for the task and view its status.

Chapter 14 Warrant Revocation

Warrant revocation, with respect to an owner of standard warrant who objects to the information on an in-effect standard warrant that was issued by a Designated Delivery Storage Facility, refers to the process by which such warrant is revoked upon request by the owner and following a review by the Designated Delivery Storage Facility and the Exchange.

An OSNBP may submit a revocation application with respect to any commodity registered under its warrant account. If the OSNBP needs a replacement warrant, it needs to complete another round of the load-process at the Exchange.

The following is a process node diagram of the warrant revocation participated by OSNBPs. OSNBPs submit the warrant revocation application to initiate the process.



Product: Medium Sour Crude Oil

This section describes operations to be performed by OSNBPs at each process node for the revocation of Medium Sour Crude Oil warrants.

Submit the Warrant Revocation Application

(1)

In the system navigation menu, select "New Task" --> "Warrant Revocation" to enter the page of warrant revocation.

(2)

Search the warrant for revocation, select it and fill in the "Quantity Submitted".

Warrant Account ID	Duty-paid Status	Depot	Crude	Last Delivery Price	Last Delivery Period	Available Qty.	Qty. Submitted
<input type="checkbox"/> scN00000009	Bonded	BJ Oil Storage	CHINA Crude 1			112889000	0

(3)

Click the "OK" button to submit the warrant revocation application.

Task Tracking

In Task Tracking, set the operation type as "Warrant Revocation". You may search that task, view its status or cancel the warrant revocation application. Click the "Application No. " to view the details of that task.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sour...	Warrant Rev...	scbjc1700009	Pendi...	Warrant Revocation(initiated by Client 83028302, Quantity ...	Application S...	20170901	20170901

Product: TSR 20, LSFO, Copper

The process and steps for warrant revocation are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSNBP at each process node for warrant revocation. 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 Warrant Revocation Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Warrant Revocation) Warrant Revocation" to enter the Warrant Revocation page for TSR 20.

The screenshot shows a web application interface for "Warrant Revocation". At the top, there is a breadcrumb "New Task > Warrant Revocation". Below this is a "Search Criteria" section with several input fields: "Product" (set to "TSR 20"), "Brand", "Grade", "Depot", "Duty-paid Status" (set to "Bonded"), "Manufacture", "Specification", and "Warrant No.". There are also "Search" and "Automatic batch select" buttons. Below the search criteria are two tables: "Available Warrants" and "Selected Warrants". Both tables have columns for "Warrant No.", "Load-in A...", "Duty-paid ...", "Brand", "Manufact...", "Grade", "Specificati...", "Depot", and "Place of St...". The "Available Warrants" table is currently empty. Below the tables, there is a pagination control showing "Page 1 / Total 1" and a "Go to" button. At the bottom, there is a "Note" section and an "OK" button.

(2)

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 ▸ Warrant Revocation

Search Criteria

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

Duty-paid Status: Bonded
 Manufacture:
 Specification:
 Warrant No.:

Search Automatic batch select

Available Warrants										Selected Warrants			
Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...		Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr021000027	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D	<input checked="" type="checkbox"/>	nr021000027	Bonded
<input checked="" type="checkbox"/>	nr021000028	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D	<input checked="" type="checkbox"/>	nr021000028	Bonded
<input type="checkbox"/>	nr021000029	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr021000030	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000157	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000158	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000159	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			

Page 1 / Total 2 1 Go to

Available: 100 warrants, 1008.000 tonne, Total: 128 warrants Selected: 2 warrants, 20.160 tonne

Note

OK

(3)

After the desired warrants are selected, click the "OK" button to submit the warrant revocation application.

Task Tracking

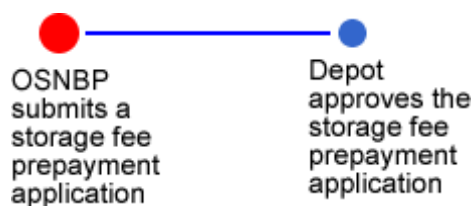
In Task Tracking, set the operation type as "Warrant Revocation". You may search that task, view its status or cancel the warrant revocation application. Click the "Application No. " to view the details of that task.

Chapter 15 Storage Fee Prepayment

This system provides a prepayment function to extend the end date of storage fees of commodities.

OSNBPs may submit the storage fee prepayment application to the depot for the commodities they are holding, and relevant depot will conduct review on such applications. If the application is approved, the end date of storage fee for the commodities held by OSNBPs will be updated accordingly.

The following is a process node diagram for storage fee prepayment. OSNBPs may submit the storage fee prepayment application to initiate the process.



Product: Medium Sour Crude Oil

Submit the Storage Fee Prepayment Application

(1)

In the system navigation menu, select "New Task" --> (Prepaid Storage Fee) Storage Fee Prepayment Application" to enter the page of storage fee prepayment application.

(2)

Define the search criteria to search the warrant for the storage fee prepayment.

The screenshot shows a web application interface for 'Storage Fee Prepayment Application'. At the top, there is a breadcrumb 'New Task > Storage Fee Prepayment Application'. Below this is a 'Search Criteria' section with the following fields: Product (Medium Sour Crude Oil), Duty-paid Status (All, Bonded, Duty-paid), Account Type (All, Normal Account, Account Used, Account Processing Operation), Depot (dropdown menu), and Crude (All, Crude 2, CHINA Crude 1). A 'More' button is located to the right of the search criteria. Below the search criteria is a 'Search' button and a table header with columns: Warrant Acco..., Account T..., Operation Do..., Operation ..., Duty-paid ..., Crude, Depot, Start Date ..., End Date o..., Occupatio..., Last Delivery ..., Last Delivei... The table body is currently empty. At the bottom of the page, there is a 'Modify Storage Fee' section with an 'End Date of the Prepayment:' field and an 'OK' button.

(3)

Select the warrant for the storage fee prepayment. Set a new "End Date of the Prepayment" in the column of "Modify Storage Fee" at the bottom of the page.

Upon completion of the page, click the "OK" button to submit the storage fee prepayment application.

Task Tracking

In Task Tracking, search and view the storage fee prepayment application and its status. OSNBPs may modify or cancel the application prior to the review by the depot.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium So...	Prepaid stora...	scbjc1700017	Pendi...	Prepaid storage fee(initiated by Client 83028302 to Depot b...	Initial Submis...	20170901	20170901

Click the "Application No." to enter the details page. You may view the details and circulation of the application here.

Modify the Storage Fee Prepayment Application

You are allowed to modify or cancel the storage fee prepayment application prior to the review by the depot.

(1)

In Task Tracking, set the operation type as "Prepaid Storage Fee" to search the to-be-modified storage fee prepayment application.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium So...	Prepaid stora...	scbjc1700017	Pendi...	Prepaid storage fee(initiated by Client 83028302 to Depot b...	Initial Submis...	20170901	20170901

(2)

Click the icon in the operation column of the application to enter the page of modification.

Task Tracking > Modify prepaid storage fee

Modify Archive of prepaid storage fees

Operation No. of Pre-paid Storage Fee : sc0102200001 Application Date: 20220622
 Product: Medium Sour Crude Oil Depot: beijing_warehouse
 Quantity: 968000 End Date of the Prepayment: 20230601

Warrant Acco...	Account T...	Operation Do...	Operation ...	Duty-paid ...	Crude	Depot	Start Date ...	End Date o...	Occupatio...	Last Delivery ...	Last Delive...
<input checked="" type="checkbox"/>	scN000000016	Normal Acc...		Bonded	wai_Coil No.2	beijing_wa...	20211213	20221213			

Modify Storage Fee

End Date of the Prepayment: 20230601

SUN	MON	TUE	WED	THU	FRI	SAT
29	30	31	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	1	2
3	4	5	6	7	8	9

Today 2022-06-22

(3)

Select the warrant. Set a new "End Date of the Prepayment" in the column of "Modify Storage Fee" and click the "OK" button.

Cancel the Storage Fee prepay Application

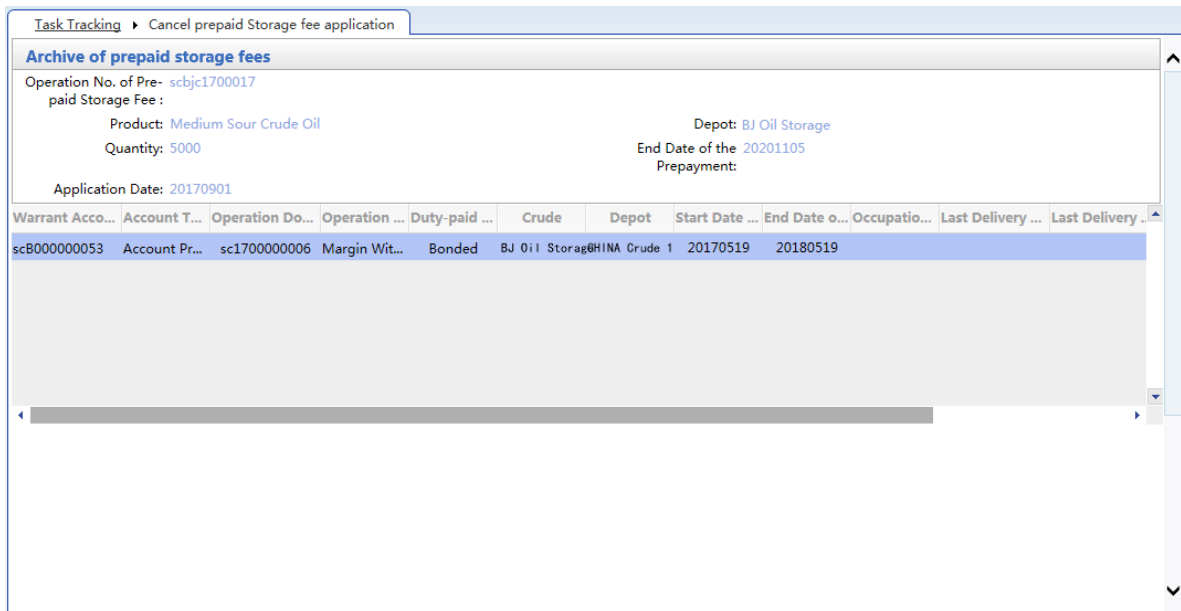
(1)

In Task Tracking, set the operation type as "Prepaid Storage Fee" to search the storage fee prepayment application to be canceled.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium So...	Prepaid stora...	scbjc1700017	Pendi...	Prepaid storage fee(initiated by Client 83028302 to Depot b...	Initial Submis...	20170901	20170901

(2)

Click the icon in the operation column of the application to enter the page of cancellation.



(3)

Click the "OK" button to cancel the application.

Product: TSR 20, LSFO, Copper

The process and steps for storage fee prepayment are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSNBP at each process node for this prepayment application. 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 the Storage Fee Prepayment Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "(Storage Fee Prepayment) Storage Fee Prepayment Application" to enter the prepayment application page for TSR 20.

New Task ▶ Storage Fee Prepayment Application

Search Criteria

Product: TSR 20 Duty-paid Status: Bonded

Brand: Manufacture:

Grade: Specification:

Depot: Warrant No.:

End Date of Previous Storage Fees: Warrants of Automatic batch selection:

Q Search Q Automatic batch select

Available Warrants

Warrant No.	Load-in A...	End Date ...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Pl

Page 1 / Total 1 | Go to

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

Modify Storage Fee

End Date of the Prepayment:

OK

(2)

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 ▶ Storage Fee Prepayment Application

Search Criteria

Product: TSR 20 Duty-paid Status: Bonded

Brand: Manufacture:

Grade: Specification:

Depot: SH warehouse Warrant No.:

End Date of Previous Storage Fees: Warrants of Automatic batch selection:

Q Search Q Automatic batch select

Available Warrants

Warrant No.	Load-in Ap...	End Date o...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Plac
<input checked="" type="checkbox"/> nr0210000026	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She
<input checked="" type="checkbox"/> nr0210000027	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She
<input type="checkbox"/> nr0210000028	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She
<input type="checkbox"/> nr0210000029	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She
<input type="checkbox"/> nr0210000030	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She
<input type="checkbox"/> nr0210000039	nr1900000...	20231228	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She
<input type="checkbox"/> nr0210000042	nr1900000...	20231228	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	She

Page 1 / Total 4 | Go to

Available: 100 warrants, 1008.000 tonne, Total: 313 warrants Selected: 2 warrants, 20.160 tonne

Modify Storage Fee

End Date of the Prepayment:

OK

(3)

New Task ▶ Storage Fee Prepayment Application

Search Criteria

Product: TSR 20 Duty-paid Status: Bonded

Brand: Manufacture:

Grade: Specification:

• Depot: SH warehouse Warrant No.: -

End Date of Previous Storage Fees: Warrants of Automatic batch selection:

Available Warrants											Selected Warrants		
Warrant No.	Load-in Ap...	End Date o...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Plac		Warrant No.	End Date o...	
<input checked="" type="checkbox"/>	nr021000026	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input checked="" type="checkbox"/>	nr021000026	20201210
<input checked="" type="checkbox"/>	nr021000027	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input checked="" type="checkbox"/>	nr021000027	20201210
<input type="checkbox"/>	nr021000028	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input type="checkbox"/>		
<input type="checkbox"/>	nr021000029	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input type="checkbox"/>		
<input type="checkbox"/>	nr021000030	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input type="checkbox"/>		
<input type="checkbox"/>	nr021000039	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input type="checkbox"/>		
<input type="checkbox"/>	nr021000042	nr1900000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Sh	<input type="checkbox"/>		

Available: 100 warrants, Page 1

Modify Storage Fee Today 2023-04-20

• End Date of the Prepayment:

Selected: 2 warrants, 20.160 tonne

(4)

Select the warrant for the storage fee prepayment. Set a new "End Date of the Prepayment" in the column of "Modify Storage Fee" at the bottom of the page.

Upon completion of the page, click the "OK" button to submit the storage fee prepayment application.

Task Tracking

In Task Tracking, search and view the storage fee prepayment application and its status. OSNBPs may modify or cancel the application prior to the review by the depot.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Prepaid stora...	nr021200006	Pending	Prepaid storage fee(initiated by Client 88007001 to Depot ...	Initial Submis...	20200115	20200115

Click the "Application No." to enter the details page. You may view the details and circulation of the application here.

Task Tracking > Archive of Storage Fee Prepayment Application

(INE_88007001) Warehouse

Applied Verify prepaid storage fee

20200115 15:25

Archive of prepaid storage fees

Operation No. of Pre-paid Storage Fee : nr0212000006 Application Date: 20200115

Product: TSR 20 Depot: SH warehouse

Weight: 20.160 End Date of the Prepayment: 20210202

Client ID: 88007001 Client Name: tst2013

Export

Warrant No.	Load-in Ap...	End Date o...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet
nr0210000024	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	Domestic	20191210	
nr0210000025	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	Domestic	20191210	



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

Page 1 / Total 1 Go to


Modify the Storage Fee Prepayment Application



(1)

In Task Tracking, set the operation type as "Prepaid Storage Fee" to search the to-be-modified storage fee prepayment application.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Prepaid stora...	nr0212000006	Pending	Prepaid storage fee(initiated by Client 88007001 to Depot ...	Initial Submis...	20200115	20200115

(2)

Click the  icon in the operation column of the application to enter the modification page.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Prepaid stora...	nr0212000006	Pending	Prepaid storage fee(initiated by Client 88007001 to Depot ...	Initial Submis...	20200115	20200115

(3)

Starting from the warrants that have been selected for storage fee modification, you can filter the selection further and set a new "End date of the Prepayment" in the "Modify Storage Fee" section. Click the "OK" button to change the prepayment date.

Task Tracking > Modify prepaid storage fee

Product: TSR 20 Duty-paid Status: Bonded

Brand: Manufacture:

Grade: Specification:

Depot: SH warehouse Warrant No.:

End Date of Previous Storage Fees: Warrants of Automatic batch selection:

Q Search Q Automatic batch select

Available Warrants										Selected Warrants		
Warrant No.	Load-in Ap...	End Date o...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Plac	Warrant No.	End Date o...	
<input checked="" type="checkbox"/>	nr0210000024	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	nr0210000024	20201210	
<input checked="" type="checkbox"/>	nr0210000025	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	<input checked="" type="checkbox"/>	nr0210000025	20201210
<input type="checkbox"/>	nr0210000026	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...			
<input type="checkbox"/>	nr0210000027	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...			
<input type="checkbox"/>	nr0210000028	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...			
<input type="checkbox"/>	nr0210000029	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...			
<input type="checkbox"/>	nr0210000030	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...			

Page 1 / Total 4 1 Go to

Available: 100 warrants, 1008.000 tonne, Total: 315 warrants Selected: 2 warrants, 20.160 tonne

Modify Storage Fee



End Date of the Prepayment: 20210202

OK

Cancel the Storage Fee prepayment Application

(1)

In Task Tracking, set the operation type as "Prepaid Storage Fee" to search the storage fee prepayment application to be canceled.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Prepaid stora...	nr0212000006	Pending	Prepaid storage fee(initiated by Client 88007001 to Depot ...	Initial Submis...	20200115	20200115

(2)

Click the  icon in the operation column of the application to enter the page of cancellation.

Task Tracking > Cancel prepaid Storage fee application

Archive of prepaid storage fees

Operation No. of Pre-paid Storage Fee : nr0212000006 Application Date: 20200115

Product: TSR 20 Depot: SH warehouse

Weight: 20.160 End Date of the Prepayment: 20210202

Export

Warrant No.	Load-in Ap...	End Date o...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet
nr0210000024	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	Domestic	20191210	
nr0210000025	nr19000000...	20201210	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	Domestic	20191210	

Available: 2 warrants, 20.160 tonne, Total: 2 warrants Page 1 / Total 1 1 Go to

OK

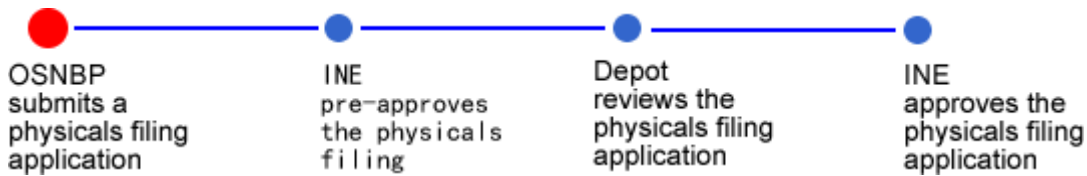
(3)

Click the "OK" button to cancel the application.

Chapter 16 Physicals Filing

OSNBPs submit the Physicals filing application to the Exchange for prior approval, then the Designated Delivery Storage Facility reviews the physicals filing application and the latter forward it along with its review opinion to the Exchange for approval.

Physicals filing process is as shown below:



OSNBPs can submit the Physicals Load-in Cancellation application.

Physicals Filing process is as shown below. OSNBPs submit the Physicals Filing application to initiate the process in which the application goes through the confirmation of the depot and the approval of the Exchange.



Product: Medium Sour Crude Oil

Physicals Filing Application

(1)

In the system navigation menu, select "New Task" --> "(Physicals Filing) Physicals Filing" to enter the page as follows:

Application Info.

Product: Medium Sour Crude Oil

Source of Cargo:

Origin:

Client ID: 88007001

Proposed Filing Quantity (barrel):

Approximate date to transit to Standard Warrant:

Declaration Note:

Duty-paid Status: Bonded

Crude:

Country:

Client Name: tst2013

Proposed Load-in Date:

the Proposed Inspection Agency:

Transportation and Place of Storage

Depot:

Port of Departure (Country Name):

Transportation:

Place of Storage:

Port of Departure (Port Name):

Vehicle and Vessel No. of Filing:

Operator

Name:

Telephone:

Mobile:

Fax:

(2)

The page of physicals filing consists of 4 sections as follows:

- Application Info.
- Transportation and Place of Storage
- Operator
- Note



Edit the above information.

(3)

Upon completion, click the "OK" button to submit the physicals filing application.


Task Tracking

In Task Tracking, search and view the physicals filing application and its status; or modify or cancel the physicals filing application before INE pre-approves.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...	
		Medium Sou...	Physicals Filing	scbjc1810005	Pending	Physicals Filing (initiated by Client 88007001, Quantity 2000...	Initial Submis...	20181015	20181015

Click the "Application No." to enter the details page. You may view the details and circulation of the application here.

Cancel a Physicals Filing Application

In Task Tracking, OSNBPs may click the  icon in the operation column of the application to "Cancel" the application before INE pre-approves.

As for the physicals filing application approved by the Exchange, click the "Application No." in Task Tacking to enter the details page and then print the Physicals Filing and Approval Form (Commercial Inspection Proxy for Physicals).

Physicals Filing Cancellation Application

(1)

In the system navigation menu, select "New Task" --> "(Physicals Filing) Physicals Filing Cancellation" to enter the page as follows:

New Task ▸ Physicals Filing Cancellation

Application Form

*Filing No.:

(2)

Edit the Filing No., click the "Search" button to show the information of this Physicals Filing.

(3)

New Task ▸ Physicals Filing Cancellation

Application Form

*Filing No.:

Application Info.	Transportation and Place of Storage								
Product: Medium Sour Crude Oil Duty-paid Status: Bonded Source of Cargo: Imported Client ID: 60010017 Client Name: dgg Crude: Oman Oil Origin: Oman Country: Imported Proposed Filing Quantity (barrel): 200000 Proposed Load-in Date: 20181024 Approximate date to transit to Standard Warrant: 20181024 the Proposed Inspection Agency: GlobalSign Proposed Tank No. for Physicals: tank7	Depot: Beijing Warehouse Place of Storage: Beijing Warehouse No.1 Port of Departure (Country Name): import Port of Departure 1 (Port Name): 1 Transportation : Waterway Vehicle And Vessel No. of Filing: 1								
Operator									
Name: 1 Telephone: 1 Mobile: 1 Fax: 1									
Note									
<table border="1"> <thead> <tr> <th></th> <th>Oil Tank No</th> <th>Maximum Storage Volume</th> <th>Record Volume</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td>tank7</td> <td>200000.00</td> <td>200000.00</td> </tr> </tbody> </table>			Oil Tank No	Maximum Storage Volume	Record Volume	<input type="checkbox"/>	tank7	200000.00	200000.00
	Oil Tank No	Maximum Storage Volume	Record Volume						
<input type="checkbox"/>	tank7	200000.00	200000.00						
Reason for Cancellation									
*Reason for Cancellation: <input type="text"/>									
Note									
<input type="text"/>									

Select the need Physicals Filing Cancellation of Oil Tank (can choose more). Select reason for cancellation (can choose consignment, exchange for physical or other). Input note information (not required). Then click the "OK" button to submit the physicals filing application. The Oil Tank status changes "Revocation process occupancy".

(4)

The physicals filing cancellation application submitted can be searched in "Task Tracking". Modify or cancel the physicals filing cancellation application before depot confirms.

Product: TSR 20, LSFO, Copper

Physicals filing is not yet available for TSR 20, LSFO, and Copper.

Chapter 17 Change Quality Inspection Date

You can change a quality inspection date within the System.

The process starts with the OSNBP, in relation to a quality inspection report (certificate), submitting an application to INE for changing the quality inspection date. This application is subject to the review and approval of the INE. 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 OSNBP needs to submit an application to start the process.



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.

New Task > Change Quality Inspection Date

Search Criteria

Product: TSR 20

• Depot: • Place of Storage:

• Brand: • Manufacture:

• Grade: • Specification:

Note: Changing query conditions will clear existing warrant selection

Certification List

Certificate No.	Certificate W...	Issue Date	Issuer	Locator Code (sep...	Note

Certification Info.

• Certificate No.: Search

• Certificate Weight:

• Issue Date:

• Issuer:

• Locator Code (separated by .):

Automatically Retrieve / Manually Select

Note:

Save + Add Clear

Query Warrants (By All Certification) Query Warrants (By Selected Certification) Automatically Select Delete Certificate

Available Warrants

Warrant No.	Old Inspec...	Certificate ...	Locator Co...	Weight	Validity	Duty-pai

Selected Warrants

Warrant No.	Locator C...	Old Inspe...	New Inspe...	New Insp...

(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

• Depot: • Place of Storage:

• Brand: • Manufacture:

• Grade: • Specification:

Note: Changing query conditions will clear existing warrant selection

(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 a new one, 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 certificate 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.

The screenshot shows two main panels. The left panel, titled "Certification List", contains a table with the following data:

✓	Certificate No.	Certificate W...	Issue Date	Issuer	Locator Code (sep...	Note
<input type="checkbox"/>	2222	10080.000	20190703	TSR_CERT	TSR1-1-2	

The right panel, titled "Certification Info.", contains the following fields:

- Certificate No.: 2222 (with a Search button)
- Certificate Weight: 10080.000
- Issue Date: 20190703
- Issuer: TSR_CERT
- Locator Code (separated by ,): TSR1-1-2 (with up/down arrows)
- Buttons: [Automatically Retrieve / Manually Select](#)
- Note: (with up/down arrows)

At the bottom of the interface are several buttons: "Query Warrants (By All Certification)", "Query Warrants (By Selected Certification)", an "Automatically Select" checkbox, and a "Delete Certificate" button.

(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 two panels side-by-side. The left panel, titled "Available Warrants", contains a table with the following data:

✓	Warrant No.	Old Inspec...	Old Inspec...	Certificate...	Locator C...	Weight
<input 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

The right panel, titled "Selected Warrants", contains a table with the following data:

✓	Warrant No.	Locator C...	Old Inspec...	Old Inspeci...	New Inspe
<input type="checkbox"/>	nr0210002767	c90	20191220	20200616	2020111
<input checked="" type="checkbox"/>	nr0210002768	c90	20191220	20200616	2020111

At the bottom of the interface are several buttons: "Query Warrants (By All Certification)", "Query Warrants (By Selected Certification)", an "Automatically Select" checkbox, and a "Delete Certificate" button. Below the tables, there is a pagination bar showing "Page 1 / Total 1" and a "Go to" button. At the very bottom, there are two status bars: "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)

Complete the “Submission Info.”: upload the certificates as attachments and fill out the “Note” section.

提交信息

Attachment:

Note:



(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 INE.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Change Quali...	nr1900000007	Pending	Change Quality Inspection Date(initiated by Member 7001, ...	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...	nr1900000001	Change Quality Inspection Date(initiated by Member 7...	Rejected by Ex...	20190731	15:03:13	20190731	15:05:00

Chapter 18 Modify Warrant Weight

You can modify the commodity weight associated with a warrant within the System.

The process starts with the OSNBP submitting a warrant weight modification application to the depot. Once the depot approves the application, INE will review it and, if it is approved, the weight will be updated accordingly.

The process diagram for modifying warrant weight is shown below. An OSNBP needs to submit an application to start the process.



Product: Medium Sour Crude Oil, LSFO

Modification of warrant weight is not yet available for Medium Sour Crude Oil and LSFO.

Product: TSR 20,Copper

The process and steps for warrant weight modification are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSNBP at each process node for this modification. 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 a Modify Warrant Weight Application

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Modify Warrant Weight" to enter the application page for warrant weight modification for TSR 20.

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Warrant No.: -

*Depot:
 Manufacture:
 Specification:
 Warrants of Automatic batch selection:

Available Warrants

Warrant No.	Load-in A...	Duty-paid ...	Brand	Manufact...	Grade	Specificati...	Depot	Place of St...
-------------	--------------	---------------	-------	-------------	-------	----------------	-------	----------------

Page 1 / Total 1

Application Information

Target Weight: 10.080 *Target Piece Number: *Target Bulk Number:

(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.

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Warrant No.: -

*Depot: SH warehouse
 Manufacture:
 Specification:
 Warrants of Automatic batch selection:

Available Warrants

Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...
<input checked="" type="checkbox"/> nr021000028	nr1900000...	Bonded	Duty-paid Status	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...
<input type="checkbox"/> nr021000029	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...
<input type="checkbox"/> nr021000030	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...
<input type="checkbox"/> nr0210000157	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...
<input type="checkbox"/> nr0210000158	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...
<input type="checkbox"/> nr0210000159	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...
<input type="checkbox"/> nr0210000160	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...

Page 1 / Total 2

Available: 100 warrants, 1008.000 tonne, Total: 127 warrants

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/> nr021000028	Bonded

Selected: 1 warrants, 10.080 tonne

Application Information

Target Weight: 10.080 *Target Piece Number: *Target Bulk Number:

(3)

New Task ▸ Modify Warrant Weight

Search Criteria

Product: TSR 20
 Brand:
 Grade:
 Warrant No.:

Depot: SH warehouse
 Manufacture:
 Specification:
 Warrants of Automatic batch selection:

Q Search Q Automatic batch select

Available Warrants										Selected Warrants			
Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	C	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	nr0210000028	nr1900000...	Bonded	Duty-paid Status	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D	<input checked="" type="checkbox"/>	nr0210000028	Bonded
<input type="checkbox"/>	nr0210000029	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000030	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000157	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000158	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000159	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			
<input type="checkbox"/>	nr0210000160	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D			

Page 1 / Total 2 1 Go to

Available: 100 warrants, 1008.000 tonne, Total: 127 warrants Selected: 1 warrants, 10.080 tonne

Application Information

Target Weight: 10.080 Target Piece Number: 1 Target Bulk Number: 1 X

OK

After selecting the desired warrants, enter the new “Target Weight” in the “Application Information” section at the bottom of the page, then click the “OK” button to submit the warrant weight modification application.

Note: The new target weight needs to be within the permissible range of overfill and underfill.

Task Tracking

In “Task Tracking”, you can search for existing warrant weight modification applications and view their status. Applications can be modified or withdrawn before the depot completes the review.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Modify Warr...	nr0212000001	Pending	Modify warrant weight(initiated by Client 88007001, weight...	Initial submis...	20200115	20200115

Withdraw a Modify Warrant Weight Application

(1)

In “Task Tracking”, set the product as “TSR 20” and the operation type as “Modify Warrant Weight” to search for the modify warrant weight application to be withdrawn.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Modify Warr...	nr0212000001	Pending	Modify warrant weight(initiated by Client 88007001, weight...	Initial submis...	20200115	20200115

(2)

Click the “” icon in the “Operation” column to enter the withdrawal page.

Task Tracking > Withdraw modify warrant weight application

Application Information

Document No.: nr0212000001
 Product: TSR 20
 Client ID: 88007001
 Application Date: 20200115
 Warrant Quantity: 1
 Target Weight: 10.080
 Target Piece Number: 1

Depot Name: sahnghai warehouse
 Client Name: tst2013
 Status: Application Submitted
 Weight: 10.080
 Target Bulk Number: 1

Export

Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Country	Effective D...	Pallet	Bale
nr0210000027	nr19000000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	Domestic	20191210		

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

Page 1 / Total 1 1 Go to

OK

(3)

Click the "OK" button to withdraw the selected application.

Chapter19 Warrant trading authorization

Warrant authorization is the business that OSNBPs choose a bonded warrant to authorize for trading or pledging on the SHFE OTC Platform. Once a bonded warrant is authorized for trading on the SHFE OTC Platform, its locking status will be set as "Trading". At this status, the warrant cannot be deposited as margin, traded, transferred, or involved in other transactions until it is delisted from the platform with its locking status restored as "Unlocked".

Product:Medium Sour Crude Oil

Warrant trading authorization is not yet available for Medium Sour Crude Oil.

Product:TSR 20,LSFO,Copper

(1)

Select "New task" in the navigation menu to enter the New Task page. Select the product "TSR 20", then select "Submit Warrant Auth" to enter the Warrant Trading Authorization page.

New Task ▶ Submit Warrant Auth

Search Criteria

Product: TSR 20

Depot:
 Brand:
 Grade:
 Warrants of Automatic batch selection:

Duty-paid Status: Bonded
 Manufacture:
 Specification:
 Warrant No.:

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufact...	Grade	Premium/...	Specificati...

Page 1 / Total 1

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

Selected Warrants

Warrant No.	Duty-paid ...

Selected: 0 warrants, 0.000 tonne

(2)

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 ▶ Submit Warrant Auth

Search Criteria

Product: TSR 20

Depot: BJC
 Brand:
 Grade:
 Warrants of Automatic batch selection:

Duty-paid Status: Bonded
 Manufacture:
 Specification:
 Warrant No.:

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufact...	Grade	Premium/...	Specificati...
<input checked="" type="checkbox"/>	nrbjc0025292	nr2200000004	Bonded	brand1	0.22	Factory3	0.11	
<input type="checkbox"/>	nrbjc0025293	nr2200000004	Bonded	brand1	0.22	Factory3	0.11	
<input type="checkbox"/>	nrbjc0025294	nr2200000004	Bonded	brand1	0.22	Factory3	0.11	
<input type="checkbox"/>	nrbjc0025295	nr2200000004	Bonded	brand1	0.22	Factory3	0.11	
<input type="checkbox"/>	nrbjc0025296	nr2200000004	Bonded	brand1	0.22	Factory3	0.11	

Page 1 / Total 1

Available: 5 warrants, 504.000 tonne, Total: 5 warrants

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nrbjc0025292

Selected: 1 warrants, 100.800 tonne

(3)

After selecting a warrant, click the "OK" button to submit the application for warrant trading authorization.

After submitting the application, you may search the warrant trading authorization details in the warrant trading menu through the "Operation Query" and "General Query" modules.

[Note] After a bonded warrant is authorized for trading on the SHFE OTC Platform, its locking status will be set as "trading." At this status, the warrant cannot be deposited as margin, traded, transferred, or involved in other transactions until it is delisted from the platform with its locking status restored as "unlocked".

Chapter20 Quotation of Warrant Transfer

OSNBPs will select a warrant in the INE Warrant Management System and submit a RFQ for warrant transfer. The Standard Warrant Trading System receives the warrant data, and the dealer will release the RFQ.

When an RFQ is received by the Warrant Trading Platform, regardless of whether it is accepted (trading status "push succeeded"), rejected ("push failed"), canceled at a later time ("intention returned"), or concluded through a trade ("intention agreed"), the result will always be sent back to the INE Warrant Management System. This result will be reflected in the list of warrants involved in RFQs. Users may go to "General Search → Detailed Query Quotation of Warrant Transfer" in the INE Warrant Management System to check the status of the RFQ.

OSNBPs may cancel an RFQ for warrant transfer in the INE Warrant Management System. Once an RFQ is submitted, if a subsequent change in the warrant concerned has made it unsuitable for transfer, the system will automatically cancel the RFQ.

Warrant authorization is the business that OSNBPs choose a bonded warrant to authorize for trading or pledging on the SHFE OTC Platform. Once a bonded warrant is authorized for trading on the SHFE OTC Platform, its locking status will be set as "Trading". At this status, the warrant cannot be deposited as margin, traded, transferred, or involved in other transactions until it is delisted from the platform with its locking status restored as "Unlocked".

Product:Medium Sour Crude Oil

This section describes operations to be performed by OSNBPs at each process node for Warrant Trading of Medium Sour Crude Oil warrants.

Submit Quotation of Warrant Transfer

OSNBPs start the warrant transfer quotation business by submitting quotation of warrant transfer in this system.

[Note]OSNBPs must get the qualification of warrant trading first before applying for quotation of warrant transfer ,OSNBPs can query the situation of account opening by selecting "General Query --> Account opening".

(1)

From the navigation menu, select "New Task" --> "Medium Sour Crude Oil" --> "Submit Quotation of Warrant Transfer" to enter the application page for quotation of warrant transfer for Medium Sour Crude Oil.

New Task ▶ Submit Quotation of Warrant Transfer

Search Criteria

- Product: Medium Sour Crude Oil
- Duty-paid Status: Bonded Duty-paid
- Depot: SHRZ ZHCZD SYDX ZYZJ BJC
- Crude: All ZY1

Search

Warrant Account ID	Duty-pa...	Depot	Premium/...	Crude	Premium/D...	Premium/...	Assign Mode	Last Delive...	Last Deliver...	Available Q...	Qty. Submi...
<input type="checkbox"/> scN000000003	Bonded	BJC	0.10	ZY1	0.01	0.00				3999000	0
<input type="checkbox"/> scN000000004	Bonded	BJC	0.10	ZY1	0.01	0.00	EFP	20201225	10,250.00	2000	0

OK

(2)

Define the search criteria to search the transfer warrant.

New Task ▶ Submit Quotation of Warrant Transfer

Search Criteria

- Product: Medium Sour Crude Oil
- Duty-paid Status: Bonded Duty-paid
- Depot: SHRZ ZHCZD SYDX ZYZJ BJC
- Crude: All ZY1

Search

Warrant Account ID	Duty-pa...	Depot	Premium/...	Crude	Premium/D...	Premium/...	Assign Mode	Last Delive...	Last Deliver...	Available Q...	Qty. Submi...
<input checked="" type="checkbox"/> scN000000003	Bonded	BJC	0.10	ZY1	0.01	0.00				3999000	10000
<p>Please select by product property - Storage Location : Qty. Submitted/Qty. Available</p> <ul style="list-style-type: none"> BJC1 -- : 3999000 / 3999000 <p>Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available</p> <ul style="list-style-type: none"> 20201030-20201130 : 3999000 / 3999000 											
<input type="checkbox"/> scN000000004	Bonded	BJC	0.10	ZY1	0.01	0.00	EFP	20201225	10,250.00	2000	0

OK

Select the warrants to be transferred and fill in the "Quantity Submitted".After filling all essential information, click the "OK" button to submit the application.

After submitting the application,you can query the details of the quotation of warrant transfer including the trading state of the quotation on the relevant pages of "Operation Query" and "General Query".

Note: The state of available warrants for quotation of warrant transfer should be "Normal",and the lock state should be unlocked, the frozen state should be normal.

Withdraw Quotation of Warrant Transfer

OSNBP users can take the initiative to withdraw the application for quotation of warrant transfer in this system, and the application can also be withdrawn by Warrant Trading Platform and then the feedback result can come to this system.

OSNBPs can enter the page of Withdrawing Quotation of Warrant Transfer in "New Task" to take the initiative to withdraw the application.

(1)

From the navigation menu, select "New Task" --> "Medium Sour Crude Oil" --> "Withdraw Quotation of Warrant Transfer" to enter the page for withdrawing quotation of warrant transfer for Medium Sour Crude Oil.

The screenshot shows a web application interface for "Withdraw Quotation of Warrant Transfer". The "Search Criteria" section is populated with the following values: Product: Medium Sour Crude Oil; Duty-paid Status: Bonded; Depot: SHRZ; Crude: All. A search button is visible below the criteria. The table below the search bar is empty, and an "OK" button is at the bottom.

Series No.	Warrant Accou...	Duty-...	Depot	Premium...	Crude	Premium...	Premium...	Start Dat...	End Date...	Assign M...	Last Deliv...	Last Deliv...	Available...
------------	------------------	----------	-------	------------	-------	------------	------------	--------------	-------------	-------------	---------------	---------------	--------------

(2)

Define the search criteria to search the transfer warrant.

The screenshot shows the same web application interface, but now with search results. The "Search Criteria" section is updated to include Depot: BJC. The table below the search bar contains one row of data. An "OK" button is at the bottom.

Series No.	Warrant Accou...	Duty-...	Depot	Premium...	Crude	Premium...	Premium...	Start Dat...	End Date...	Assign M...	Last Deliv...	Last Deliv...	Available...
41	scN000000002	Bond...	BJC	0.10	ZY1	0.01	0.00	20211013	20211031				5000

(3)

Select the applicaiton for quotation of warrant transfer to be withdrawn, and click the "OK" button, then withdraw the applicaiton.

Search Criteria

- Product: Medium Sour Crude Oil
- Duty-paid Status: Bonded Duty-paid
- Depot: SHRZ ZHCZD SYDX ZYZJ BJC
- Crude: All ZY1

Series No.	Warrant Accou...	Duty-...	Depot	Premium...	Crude	Premium...	Premium...	Start Dat...	End Date...	Assign M...	Last Deliv...	Last Deliv...	Available...
41	scN000000002	Bond...	BJC	0.10	ZY1	0.01	0.00	20211013	20211031				5000

OK

Product: TSR 20, LSFO, Copper

The process and steps for warrant trading are essentially identical for TSR 20, LSFO, and Copper. This section uses TSR 20 to illustrate the specific operations to be taken by an OSNBP at each process node for warrant trading. 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 quotation of warrant transfer

OSNBPs start the warrant transfer quotation business by submitting quotation of warrant transfer in this system.

[Note]OSNBPs must get the qualification of warrant trading first before applying for quotation of warrant transfer ,OSNBPs can query the situation of account opening by selecting "General Query --> Account opening".

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Submit Quotation of Warrant Transfer" to enter the application page for quotation of warrant transfer for TSR 20.

New Task ▶ Submit Quotation of Warrant Transfer

Search Criteria

Product: TSR 20

• Depot: • Duty-paid Status: Bonded

Brand: Manufacture:

Grade: Specification:

Warrants of Automatic batch selection: Warrant No.:

Available Warrants									Selected Warrants S/U E	
Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufac...	Grade	Premium/...	Specificati...	Warrant No.	Duty-paid ...

Page 1 / Total 1

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

Selected: 0 warrants, 0.000 tonne

(2)

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 ▶ Submit Quotation of Warrant Transfer

Search Criteria

Product: TSR 20

• Depot: BJC • Duty-paid Status: Bonded

Brand: Manufacture:

Grade: Specification:

Warrants of Automatic batch selection: Warrant No.:

Available Warrants									Selected Warrants S/U E		
Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufac...	Grade	Premium/...	Specificati...	Warrant No.	Duty-paid ...	
<input checked="" type="checkbox"/>	nrbjc0025292	nr2200000004	Bonded	brand1	0.22	Factory3	0.11		<input checked="" type="checkbox"/>	nrbjc0025292	Bonded
<input type="checkbox"/>	nrbjc0025293	nr2200000004	Bonded	brand1	0.22	Factory3	0.11		<input type="checkbox"/>		
<input type="checkbox"/>	nrbjc0025294	nr2200000004	Bonded	brand1	0.22	Factory3	0.11		<input type="checkbox"/>		
<input type="checkbox"/>	nrbjc0025295	nr2200000004	Bonded	brand1	0.22	Factory3	0.11		<input type="checkbox"/>		
<input type="checkbox"/>	nrbjc0025296	nr2200000004	Bonded	brand1	0.22	Factory3	0.11		<input type="checkbox"/>		

Page 1 / Total 1

Available: 5 warrants, 504.000 tonne, Total: 5 warrants

Selected: 1 warrants, 100.800 tonne

(3)

Select the warrants, and click the "OK" button to submit the application for quotation of warrant transfer.

After submitting the application, you can query the details of the quotation of warrant transfer including the trading state of the quotation on the relevant pages of "Operation Query" and "General Query".

Note: The state of available warrants for quotation of warrant transfer should be "Normal", and the lock state should be unlocked, the frozen state should be normal.

Withdraw quotation of warrant transfer

OSNBP users can take the initiative to withdraw the application for quotation of warrant transfer in this system, and the application can also be withdrawn by Warrant Trading Platform and then the feedback result can come to this system.

OSNBPs can enter the page of Withdrawing Quotation of Warrant Transfer in "New Task" to take the initiative to withdraw the application.

(1)

From the navigation menu, select "New Task" --> "TSR 20" --> "Withdraw Quotation of Warrant Transfer" to enter the page for Withdrawing Quotation of Warrant Transfer for TSR 20.

The screenshot displays the 'Withdraw Quotation of Warrant Transfer' interface. At the top, there is a breadcrumb trail: 'New Task > Withdraw Quotation of Warrant Transfer'. Below this is the 'Search Criteria' section, which includes a dropdown for 'Product' set to 'TSR 20'. Other fields include 'Depot', 'Brand', 'Grade', 'Warrants of Automatic batch selection', 'Duty-paid Status' (set to 'Bonded'), 'Manufacture', 'Specification', and 'Warrant No.'. There are 'Search' and 'Automatic batch select' buttons. The main area contains two tables: 'Available Warrants' and 'Selected Warrants', both of which are currently empty. The 'Available Warrants' table has columns for 'Warrant No.', 'Load-in Appli...', 'Duty-paid ...', 'Brand', 'Premium/...', 'Manufacture', 'Grade', 'Premium/...', and 'Specification'. The 'Selected Warrants' table has columns for 'Warrant No.' and 'Duty-paid ...'. At the bottom, there is a pagination control showing 'Page 1 / Total 1' and a 'Go to' button. A status bar at the bottom indicates 'Available: 0 warrants, 0.000 tonne, Total: 0 warrants' and 'Selected: 0 warrants, 0.000 tonne'. A yellow 'OK' button is located at the bottom center.

(2)

Define the search criteria to search the transfer warrant.

New Task ▸ Withdraw Quotation of Warrant Transfer

Search Criteria

Product: TSR 20

• Depot: BJC

Brand:

Grade:

Warrants of Automatic batch selection:

• Duty-paid Status: Bonded

Manufacture:

Specification:

Warrant No.: -

Available Warrants									Selected Warrants	
Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Warrant No.	Duty-paid ...
<input type="checkbox"/>	nrbjc0025012	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025013	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025014	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025015	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025016	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025017	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025018	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	

Page 1 / Total 1

Available: 9 warrants, 90.720 tonne, Total: 9 warrants

Selected: 0 warrants, 0.000 tonne

(3)

Select the applicaiton for quotation of warrant transfer to be withdrawn, and click the "OK" button, then withdraw the applicaiton.

New Task ▸ Withdraw Quotation of Warrant Transfer

Search Criteria

Product: TSR 20

• Depot: BJC

Brand:

Grade:

Warrants of Automatic batch selection:

• Duty-paid Status: Bonded

Manufacture:

Specification:

Warrant No.: -

Available Warrants									Selected Warrants	
Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	nrbjc0025012	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input checked="" type="checkbox"/>	nrbjc0025013	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025014	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025015	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025016	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025017	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	
<input type="checkbox"/>	nrbjc0025018	nr2100000001	Bonded	brand1	0.22	Productio...	PJ1	0.11	specificati...	

Page 1 / Total 1

Available: 9 warrants, 90.720 tonne, Total: 9 warrants

Selected: 2 warrants, 20.160 tonne

Chapter21 OTC Online Pledge

The process of an OTC online pledge starts with an application by the pledger, and ends with a review by the depot and customs, when an instruction will be sent to the SHFE OTC Platform to change the locked status of the warrants to "In Transaction." This status will be further updated upon receiving the feedback from the Platform (Feedback will be based on the specifics of the warrants; a partial rejection and partial success is possible).

To discharge an OTC online pledge, the “Discharge Pledge” process must first be completed on the SHFE OTC Platform for the relevant warrants. Only after that can a discharge application be submitted in the INE warrant system. The application will then undergo reexamination by the pledgee, followed by a review by the depot and customs. Once the pledger confirms, the discharge will take effect, and the warrants will revert to an “unlocked” status and become available for other transactions.

Product:Medium Sour Crude Oil

OTC online pledge is not yet available for Medium Sour Crude Oil.

Product: TSR 20, LSFO, Copper

Submit OTC online pledge

This section uses LSFO to illustrate the specific operations.

An OSNBP as a pledger can initiate an OTC online pledge application. After the depot and customs review the application, the system will send an instruction to the SHFE OTC Platform to update the locked status of the warrant to “In Transaction.”

(1)

From the navigation menu, select “New Task” --> “LSFO” --> “Submit OTC online pledge” to enter the application page for OTC online pledge for LSFO.

(2)

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 > OTC online pledge

Search Criteria

Product: LSFO
 * Depot: 806
 Grade:
 * Duty-paid Status: Bonded
 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	Premium/...	Depot	Premium/...	Premium/...	Place of St...	Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	lu8060000001	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00	lu8060000001	Bonded
<input type="checkbox"/>	lu8060000002	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00		
<input type="checkbox"/>	lu8060000003	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00		
<input type="checkbox"/>	lu8060000004	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00		
<input type="checkbox"/>	lu8060000005	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00		
<input type="checkbox"/>	lu8060000006	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00		

Page 1 / Total 1

Available: 6 warrants, 60,000 tonne, Total: 6 warrants
 Selected: 1 warrants, 10,000 tonne

Information of OTC online pledge

* Pledge code:
 * Pledge name:
 Note:

(3)

After selecting the warrants, fill the information of Pledgee code, Pledgee name and notes, then click "OK" to submit the application of OTC online pledge.

After submitting the application, an OSNBP can search the detail information in the functions of "Operation Query" and "General Query".

Task Tracking

In Task Tracking, search and view the OTC online pledge application and its status. OSNBPs may cancel the application prior to the review by the depot.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Discharge OT...	lu2300000381	Pending	Discharge OTC online pledge (initiated by Pledgee 8800700...	Submit appli...	20230815	20230815

Discharge OTC online pledge

Submit the application of discharge OTC online pledge

An OSNBP as a pledgee may apply to discharge an OTC online pledge.

(1)

From the navigation menu, select "New Task" --> "LSFO" --> "Discharge OTC online pledge" to enter the page for Discharge OTC online pledge for LSFO.

(2)

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 ▶ Discharge OTC online pledge

Search Criteria

Product: LSFO
 • Depot: 806
 Grade:
 Warrants of Automatic batch selection:
 • Pledgor ID: 60010098
 Warrant No.:

Search Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...
<input type="checkbox"/> lu806000008	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00	806STGP...

Page 1 / Total 1 Go to

Available: 1 warrants, 10.000 tonne, Total: 1 warrants

Selected Warrants S/U E

Warrant No.	Duty-paid ...
<input type="checkbox"/>	

(3)

Click "OK" to submit the application of Discharge of OTC online pledge.

Task Tracking

In Task Tracking, search and view the Discharge of OTC online pledge application and its status.

Click the icon in the Operation column to cancel the application before client review application for discharge of OTC online pledge.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Discharge OT...	lu2300000383	Pending	Discharge OTC online pledge (initiated by Pledgee 8800700...	Submit appli...	20230816	20230816

Review application for discharge of OTC online pledge

The OSNBP is also required to review the application for discharge of OTC online pledge.

(1)

Following application submission, enter the "To-do" page and set the product as "LSFO" and the operation type as "Discharge OTC online pledge" to search for the application awaiting review.

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge O...	lu2300000383	Discharge OTC online pledge (initiated by Pledgee 8800...	Submit applic...	20230816	10:42:01	20230816	10:42:01

(2)

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

To Do ▶ Review application for discharge of OTC online pledge

Information on transaction order of application for discharge of warrant pledge

Application Business Code: lu2300000383 Product: LSFO
 Declaration Date: 20230816 Declaration Time: 10:42:01
 Duty-paid status: Bonded Depot: test802
 Pledgee code: 88007001 Pledgee name: xoq0535
 Client code: 60007100 Client Name: 397
 Declared Weight: 10.000 Status: Submit application
 Note:

[export warrant details](#)

Warrant No.	trading st...	Duty-paid ...	Depot	Place of St...	Country	Source of ...	Grade	Specificati...	End Date ...	Expiry date	Weight	Vali...
lu8022132842	Release fr...	Bonded	802	802STGP...	Domestic	Imported	lu 1		20240205	20240205	10.000	Nor

Current:1-1,Total:1 Page 1 / Total 1 1 Go to

(3)

The following actions may be taken at the bottom of the page:

- Approve: Click the "Approve" button to approve the discharge of OTC online pledge application. With it, the process proceeds to the next node;
- Reject: Click the "Reject" button to reject the discharge of OTC online pledge application.

Click the "export warrant details" button to export the warrant information.

Task Tracking

In Task Tracking, search and view the Discharge of OTC online pledge application and its status.

Confirm application for discharge of OTC online pledge

Where an OSNBP is a pledger of an OTC online pledge, and the pledgee submits an application for discharging the pledge, the OSNBP is required to confirm the discharge after the depot and customs review the application.

(1)

Following application submission, enter the "To-do" page and set the product as "LSFO" and the operation type as "Discharge OTC online pledge" to search for the application awaiting review.

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge O...	lu2300000381	Discharge OTC online pledge (initiated by Pledgee 6001...	Pass customs r...	20230815	09:15:18	20230815	14:32:56

(2)

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

To Do > Confirm application for discharge of OTC online pledge

Information on transaction order of application for discharge of warrant pledge

Application Business Code: lu2300000381 Product: LSFO
 Declaration Date: 20230815 Declaration Time: 09:15:18
 Duty-paid status: Bonded Depot: test803
 Pledgee code: 60010098 Pledgee name: 1950
 Client code: 88007001 Client Name: xog0535
 Declared Weight: 10.000 Status: Pass customs review
 Note:

[export warrant details](#)

Warrant No.	trading st...	Duty-paid ...	Depot	Place of St...	Country	Source of ...	Grade	Specificati...	End Date ...	Expiry date	Weight	Vali...
lu8030000003	Release fr...	Bonded	803	803STGP...	Domestic	Imported	lu 1		20230909	20240131	10.000	Nor

Current:1-1,Total:1 Page 1 / Total 1 1 Go to

(3)

The following actions may be taken at the bottom of the page:

- Approve: Click the "Approve" button to approve the discharge of OTC online pledge application. With it, the process proceeds to the next node;
- Reject: Click the "Reject" button to reject the discharge of OTC online pledge application.

Click the "export warrant details" button to export the warrant information.

Task Tracking

In Task Tracking, search and view the Discharge of OTC online pledge application and its status.

Chapter22 Warehouse Transfer

Warehouse Transfer of a OSNBP's warrant should be initiated by the warehouse, confirmed by the OSNBP and reviewed by the Exchange. During warehouse transfer, the warrant will not be cancelled and its number will remain the same; only such information as its warehouse and storage area will be updated, and its ongoing business (margin deposit only) will not be suspended.

Product:Medium Sour Crude Oil,TSR 20,LSFP,Copper

The process and steps for warehouse transfer are essentially identical for Medium Sour Crude Oil,TSR 20, LSFO, and Copper. This section uses LSFP to illustrate the specific operations to be performed by an OSNBP at each process node for warehouse transfer. Please use the section below as a reference for the corresponding process and steps for Medium Sour Crude Oil,TSR 20 and Copper, as those will not be covered separately.

Confirm warehouse transfer

The OSNBP needs to confirm the application for warehouse transfer upon submission of the application by the warehouse.

(1)

Following application submission by the warehouse, enter the "To-do" page and set the product as "LSFO" and the operation type as "Warehouse transfer" to search for the application awaiting review.

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Warehouse ...	sc2023000001	Warehouse transfer (initiated by warehouse bjc, storage...	Move-out war...	20230206	16:29:29	20230206	16:29:29

(2)

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

To Do ▶ Confirmed by client

Transaction information

Transaction No.: sc2023000001	Product: CrudeOil
Application date: 20230206	Status: Move-out warehouse application
Client code: 88007001	Client Name: xog0535
Total warehouse transfer quantity: 100000	
Move-out warehouse: BJC1	Move-out storage location: j002
Move-out warehouse remarks:	

Warrants eligible for warehouse transfer

Warrant Account ID	Crude	Quantity
scB000000041	zhongyou	100000

Current:1-1,Total:1 Page 1 / Total 1 | 1 | Go to

Warrants ineligible for warehouse transfer

Warrant Account ID	Crude	Account Type	Operation Type	Quantity
scB000000027	zhongyou	Account Processing Operation	Warrant Load-out	100000

Current:1-1,Total:1 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 warehouse transfer application;
- Reject: Click the "Reject" button to reject the warehouse transfer application. The OSNBPs can modify or cancel the the application rejected in "Task Tracking".

Task Tracking

In "Task Tracking", set the operation type as "Warehouse transfer" to search for the task and view its status.

Chapter 23 Query

Operation Query

OSNBPs may query all kinds of business information in the Operation Query, including the historical data of Load-in, Warrant Authorization, Collateralization For Margin, Delivery, EFP Delivery, Off-Exchange Pledge, Warrant Transfer, Warrant Cancellation, repaid Storage Fee and Physicals Filing.



In the navigation menu, select "Operation Query" to find the detailed information.

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 at that node; blue node indicates the operation on that node has finished; and white node indicates the operation hasn't reached that node yet:

Operation Query > Load-in Application Query > View Load-in Application Info.

Trading Member (INE_88007001)	INE(AEAT)	Warehouse (INE_SHC)	Warehouse (INE_SHC)	Warehouse (INE_SHC)	Trading Member	INE	Warehouse	Warehouse	Client
Applied Load-in Application	Approved Load-in Application	Applied Warrant Generation Application	Modified Warrant Generation Application	Modified Warrant Generation Application	Confirm Warrant Generation	Approve warrant generation	Fill in warrant generation form	Warrant generation verification	Inspection Accept v
20191216 09:57	20191216 10:03	20191216 10:06	20191216 13:35	20191216 13:36					

Application Info.

Load-in Application Form [sc1900000015](#)

No.:

Product: Medium Sour Crude Oil	Duty-paid Status: Bonded
Source of Cargo: Imported	Client ID: 88007001
Client Name: tst2013	Member: n7001(7001)
Crude: CHINA Crude 1	Country: Domestic
Origin: Beijing	Proposed Load-in Date: 20191216
Futures Declaration Qty. 300000 (barrel) :	
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): ergtrgh
Transportation: Waterway	Vehicle and Vessel No. of Declaration: 123
Name: wfbhg	Telephone: 23456
Mobile: 34567	Fax: 345678

Note for Load-in Application :

Summary Query

As for the users, summary query offers all kinds of operation summaries in different dimensions and exhibits summarized data from different perspectives. OSNBPs may use this function to obtain the operation summary of Warrant Account, Load-in, Collateralization For Margin, Warrant Transfer, Warrant Cancellation, Delivery and Off-Exchange Pledge.

Summary Query

<p>Warrant Account</p> <ul style="list-style-type: none"> Warrant Account Summary Query Storage Fee Summary Query Statistics on special institutional client warrants Warrant balance 	<p>Load-in</p> <ul style="list-style-type: none"> Load-in Application Summary Query
<p>Collateralization For Margin</p> <ul style="list-style-type: none"> Margin Summary Query 	<p>Warrant Transfer</p> <ul style="list-style-type: none"> Warrant Transfer Summary Query
<p>Warrant Cancellation</p> <ul style="list-style-type: none"> Warrant Load-out Summary Query Bonded Delivery Settlement Summary Query Overseas Delivery-Taking by Agreement Summary Query 	<p>Delivery</p> <ul style="list-style-type: none"> Delivery Summary Query
<p>Off-Exchange Pledge</p> <ul style="list-style-type: none"> Off-Exchange Pledge Registration Summary Query Discharge of Off-Exchange Pledge Summary Query 	<p>Change Quality Inspection Date</p> <ul style="list-style-type: none"> Change Quality Inspection Date Summary Query

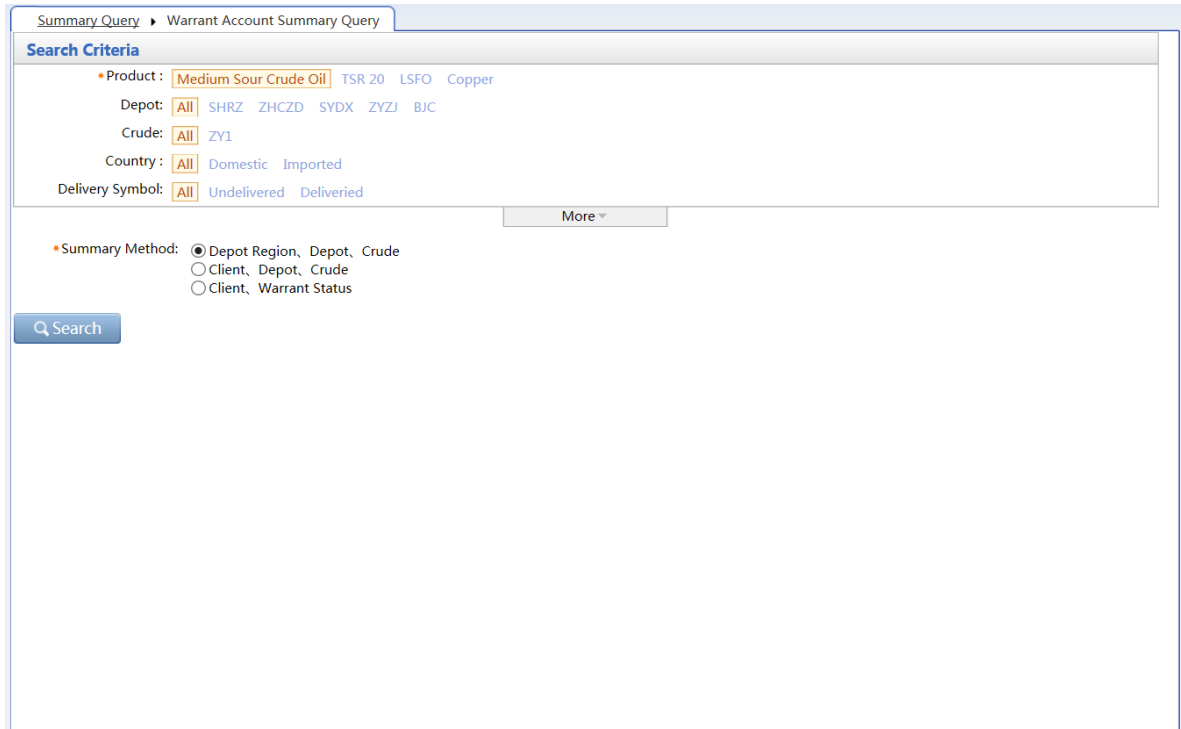
Load-in Application Summary Query

Summarize the commodities information for the load-in application as per the rollup fields.

(1)

In the page of "Summary Query", click the "Load-in Application Summary Query" under the title of "Load-in" to enter the page of summary query.

(2)



The screenshot displays a web application interface for a 'Warrant Account Summary Query'. The page title is 'Summary Query' with a sub-tab 'Warrant Account Summary Query'. Below the title is a 'Search Criteria' section with the following fields:

- Product: Medium Sour Crude Oil (selected), TSR 20, LSFO, Copper
- Depot: All (selected), SHRZ, ZHCZD, SYDX, ZYZJ, BJC
- Crude: All (selected), ZY1
- Country: All (selected), Domestic, Imported
- Delivery Symbol: All (selected), Undelivered, Delivered

A 'More' button is located below the search criteria. Below this is the 'Summary Method' section with three radio button options:

- Depot Region, Depot, Crude
- Client, Depot, Crude
- Client, Warrant Status

A 'Search' button is located at the bottom left of the search criteria section.

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 Region", "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	2780000	300000
	Abu Dhabi crude	400000	
	Sub-total	3180000	300000
qingdao warehouse	Abu Dhabi crude	250000	250000
	Daqing crude oil	200000	200000
	Sub-total	450000	450000
Beijing warehouse	CHINA Crude 1	1000000	1000000
	Sub-total	1000000	1000000
Total		4630000	1750000

[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

OSNBPs may obtain the details, comparison and comprehensive view of certain data through the general query, currently including the Warrant Account Query, Delivery Query, Warrant Authorization Query, Tank No..

General Query

Warrant Account

- Warrant Account Detail Query
- Auto Warrant Cancellation Query
- Warrant Operation tracking
- Valid warrants search
- Warrants held by factory warehouse
- Search details on exceedance of warrant limit by Special Institutional
- New-and-old correspondence query after warrant combination

Delivery

- Sell-Side Delivery Query
- Buy-Side Delivery Query
- Print Client's Delivery Settlement Statement
- Notice of Delivery Interest Query
- EFP Intention Query
- Search sell for delivery orders

Warrant Authorization

- Warrant Authorization Query

Tank No.

- Tank No. Query

Certification Info.

- Check Certification General Query

SHFE OTC Platform transaction

- Account Opening
- General Query Quotation of Warrant Transfer
- Detailed Query Quotation of Warrant Transfer
- Warehouse Account Opening
- General Query Warrant Auth
- Detailed Query Warrant Auth
- Details query of authorized warrants
- Comprehensive query of OTC online pledge
- Details query of OTC online pledge
- Comprehensive query of OTC online pledge discharge
- Details query of OTC online pledge discharge

No more details on the query will be repeated here.

Chapter 24 System Management

In the System Management, OSNBPs may conduct the management of the Member and the Role as well.

Member Users

In the navigation menu, select "System Management" --> "(Role) Member" 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 Opening D...
INE_88007001	88007001	Operator	Activate	20170822

Total Records:1 Page 1 / Total 1 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:

Search

User ID	User Name	Level	Status	Account Opening D...
INE_88007001	88007001	Operator	Activate	20170822

Total Records:1 Page 1 / Total 1 1 Go to

+ Add Modify Delete

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 the user information in the tab of "User Information". And select the role to the newly added user in the tab of "User's Permission".

Click the "OK" button to add the Member user. Added user is subject to review by INE and will be activated only upon the approval of INE.

[Note] Added user is subject to review by INE. In this step, Overseas Special Brokerage Participant should submit the certificates and materials required by INE. You are suggested to add new users through the Account/User Change functionality and upload scanned copies of the required certificates and materials as attachments in the Account/User Change page. Upon granting its approval, INE will add and activate the new users for the applying member.

Modify a Member User

(1)

In the navigation menu, select "System Management" --> "(Role)Member" to enter the page of Member users.

(2)

Set the search criteria to find the user to be modified.

The screenshot displays the 'System Manage' interface for 'Member' users. At the top, there is a 'Search Criteria' section with a 'Status' dropdown menu (options: All, Initial, Activate, Forbidden, Cancel) and two input fields for 'Account Opening Date' and 'User ID/Name'. Below this is a 'Search' button. The main area contains a table with the following data:

User ID	User Name	Level	Status	Account Opening D...
INE_9988008020	ytutyiu	System Super Operator	Activate	20221107

At the bottom of the table, there are three buttons: '+ Add', 'Modify' (highlighted with a red box), and 'Delete'. The 'Total Records:1' and 'Page 1 / Total 1' information is visible at the bottom right of the table area.

(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 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" 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 members. 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 Opening Date: [Date Picker] [Date Picker]
- User ID/Name: [Text Input]

A "Search" button is located below the search criteria. Below the search section is a table with the following columns: User ID, User Name, Level, Status, and Account Opening D... The table contains two rows of data:

User ID	User Name	Level	Status	Account Opening D...
INE_88007001	88007001	System Super Operator	Activate	20210128
TKMY	TKMY	System Super Operator	Activate	20170317

Below the table, it says "Total Records:2". On the right side, there is a pagination control: "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.

Role Management

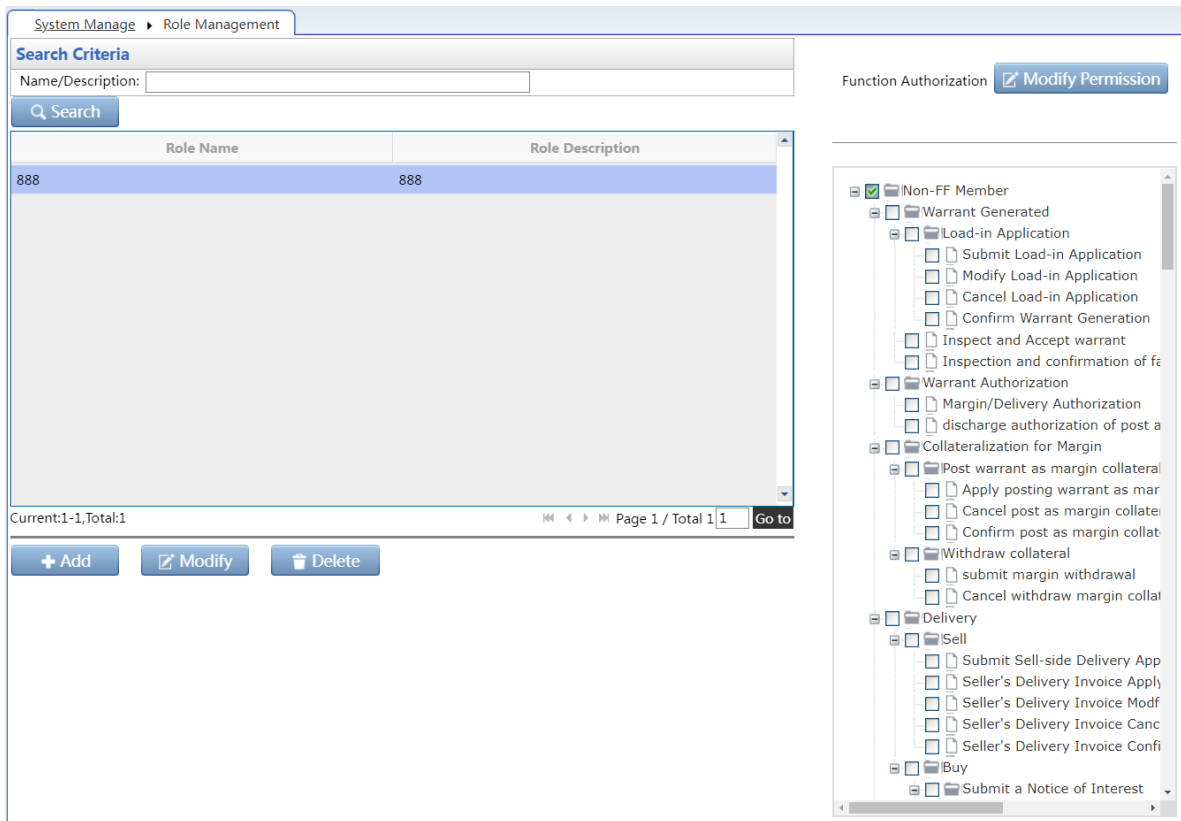
This System adopts a User-Role-Permission Group-Function Model for the management of user's permission system. The permission group defines the universal set of functions available for a role, while the role defines the business functions under a certain permission group. A User may add, modify or delete a role.

Each role has a Creator. Only the Creator of a role can modify or delete the role.

Add a Role

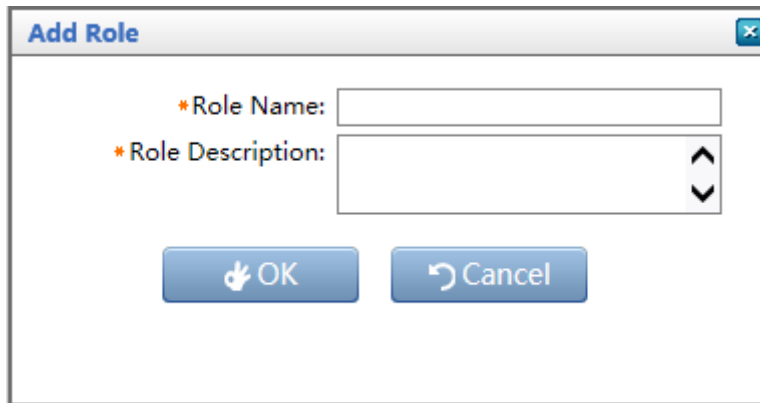
(1)

In the system navigation menu, select "System Management" --> "(User Role) 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. On the left, there is a search criteria section with a 'Name/Description' field and a 'Search' button. Below this is a table with two columns: 'Role Name' and 'Role Description'. The table contains one row with the value '888' in both columns. At the bottom of the table are three buttons: '+ Add', 'Modify', and 'Delete'. On the right side, there is a 'Function Authorization' section with a 'Modify Permission' button. Below this is a tree view of permissions. The tree view includes the following categories and sub-permissions:

- Non-FF Member
 - Warrant Generated
 - Load-in Application
 - Submit Load-in Application
 - Modify Load-in Application
 - Cancel Load-in Application
 - Confirm Warrant Generation
 - Inspect and Accept warrant
 - Inspection and confirmation of fe
 - Warrant Authorization
 - Margin/Delivery Authorization
 - discharge authorization of post a
 - 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
 - submit margin withdrawal
 - Cancel withdraw margin collat
 - Delivery
 - Sell
 - Submit Sell-side Delivery App
 - Seller's Delivery Invoice Apply
 - Seller's Delivery Invoice Modf
 - Seller's Delivery Invoice Canc
 - Seller's Delivery Invoice Confi
 - Buy
 - Submit a Notice of Interest

Tick the permission(s) to be assigned to the role and click the "Modify Permission" 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.

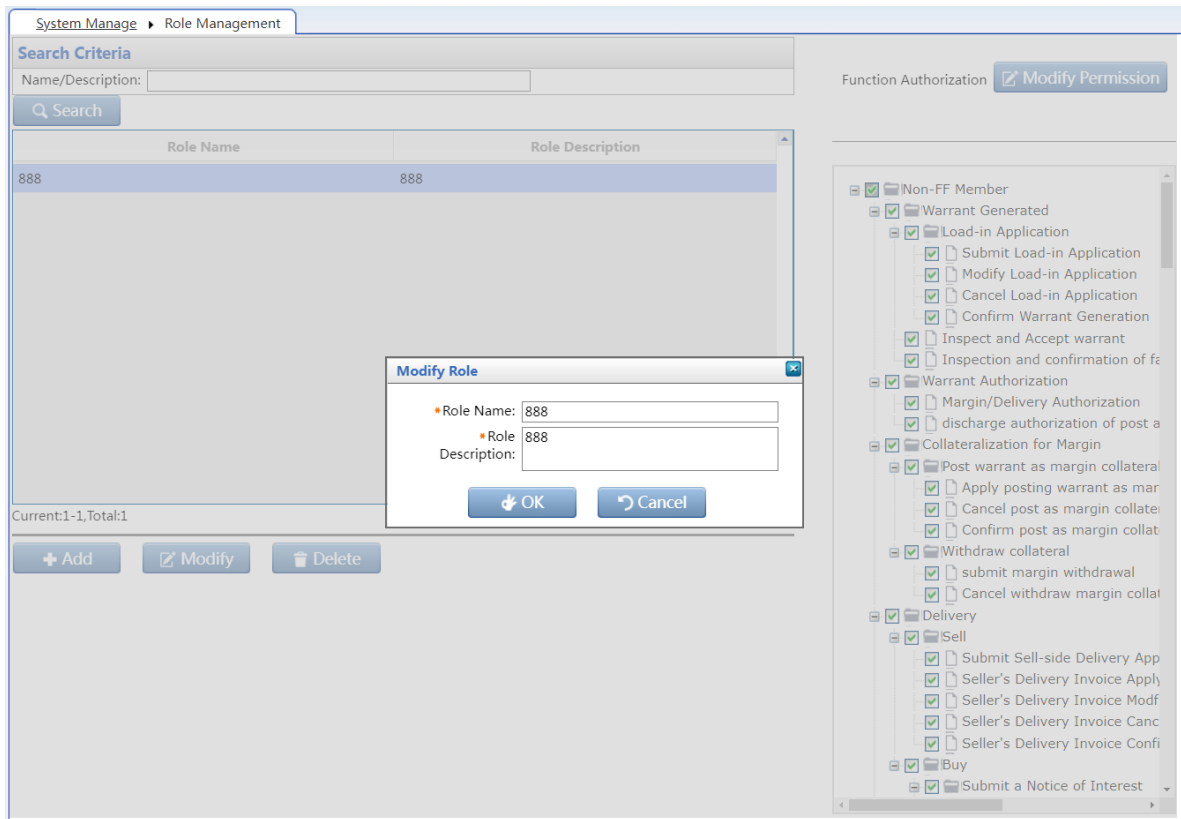
Modify a Role

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".



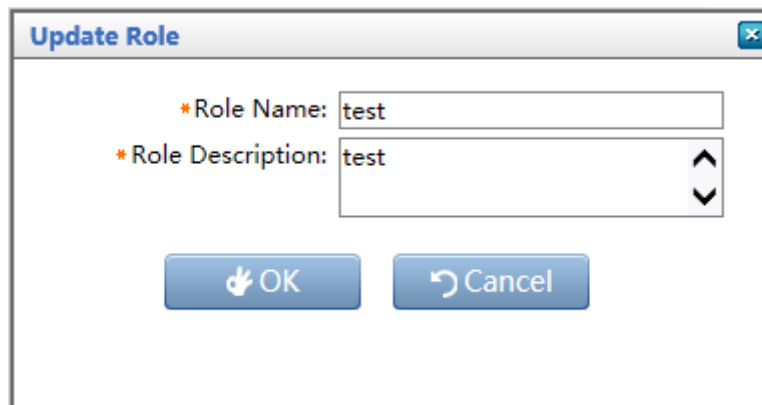
(2)

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

OSNBPs can only delete the role created by themselves.

(1)

Find the role to be deleted in the page of "Role Management".

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 Non-Brokerage Participant can submit a 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 User Change Application

(1)

From the Navigation Menu, access the Account/User Change page through System Manage--> (User Role) Account/User Change.

(2)

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.

Modify 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...	Account/Use...	202105000010	Pending	Account/User Change(initiated by Non-FF Member, Applic...	Applied by N...	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...	Account/Us...	202105000010	Account/User Change(initiated by Non-FF Member, Ap...	Pre-review Rej...	20210512	09:17:48	20210512	09:28:25

Cancel 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...	Account/Use...	202105000010	Pending	Account/User Change(initiated by Non-FF Member, Applic...	Applied by N...	20210512	20210512

SMS Subscription

Certain System information can be sent to the designed mobile phones of subscribers as text (SMS) messages. To use this function, the user should first set up the SMS subscription function.

Add

(1)

From the navigation menu, select "System Management" --> "SMS Subscription".

The screenshot shows the 'System Manage' interface for 'SMS Subscription'. At the top, there are two tabs: 'Mobile #' and 'Subscribed Service Type'. Below this is a 'Client Info.' section with a 'Mobile #' input field. A list of services is displayed with checkboxes: 'Load-in Application' (checked), 'Load-in application Approved by the Exchange', 'Exchange verifies warrant generation application', 'Depot submitted warrant generation application', 'Warrant generation applied by Depot', 'Warrant generation verified by Depot', 'Warrant generation application inspected & accepted by Client', 'Member submitted stock-in application', 'Member forwarded stock-in application', and 'Member confirmed warrant generation application'. Below the list are buttons for '+ Add', 'Modify', 'Delete', and 'Clear'. A yellow 'OK' button is at the bottom.

The upper section shows the list of active subscriptions; the lower section contains a list of services available for subscription.

(2)

This screenshot is identical to the previous one but includes red annotations for step 1. A red circle '1' is next to the 'Client Info.' header. A red box highlights the 'Mobile #' input field containing the number '18925145254'. A red circle '2' is next to the 'Load-in Application' checkbox, which is checked. A red circle '3' is next to the '+ Add' button.

Step 1: In "Client Info", enter the mobile number for receiving the text messages, and check the boxes next to the services to be subscribed for.

Step 2: Click the "Add" button to add the selection to the list of active subscriptions.

Step 3: After completing the selection process, click the "OK" button to submit the selection.

Modify

(1)

In "SMS Subscription", first select, in the "Subscribed Service Type" section, the mobile number for which the SMS subscription is to be modified. The selected mobile number and the associated subscriptions will then be displayed in the "Client Info" section below.

The screenshot displays a web application interface for managing SMS subscriptions. At the top, there is a breadcrumb trail: "System Manage > SMS Subscription". Below this, there are two main sections:

- Subscribed Service Type:** A table with two columns: "Mobile #" and "Subscribed Service Type". The first row is selected and highlighted in blue, showing the mobile number "18925145254" and the service type "Load-in application Approved by the Exchange | Exchange verifies warrant generation application | Depot submitted warrant generation application".
- Client Info:** A section containing a "Mobile #:" field with the value "18925145254". Below this is a tree view of subscriptions under the heading "Load-in Application". The tree view includes the following items, each with a checkbox:
 - Load-in Application
 - Load-in application Approved by the Exchange
 - Exchange verifies warrant generation application
 - Depot submitted warrant generation application
 - Warrant generation applied by Depot
 - Warrant generation verified by Depot
 - Warrant generation application inspected & accepted by Client
 - Member submitted stock-in application
 - Member forwarded stock-in application
 - Member confirmed warrant generation application
 - Warrant Authorization

At the bottom of the interface, there are four buttons: "+ Add", "Modify", "Delete", and "Clear". Below these buttons is a large yellow "OK" button.

(2)

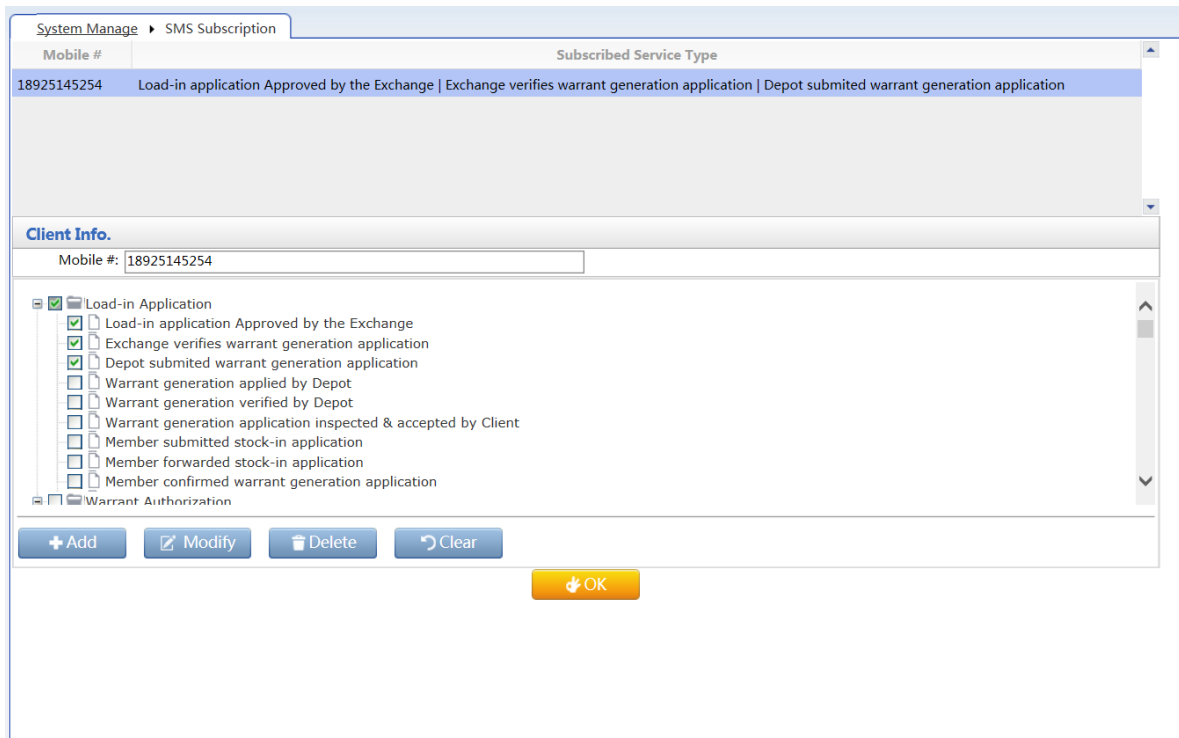
Step 1: Select from the list of active subscriptions those that need to be modified;

Step 2: In "Client Info.", change the mobile number and the subscriptions, and click the "Modify" button to update the selection.

Step 3: After completing the modification process, click the "OK" button to submit the selection.

Delete

(1)



Step 1: In "SMS Subscription", select the mobile number for which the subscription service is to be deleted.

Step 2: Click the "Delete" button to remove the subscribed services.

Step 3: After completing the deletion process, click the "OK" button to submit the result.

Risk Disclosure for SMS Service

After adding, modifying, or deleting any subscription, a user must click the "OK" button to confirm the changes, or these changes will not be submitted to the System.

Clicking "OK" will bring up the "Risk Disclosure of SMS Service for Standard Warrant".

Risk Disclosure of SMS Service for Standard Warrant

Dear Customers,
Please carefully read the following risk disclosure so as to fully understand the risk of SMS service for standard warrant.
SMS Service for standard warrant is to send your operational data to your designated mobile phone upon request from the Shanghai International Energy Exchange Standard Warrant System via China Mobile/China Unicom SMS gateway.
The SMS Service adopted advanced technology so as to delivery your data safely and accurately, ensuring privacy, accuracy and timeliness.
Nonetheless, SMS Service may still include but not limited to the following risks:

- 1. SMS Service sends the data through public network, through which the transmission may not be safe.**
- 2. SMS Service may be delayed due to heavy network traffic. Also, breakdown, pause, lag and incomplete or erroneous data are likely to occur due to technical improvement carried out by the Exchange or other technical reasons.**
- 3. Your SMS may be mistakenly sent to a third party other than you or our**

I have read and agree with the above agreement. I have read but disagree with the above agreement.

The user must agree to the terms of the agreement and click "OK" to save changes to the subscriptions. You cannot submit your subscription choices without agreeing to this agreement.

Circular Query

OSNBPs 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.

Circular

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:

I . Training Tour in Chengdu

Time : 13:30-17:30 p.m., July 11th, 2017 (Tuesday)

Venue: Chengdu Sofis Jinyuan Hotel, 22 Section 3 of Renmin Middle Road, Qingyang District. Chenadu

Chapter 25 VAT invoicing section

Tax setting

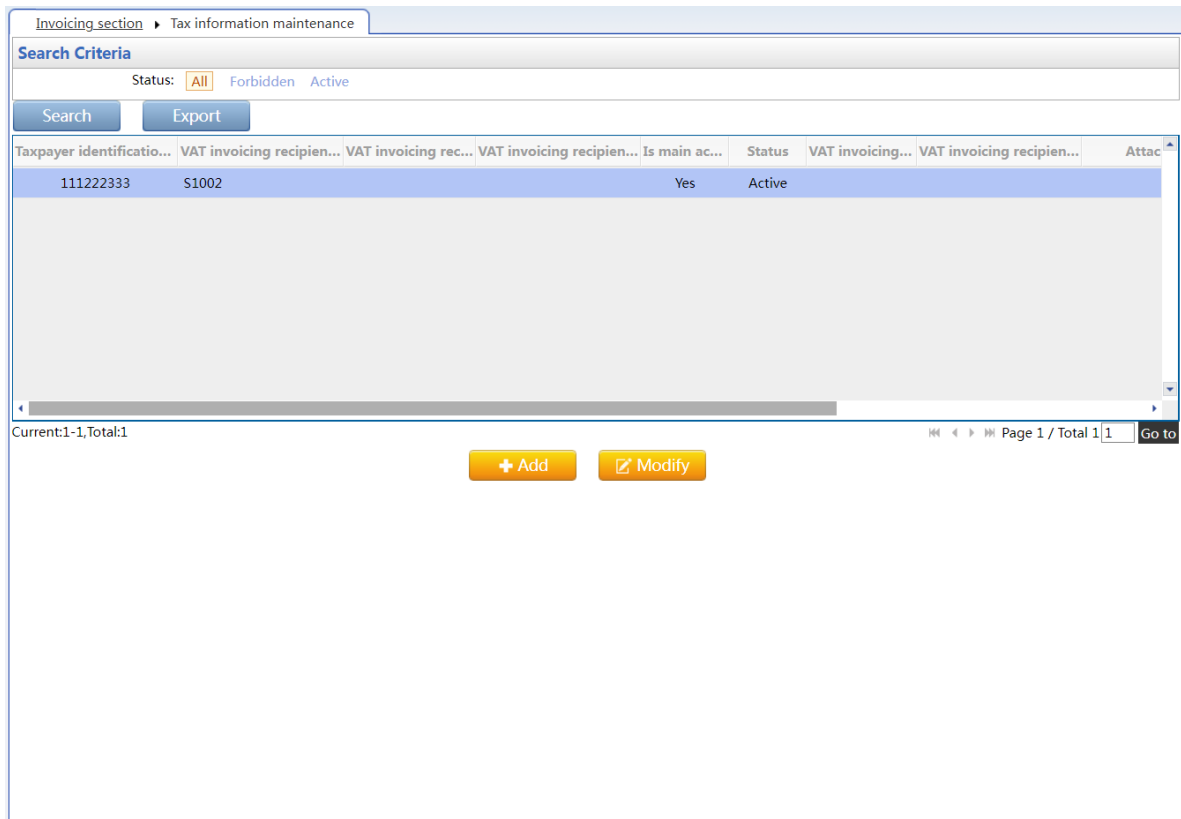
Tax setting includes tax information maintenance and operation search. An OSNBP may add and modify tax information on the Tax Information Maintenance page, provided that the additions and modifications are to be reviewed by INE, and may search the records of all operation activities concerning the tax 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)



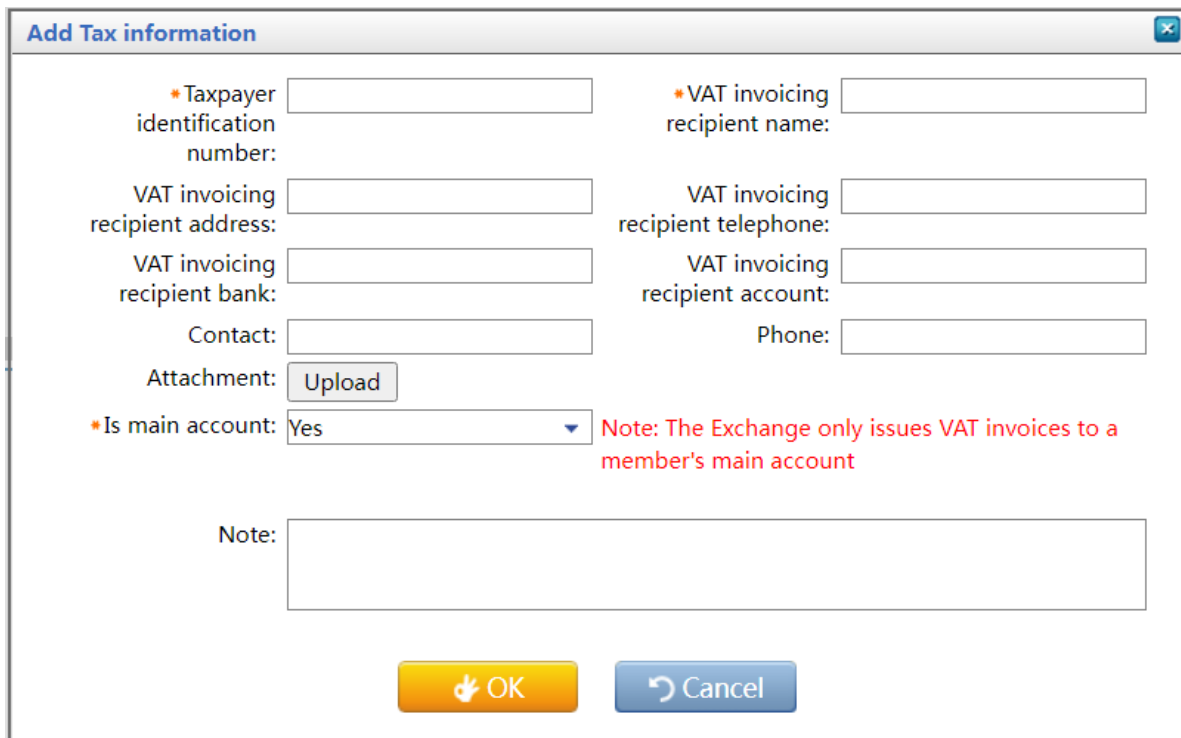
The screenshot shows a web application interface for "Tax information maintenance". At the top, there is a breadcrumb "Invoicing section > Tax information maintenance". Below this is a "Search Criteria" section with a "Status" dropdown set to "All" and options for "Forbidden" and "Active". There are "Search" and "Export" buttons. A table displays the following data:

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			

At the bottom of the table area, it says "Current:1-1, Total:1". Below the table are two buttons: "+ Add" and "Modify". The page footer shows "Page 1 / Total 1 | 1" and a "Go to" field.

Click the "Add" button at the bottom of the Tax Information Maintenance page, and the "Add Tax Information" window will pop up.

(2)



The screenshot shows a dialog box titled "Add Tax information". It contains the following fields and controls:

- * 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: (dropdown menu)

A red note is displayed: "Note: The Exchange only issues VAT invoices to a member's main account".

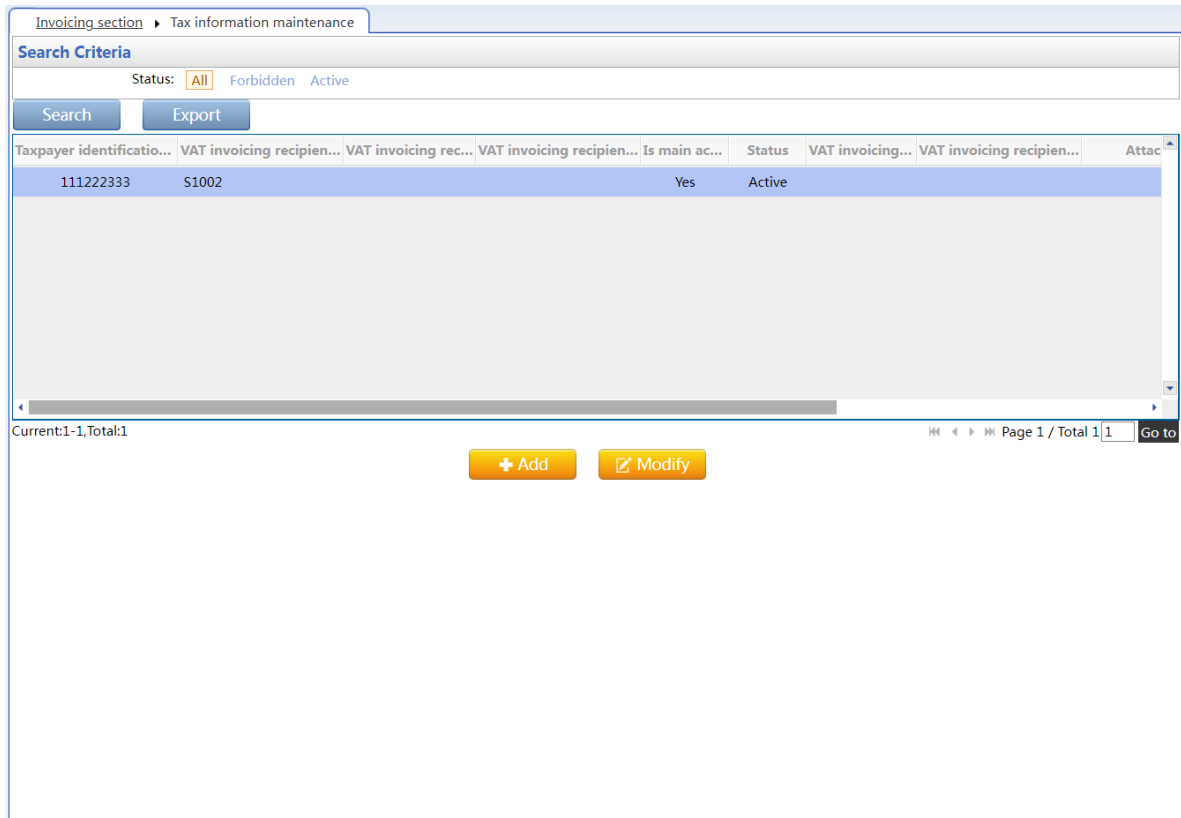
At the bottom, there is a "Note:" label followed by a large text area . Below the text area are two buttons: "OK" and "Cancel".

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 displays the 'Tax information maintenance' page. At the top, there is a breadcrumb 'Invoicing section > Tax information maintenance'. Below this 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 with the following columns is shown: 'Taxpayer identificatio...', 'VAT invoicing recipien...', 'VAT invoicing rec...', 'VAT invoicing recipien...', 'Is main ac...', 'Status', 'VAT invoicing...', 'VAT invoicing recipien...', and 'Attac'. A single record is listed with values: '111222333', 'S1002', 'Yes', and 'Active'. At the bottom of the page, there are two buttons: '+ Add' and 'Modify'.

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			

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)

Modify Tax information ✖

Member No.: <input style="width: 150px;" type="text" value="8020"/>	Member short name: <input style="width: 150px;" type="text" value="L2"/>
*Taxpayer identification number: <input style="width: 150px;" type="text" value="8020"/>	*VAT invoicing recipient name: <input style="width: 150px;" type="text" value="8020"/>
VAT invoicing recipient address: <input style="width: 150px;" type="text"/>	VAT invoicing recipient telephone: <input style="width: 150px;" type="text"/>
VAT invoicing recipient bank: <input style="width: 150px;" type="text"/>	VAT invoicing recipient account: <input style="width: 150px;" type="text"/>
Contact: <input style="width: 150px;" type="text"/>	Phone: <input style="width: 150px;" type="text"/>
Attachment: 111.rar <input type="button" value="Delete"/>	
*Is main account: <input type="text" value="Yes"/> ▼	Note: The Exchange only issues VAT invoices to a member's main account
*Status: <input type="text" value="Active"/> ▼	
Note: <input style="width: 150px; height: 30px;" type="text"/>	

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.

Invoicing section ▶ Action search

Search Criteria

Action type: All Add Update Delete

Application status: All Application Cancel Approved after review Reject

Application No.:

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

Current:1-4,Total:4 Page 1 / Total 1 1 Go to

(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 20220822 14:27 — Approved 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: [Dropdown]

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: [TSR 20](#) [LSFO](#) [Copper](#)
- Transaction type:
- Transaction No.:
- Total standard weight: 1000.00
- Total actual weight: 1000.00
- Total amount: 11,270,550.75
- VAT invoice file:
- Select account:

Total standard weight offset with negative VAT invoice: 2000.00	Total standard weight offset with negative VAT invoice: 2000.00
Total actual weight offset with negative VAT invoice: 2000.00	Total actual weight offset with negative VAT invoice: 2000.00
Total amount offset with negative VAT invoice: 22,541,101.50	Total amount offset with negative VAT invoice: 22,541,101.50

Taxpayer identification number: 8020

VAT invoicing recipient address:

VAT invoicing recipient bank:

Is main account:

Note:

VAT invoicing recipient name: 8020

VAT invoicing recipient telephone:

VAT invoicing recipient account:

[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.

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...
Page 1 / Total 1 1 <input type="button" value="Go to"/>										

(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...
sc230000001	CrudeOil	EFP	sc210000001	Approved by ...	20231024	6000.00		192,766,2...	20231025	
Page 1 / Total 1 1 <input type="button" value="Go to"/>										

Current:1-1,Total:1

(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
 Member code: 7003
 Transaction type: EFP
 Total standard weight: 6000.00
 Total amount: 192,766,200.00
 VAT invoice file: [1111.png](#)

VAT invoicing recipient name: shanghai FM Cor
 VAT invoicing recipient telephone:
 VAT invoicing recipient account:

Transaction review date: 20231025
 Verification Comment:
 Note:

Output VAT invoicing No.: sc2300000001
 Member short name: n7003
 Transaction No.: sc2100000001
 Total actual weight: 6000.00
 Transaction submission date: 20231024
 Taxpayer identification number: 18293472392
 VAT invoicing recipient address:
 VAT invoicing recipient bank:

Transaction status: [Approved by VAT invoice platform](#)

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 inoi...	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.

The screenshot shows the 'Input VAT invoice search' page. The 'Search Criteria' section includes a 'Product' dropdown menu with options: All, CrudeOil, TSR 20, LSFO, Copper. Below it are 'Transaction type' and 'Transaction status' dropdown menus, and an 'Operation Document No.' text input field. There are 'Search' and 'Export' buttons. The table below has columns: Input VAT invoice..., Product, Transactio..., Transaction No., Transaction st..., VAT invoice No., Transactio..., Total, Unit, Total amo..., VAT invoic... The table is currently empty. The footer shows '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.

The screenshot shows the 'Input VAT invoice search' page with search results. The search criteria are the same as in the previous screenshot. The table now contains two rows of data:

Input VAT invoice...	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...	

The footer shows 'Current:1-2,Total:2' and 'Page 1 / Total 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.

The screenshot shows a web interface for submitting negative VAT invoices. At the top, there is a breadcrumb trail: "Invoicing section" > "Submit negative VAT invoice". Below this, there are several input fields: "Product" with a dropdown menu showing "CrudeOil", "TSR 20", "LSFO", and "Copper"; "Transaction type" with a dropdown menu showing "EFP"; and "Transaction No." with a dropdown menu. A "Note:" field is also present. A red warning message states: "Note: A member will confirm with the Exchange before submitting any negative VAT invoice." Below the form is a section titled "Details of negative VAT invoice" with an "Add" button on the right. This section contains a table with three columns: "Operation", "Original VAT invoice No.", and "Upload attachments". The table is currently empty. At the bottom center of the page, there is a yellow "OK" button.

(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.

Invoicing_section ▸ Negative VAT invoice search

Search Criteria

Product: **All** | CrudeOil | TSR 20 | LSFO | Copper

Transaction type: Operation Document No.:

Transaction status:

Search Export

Negative VAT inv...	Product	Transactio...	Transaction No.	Transaction st...	Transactio...	Total	Unit	Total amount	Transactio...	Verification C

Page 1 / Total 1 | 1 | Go to

(2)

Select a product, transaction type, transaction number, and transaction status, and click the "Search" button to find the eligible record.

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	Unit	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.

Information on negative VAT invoice

Negative VAT invoicing No.: sc2300000001
 Product: CrudeOil
 Transaction No.: sc2100000001
 Member code: 7003
 Total standard weight: 100.00
 Total amount: 800.00
 Transaction submission date: 20231025

Output VAT invoicing No.: sc2300000001
 Transaction type: EFP
 Transaction status: Submit VAT invoice
 Member short name: n7003
 Total actual weight: 700.00
 Transaction submission time: 13:04:21

Transaction review date:
 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.