



上海期货信息技术有限公司

SHANGHAI FUTURES INFORMATION TECHNOLOGY Co.,Ltd

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Shanghai International Energy Exchange_Standard Warrant Management System_User Guide (Clients)

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Copyright Information

No portion of this User Guide may be reproduced, transmitted, extracted, or re-published in any way (including through paper, print, electronic publication, electronic document and other media) without the consent of Shanghai Futures Information Technology Co., Ltd. While we are as committed to ensuring the highest accuracy of this User Guide as we are to the quality of our products, errors may still exist. Before performing any operation with this User Guide, please ensure that you are certain of every step you intend to take. We reserve the right to revise this User Guide in accordance with future product updates.

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If you have an outdated copy of this User Guide, please contact Shanghai Futures Information Technology to receive the latest edition.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 v1.26, last updated last updated August 18th, 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, TSR20, LSFO, Copper 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 Clients.

System Functions

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

This Guide describes the operation of the following business functions :

Clients Product: Medium Sour Crude Oil	To-do Tasks	New Task	Task Tracking
Load-in	Inspection and acceptance		
Authorization		Initiating the task	
Authorization cancellation		Initiating the task	
Withdrawal of margin collateral		Initiating the task	Tracking
Warrant transfer (Client as a seller)		Initiating the task	Tracking
Warrant transfer (Client as a buyer)	Processing		Tracking
Off-exchange pledge registration	(Pledgee) Confirmation	Initiating the task as a pledger	Tracking
Discharge of off-exchange pledge registration	(Pledger) Confirmation (Pledgee) Confirmation	Initiating the task as a pledgee	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment application		Initiating the task	Tracking
EFP intention		Initiating the task	
Physicals filing application		Initiating the task	Tracking
Physicals filing cancellation		Initiating the task	Tracking
Submit Quotation of Warrant Transfer		Initiating the task	
Withdraw Quotation of Warrant Transfer		Initiating the task	
Submit a Notice of Interest(Client as a buyer)		Initiating the task	
Warehouse Transfer	Confirmation		Tracking

Clients Product: TSR 20	To-do Tasks	New Task	Task Tracking
Load-in	Inspection and acceptance		
Authorization		Initiating the task	
Authorization cancellation		Initiating the task	
Withdrawal of margin collateral		Initiating the task	Tracking
Warrant transfer (Client as a seller)	Release of warrant (for settlement between a buyer and a seller)	Initiating the task	Tracking
Warrant transfer (Client as a buyer)	Processing		Tracking
Off-exchange pledge registration	(Pledgee) Confirmation	Initiating the task as a pledger	Tracking
Discharge of off-exchange pledge registration	(Pledger) Confirmation (Pledgee) Confirmation	Initiating the task as a pledgee	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment application		Initiating the task	Tracking
EFP intention		Initiating the task	
Change Quality Inspection Date		Initiating the task	Tracking
Modify Warrant Weight		Initiating the task	Tracking
Modify Warrant Member		Initiating the task	Tracking
Submit Quotation of Warrant Transfer		Initiating the task	
Withdraw Quotation of Warrant Transfer		Initiating the task	

Clients Product: TSR 20	To-do Tasks	New Task	Task Tracking
Submit a Notice of Interest(Client as a buyer)		Initiating the task	
Warehouse Transfer	Confirmation		Tracking
OTC online pledge		Initiating the task as a pledger	Tracking
Discharge OTC online pledge	(Pledgee)Review (Pledger) Confirmation	Initiating the task as a pledgee	Tracking

Clients Product: LSFO	To-do Tasks	New Task	Task Tracking
Load-in	Inspection and acceptance		
Factory warehouse warrant Load-in	Inspection and acceptance		
Authorization		Initiating the task	
Authorization cancellation		Initiating the task	
Withdrawal of margin collateral		Initiating the task	Tracking
Warrant transfer (Client as a seller)	Release of warrant (for settlement between a buyer and a seller)	Initiating the task	Tracking
Warrant transfer (Client as a buyer)	Processing		Tracking
Off-exchange pledge registration	(Pledgee) Confirmation	Initiating the task as a pledger	Tracking
Discharge of off-exchange pledge registration	(Pledger) Confirmation (Pledgee) Confirmation	Initiating the task as a pledgee	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Factory warehouse warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Overseas Delivery-Taking by Agreement Application(Client as the Delivery-taker)		Initiating the task	Tracking
Overseas Delivery-Taking by Agreement Application(Client as the Trading Factory Warehouse)	Confirmation		Tracking
Storage fees prepayment application		Initiating the task	Tracking
EFP intention		Initiating the task	

Clients Product: LSFO	To-do Tasks	New Task	Task Tracking
Submit Quotation of Warrant Transfer		Initiating the task	
Withdraw Quotation of Warrant Transfer		Initiating the task	
Submit a Notice of Interest(Client as a buyer)		Initiating the task	
Warehouse Transfer	Confirmation		Tracking
OTC online pledge		Initiating the task as a pledger	Tracking
Discharge OTC online pledge	(Pledgee)Review (Pledger) Confirmation	Initiating the task as a pledgee	Tracking

Clients Product: copper	To-do Tasks	New Task	Task Tracking
Load-in	Inspection and acceptance		
Authorization		Initiating the task	
Authorization cancellation		Initiating the task	
Withdrawal of margin collateral		Initiating the task	Tracking
Warrant transfer (Client as a seller)	Release of warrant (for settlement between a buyer and a seller)	Initiating the task	Tracking
Warrant transfer (Client as a buyer)	Processing		Tracking
Off-exchange pledge registration	(Pledgee) Confirmation	Initiating the task as a pledger	Tracking
Discharge of off-exchange pledge registration	(Pledger) Confirmation (Pledgee) Confirmation	Initiating the task as a pledgee	Tracking
Warrant load-out	Confirmation	Initiating the task	Tracking
Warrant revocation		Initiating the task	Tracking
Storage fees prepayment application		Initiating the task	Tracking
EFP intention		Initiating the task	
Modify Warrant Weight		Initiating the task	Tracking
Modify Warrant Member		Initiating the task	Tracking
Submit Quotation of Warrant Transfer		Initiating the task	
Withdraw Quotation of Warrant Transfer		Initiating the task	
Submit a Notice of Interest(Client as a buyer)		Initiating the task	

Clients Product: copper	To-do Tasks	New Task	Task Tracking
Warehouse Transfer	Confirmation		Tracking
OTC online pledge		Initiating the task as a pledger	Tracking
Discharge OTC online pledge	(Pledgee)Review (Pledger) Confirmation	Initiating the task as a pledgee	Tracking

This Guide describes the following query and management functions:

Query	System management
Operation query	User role management
Summary query	SMS Subscription
General query	Circular query

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 browser 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.

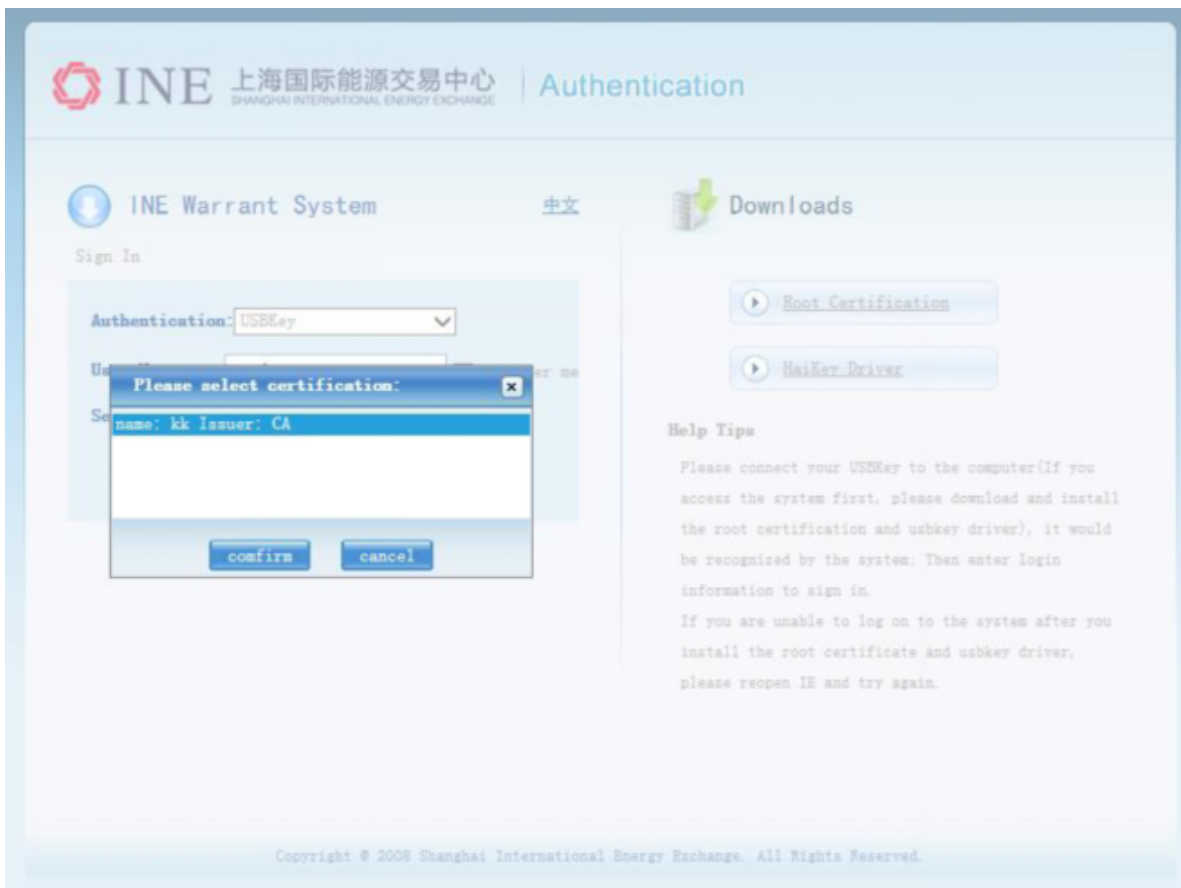
Under such a login approach, a user can access the login page of the Exchange's Standard Warrant Management System only after being identified by the System with the plug-in of the USB-KEY.

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.



(2)



Select the certificate and click "OK".

(3)



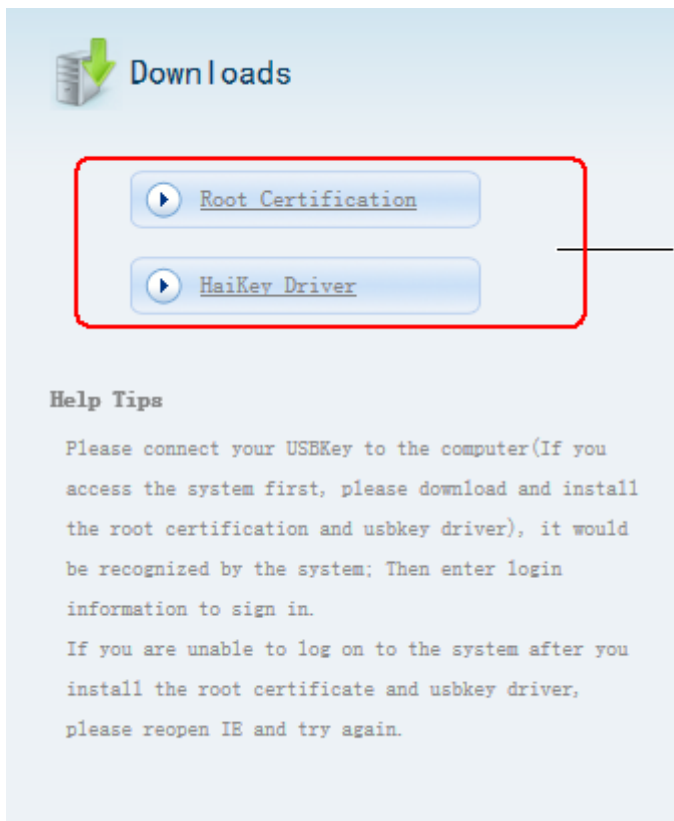
Input the PIN, click "OK" to login the System.

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.

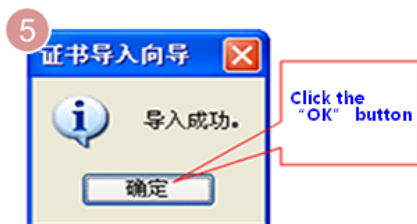
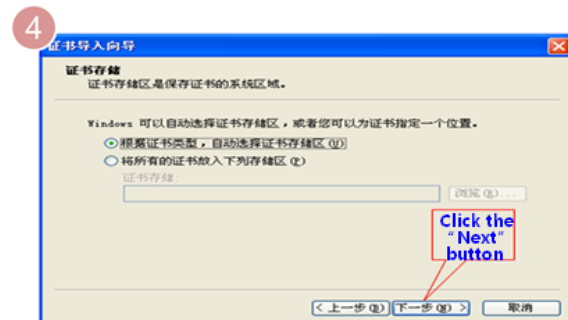
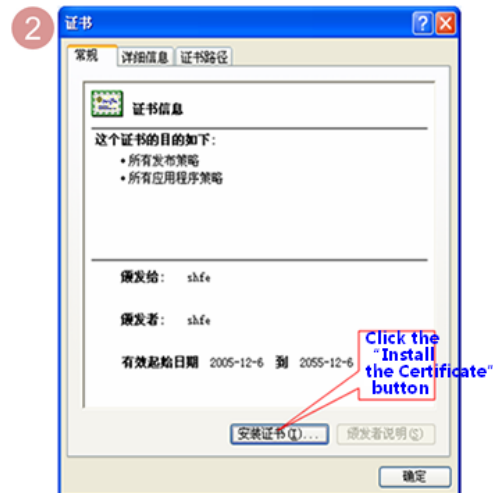
Note: First-time login user must download and install the Root Certificate and the Haitai Digital Certificate Driver.

(1)



Download the certificate

(2)



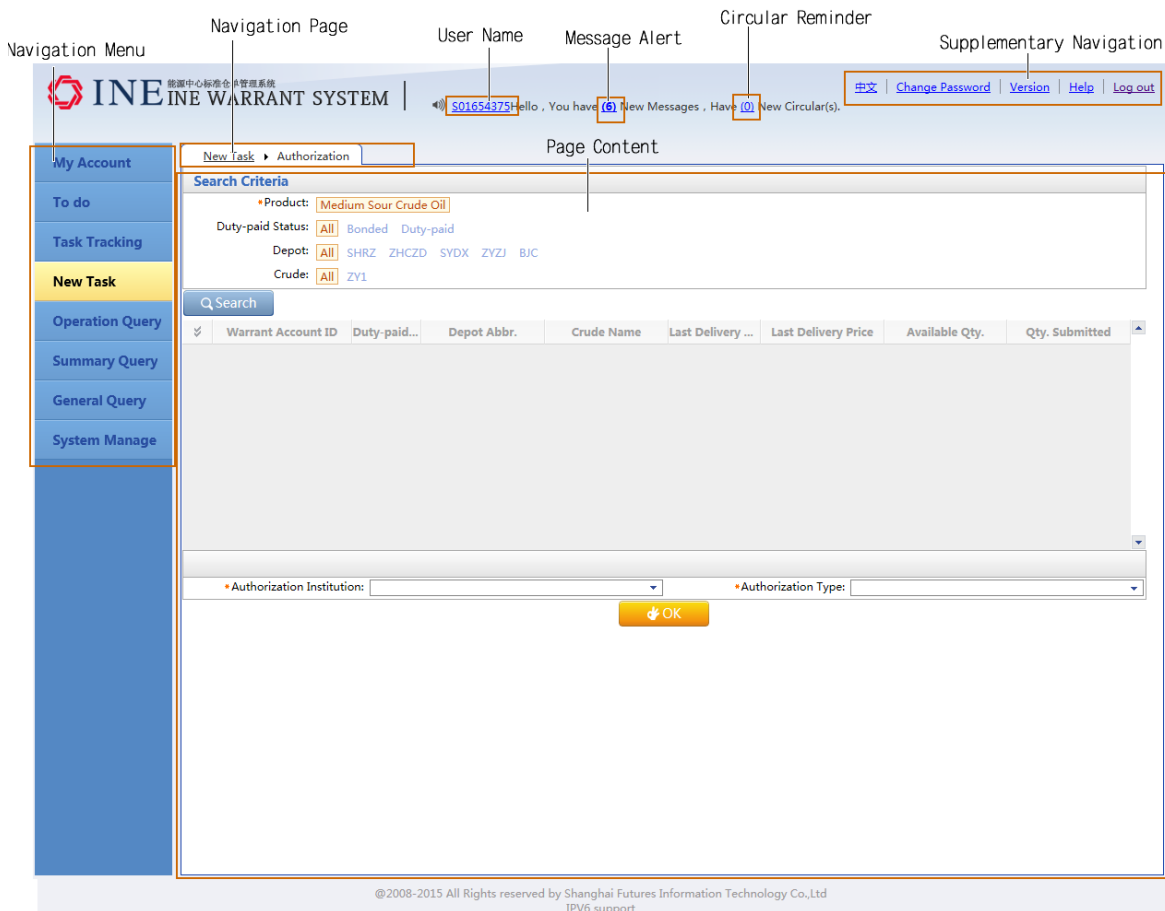
Click the link of "Download the Root Certificate" in the certificate downloading area. Complete the certificate installation according to the install wizard.

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

(4) Upon completion of the installation of all necessary certificates, plug the USB-KEY into your computer once again, open the browser 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.



- 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.

The number indicates how many to-do tasks the user currently has, in this case, two.



In To-do Tasks Menu, there is a red badge counter indicating 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.

New Task ▶ EFP Intention

Click any underlined page for quick access to the relevant page

On the page navigation, you may click any underlined title 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 user information as below.

The 'User Info.' dialog box displays the following information:

Client ID: 87000007	Client Name: [Redacted]
Client Origin: Domestic Client	Country: China
ID Type: Organization Code Certificate	ID No.: 79468166-0
Organization Type: Sino-Foreign Joint Venture	Legal Representative: [Redacted]
Registered Capital: 100,000,000.00	Business Scope: Trading & Logistic:Metals
Contact Person: ertyuj	Tel.: 23456
Address: [Redacted]	Postal Code: 321312
Account Type: Trading Institution	Account Opening Department: INE
Account Opening Date: 20200423	

Close

- 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.

The 'Message' dialog box displays a list of messages:

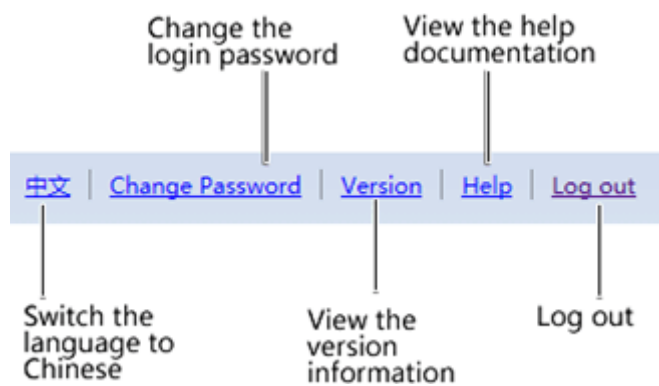
Date	Content
20170713	Client submitted the application for margin collectral withdrawal.: Document No. sc1700000012, Quant...
20170704	Approved by Buy-side Client: Document No. scbjc1700032, Quantity 2000; Operator: TKMY 20170704 03...

Mark all messages as read

Messages in message list show the status of relevant business of the user, or other information released by the Exchange.

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.

- Page Content Area: the Page Content Area accounts for most space of the entire page, in which a user may complete various business and management operations;
- Assistant Navigation: the Assistant Navigation is on the top right corner of the page, which can be used to switch the software languages, modify the login password, view the version information and the help documents, and to exit the system.



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 Confirmation.

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 sections is similar, which shows as follows:

Search criteria area

1 Search

2 Perform relevant operation in the search results

Search results area

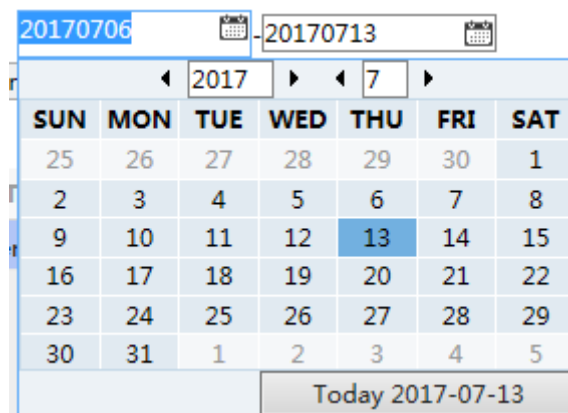
(1) Define the search criteria and find all matched records:

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 **Pending** Reject Cancel Completed Aborted

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



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

Application No. :

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

Search Criteria

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

Operation Type: [All](#) [Load-in](#) [Margin Withdrawal](#) [Warrant Transfer](#) [Warrant Load-out](#) [Off-Exchange Pledge Registration](#)
[Discharge of Off-Exchange Pledge Registration](#) [Warrant Revocation](#) [Prepaid Storage Fees](#) [Physicals Filing](#) [Physicals Filing Cancellation](#)
[Create User](#) [Change Quality Inspection Date](#) [Modify Warrant Weight](#) [Modify Warrant Member](#)
[Overseas Delivery-Taking by Agreement](#) [Account/User Change](#) [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](#) [Medium Sour Crude Oil](#) [TSR 20](#) [LSFO](#) [Copper](#)

Operation Type: [All](#) [Load-in](#) [Margin Withdrawal](#) [Warrant Transfer](#) [Warrant Load-out](#) [Off-Exchange Pledge Registration](#)
[Discharge of Off-Exchange Pledge Registration](#) [Warrant Revocation](#) [Prepaid Storage Fees](#) [Physicals Filing](#) [Physicals Filing Cancellation](#)
[Create User](#) [Change Quality Inspection Date](#) [Modify Warrant Weight](#) [Modify Warrant Member](#)
[Overseas Delivery-Taking by Agreement](#) [Account/User Change](#) [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 section 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, the "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	Modify Warr...	nr0212000002	Pending	Modify warrant weight(initiated by Client 01654427, weight...	Approved by...	20200117	20200117
	TSR 20	Warrant Tran...	nrbc2000003	Pending	Warrant Transfer(initiated by Client 01654427, weight 10.08...	Sell-Side Sub...	20200115	20200115
	TSR 20	Warrant Tran...	nrbc2000004	Pending	Warrant Transfer(initiated by Client 88007001, weight 10.08...	Buy-Side con...	20200115	20200115
	TSR 20	Warrant Load...	nr0212000001	Pending	Warrant Load-out(initiated by Client 01654427, weight 20.1...	Approved by...	20200115	20200115
	TSR 20	Warrant Rev...	nr0212000001	Pending	Warrant Revocation(initiated by Client 01654427, weight 10...	Application S...	20200115	20200115
	TSR 20	Prepaid stora...	nr0212000005	Compl...	Prepaid storage fee(initiated by Client 01654427 to Depot ...	Approved by...	20200115	20200115

Page 1 / Total 3 **Go to**

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

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








Page 1 / Total 0 **Go to**

Operation column

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

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

Operation Column

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Warrant Tran...	sc0011900004	Pending	Warrant Transfer(initiated by Client 60010012, Quantity 10...	Transfer Appl...	20190808	20190808
 	Medium Sou...	Warrant Load...	sc0011900001	Pending	Warrant Load-out(initiated by Client 60010012, Quantity 20...	Approved by...	20190808	20190808
	Medium Sou...	Warrant Load...	sc0011900002	Pending	Warrant Load-out(initiated by Client 60010012, Quantity 20...	Rejected by ...	20190808	20190808
	Medium Sou...	Warrant Rev...	sc0011900001	Pending	Warrant Revocation(initiated by Client 60010012, Quantity ...	Application S...	20190808	20190808
 	Medium Sou...	Prepaid stora...	sc0011900001	Pending	Prepaid storage fee(initiated by Client 60010012 to Depot ...	Initial Submis...	20190808	20190808
	Medium Sou...	Discharge of ...	sc0011900001	Pending	Discharge of Off-exchange Pledge (Pledgee 60010017 initi...	Discharge of ...	20190807	20190807
	TSR 20	Warrant Rev...	nr0011900002	Pending	Warrant Revocation(initiated by Client 60010012, weight 20...	Approved by...	20190806	20190806
	TSR 20	Modify Warr...	nr1900000004	Pending	Modify Warrant Member(initiated by Client 60010012, weig...	Applied by Cl...	20190802	20190802

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Operation buttons

Click the buttons below the header to perform the corresponding actions. For instance, click the "Add" button to bring up a new window for creating a new record, then submit it to complete the addition.

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

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Link

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

Links are underlined

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium Sou...	Load-in	sc1700000053	Load-in (Overseas Intermediary 00008 initiated, Client I...	Warrant Gene...	20170713	02:30:44	20170718	02:04:13
Medium Sou...	Warrant Tra...	scbjc1700041	Warrant Transfer(initiated by Client 88007001, Quantit...	Sell-Side Sub...	20170713	02:07:10	20170713	02:07:10
Medium Sou...	Warrant Tra...	scbjc1700042	Warrant Transfer(initiated by Client 88007001, Quantit...	Sell-Side Sub...	20170713	02:07:35	20170713	02:07:35

Display the Details of Warrant Accounts

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

To do > Confirm Discharge of Off-Exchange Pledge

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: **sc0011900001** Product: **CrudeOil**

Off-Exchange Pledge:

Pledgor ID: **60010012** Pledgor Name: **70035**

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

Customs: **BJ Customs** Pledgee ID: **60010017**

Pledgee Name: **dgg** Total Qty. of Discharge of Off-Exchange Pledge: **1000**

Status of Releasing the Pledge: **Pledge Release Approved by Customs** Application Date: **20190807**

Note of Releasing the Pledge:

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000020	CrudeOil	Bonded	SHC	CHINA Crude 1			1000

Product Property - Storage Location : Qty. Submitted

- SHC-portOFstorage1 --: 1000

Start/End Date of Storage - Paid storage period: Qty. Submitted

- 20190704-20190731: 1000

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

Total Qty. Submitted:1000

Confirmation

Clients are required to confirm such operation as warrant load-in inspection and warrant transfer, which shall be done in the "To-do".

To do > Confirm Discharge of Off-Exchange Pledge

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: **sc0011900001** Product: **CrudeOil**

Off-Exchange Pledge:

Pledgor ID: **60010012** Pledgor Name: **70035**

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

Customs: **BJ Customs** Pledgee ID: **60010017**

Pledgee Name: **dgg** Total Qty. of Discharge of Off-Exchange Pledge: **1000**

Status of Releasing the Pledge: **Pledge Release Approved by Customs** Application Date: **20190807**

Note of Releasing the Pledge:

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000020	CrudeOil	Bonded	SHC	CHINA Crude 1			1000

Product Property - Storage Location : Qty. Submitted

- SHC-portOFstorage1 --: 1000

Start/End Date of Storage - Paid storage period: Qty. Submitted

- 20190704-20190731: 1000

Total Qty. Submitted:1000

There are two kinds of confirmation results:

- **Pass:** After a Client clicks "Approve", the process has finished or proceed to the next step;
- **Reject:** The Client is required to fill in the reason for rejection when rejecting an application form. This process finishes after being rejected or goes back to the last node of the process.

Export

In many places the System allows the user to export search results. To save these results to a local disk, simply click the "Export" button and follow the instructions given in the pop-up dialogue box at the bottom of the page.

Operation Query > Load-in Application Query

Search Criteria

*Product: **Medium Sour Crude Oil** | TSR 20 | LSFO | Copper

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

Depot: **All** | SH warehouse | RZ warehouse | QD warehouse | Non-standard warehouse | BJ warehouse

Load-in Application Date: -

Application Date of Warrant Generation: -

Load-in Application Form No.:

Load-in Applic...	Product	Duty-paid Stat...	Declaring Me...	Depot	Load-in Applic...	Application Da...	Futures Declar...	Qty. of Genera...	Load-in Applic...
sc1900000032	Medium Sour ...	Bonded	8008	SH warehouse	20191220	20191220	500000	500000	Warrant Gene...
sc1900000033	Medium Sour ...	Bonded	8008	BJ warehouse	20191220	20191220	500000	500000	Warrant Gene...
sc2000000005	Medium Sour ...	Bonded	8008	SH warehouse	20200116		280000		Load-in Applic...
sc2000000019	Medium Sour ...	Bonded	8008	SH warehouse	20200113		300000		Load-in Applic...

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Attachment

User can add attachments to several forms in the System;

Add Attachment:

- Step 1: Click the Add Attachment button to open the File Uploading box;

File Uploading

File:

Note: The file can only in zip|rar|ofd|pdf|png|jpg(format) and cannot exceed 50MB。

- Step 2: Click "Browse..." in the File Uploading box to select the local file to be uploaded;
- Step 3: Click Upload, and the System will verify the format of the file;
- Step 4: After the file is successfully uploaded, click Ok to complete the upload, or click Cancel to stop;

Attachment		Add Attachment
File Name	Operation	
ceshi.docx	Delete	
ceshi.pdf	Delete	

Delete attachment: click Delete in the Operation column to remove the added attachment.

Submit Quantity

The user will be asked to input a quantity in many processes involving Medium Sour Crude Oil, such as in "Submit the Application for Discharge the Off-exchange Pledge Registration".

Warrant Account...	Product	Duty-paid Status	Depot Abbr.	Crude Name	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
<input type="checkbox"/> scN000000006	CrudeOil	Bonded	SHC	CHINA Crude 1			99595000	0
Please select by product property - Storage Location : Qty. Submitted/Qty. Available <ul style="list-style-type: none"> SHC-portOFstorage1 --: <input type="text" value="0"/> / 99595000 Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available <ul style="list-style-type: none"> 20190704-20190731: <input type="text" value="0"/> / 99595000 								

When the user clicks "Qty. Submitted", a sub-list will appear below the task. In the sub-list, you can assign the overall quantity by storage location and by paid storage period.

Note: If a user only enters an overall Quantity Submitted, the commodities first-listed by the storage location and paid storage period in the sub-list below will be selected by default. If these commodities fall short of the overall quantity, the remainder will be sequentially assigned to the ones below them.

Select Warrants

The user will be asked to select warrants in many processes involving TSR 20 , LSFO and Copper. For example, for "Warrant Authorization", the user needs to search for selectable warrants according to the search criteria, then filter the results and perform relevant actions with the selection.

Warrants can be selected in two ways involving LSFO:

- 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.
- Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

The sections below will explain each of the two modes.

Search and Select Warrants under "Single Record Mode"

(1)

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

New Task > Authorization

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection:

Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

Available Warrants									Selected Warrants S/U E			
Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Warrant No.	Duty-paid ...		
<input checked="" type="checkbox"/>	Iu0050000005	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input checked="" type="checkbox"/>	Iu0050000005	Bonded
<input checked="" type="checkbox"/>	Iu0050000009	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input checked="" type="checkbox"/>	Iu0050000009	Bonded
<input type="checkbox"/>	Iu0050000010	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input type="checkbox"/>		
<input type="checkbox"/>	Iu0050000019	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input type="checkbox"/>		
<input type="checkbox"/>	Iu0050000020	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input type="checkbox"/>		
<input type="checkbox"/>	Iu0050000021	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	<input type="checkbox"/>		

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Available: 100 warrants, 1000.000 tonne, Total: 103003 warrants Selected: 2 warrants, 20.000 tonne

Authorization Info.

*Authorization Institution: *Authorization Type:

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.

New Task > Authorization

Search Criteria

Product: LSF0 Duty-paid Status:

Grade:

Warrants of Automatic batch selection: 4 Depot:

Warrant No.:

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...
<input checked="" type="checkbox"/>	Iu0050000005	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914 20210915
<input checked="" type="checkbox"/>	Iu0050000009	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914 20210915
<input checked="" type="checkbox"/>	Iu0050000010	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914 20210915
<input checked="" type="checkbox"/>	Iu0050000019	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914 20210915
<input type="checkbox"/>	Iu0050000020	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914 20210915
<input type="checkbox"/>	Iu0050000021	Iu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914 20210915

Page 1 / Total 1031

Available: 100 warrants, 1000.000 tonne, Total: 103003 warrants

Selected Warrants

Warrant No.	Count
<input checked="" type="checkbox"/> Iu0050000005	1
<input checked="" type="checkbox"/> Iu0050000009-0000010	2
<input checked="" type="checkbox"/> Iu0050000019	1

Authorization Info.

*Authorization Institution: *Authorization Type:

(2)

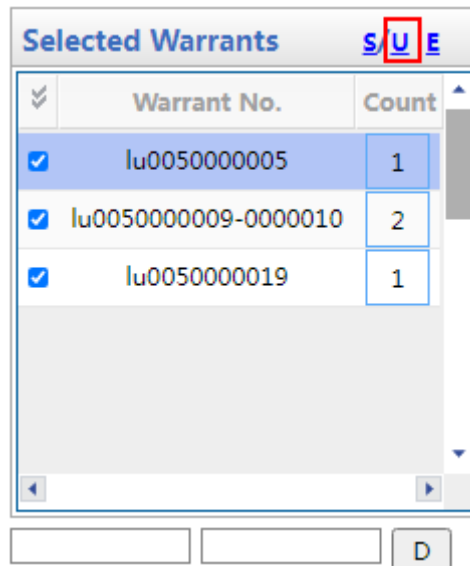
In "Selected Warrants", the selected warrants can be displayed individually or as a sequential series, and can also be exported.

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

Selected Warrants

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/> Iu0050000005	Bonded
<input checked="" type="checkbox"/> Iu0050000009	Bonded
<input checked="" type="checkbox"/> Iu0050000010	Bonded
<input checked="" type="checkbox"/> Iu0050000019	Bonded

- Series display: Click "U" and all listed warrants will be shown as a sequential series.

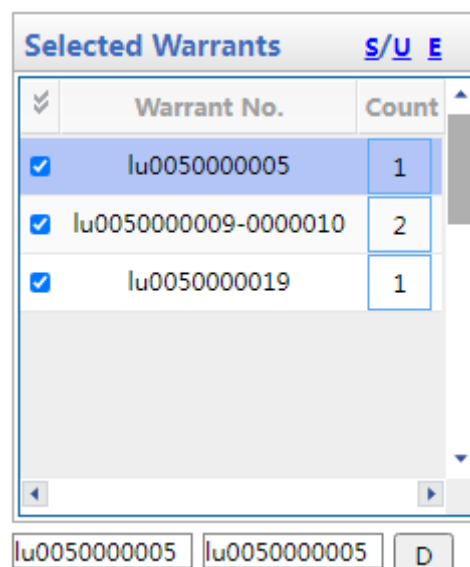


- Export: Click "E" to save the selected warrants to a local disk.

(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.
- Number of warrants can be entered into the warrant number field in the "Selected Warrants" list (≥ 0 and \leq the nearest integer of the warrant number displayed). If the warrant number entered $<$ the warrant number displayed, the system will deselect all or some of the selected warrants in this row to fit the warrant number entered. Note that if the warrant number entered is 0, all warrants in this row will be deselected.



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".

New Task > Authorization

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection:

Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

Warrant No.	Available ...	Selected Warr...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	B...
<input checked="" type="checkbox"/> lu0050000005	1	<input type="text" value="1"/>	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2
<input type="checkbox"/> lu0050000009-0000010	2	<input type="text"/>	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2
<input type="checkbox"/> lu0050000019-0000021	3	<input type="text"/>	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2
<input type="checkbox"/> lu0050061001-0061093	93	<input type="text"/>	lu2300000005	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20230330	20230408	2
<input checked="" type="checkbox"/> lu0050061095-0062000	906	<input type="text" value="2"/>	lu2300000005	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20230330	20230408	2
<input type="checkbox"/> lubjc0012183-0112181	99999	<input type="text"/>	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831	2
<input type="checkbox"/> lubic0112182-0113181	1000	<input type="text"/>	lu2300000003	Bonded	LU 5%	BIC	BIC1	Domestic	20230330	20230408	2

103003 warrants are available, 3 warrants are selected

Authorization Info.

*Authorization Institution: *Authorization Type:

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 "

(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.

New Task > Authorization

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection: 6 Depot:

Warrant No.:

Single Record Mode Union WarrantID Mode

Warrant No.	Available ...	Selected Warr...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Es...
<input checked="" type="checkbox"/> lu0050000005	1	1	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2
<input checked="" type="checkbox"/> lu0050000009-0000010	2	2	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2
<input checked="" type="checkbox"/> lu0050000019-0000021	3	3	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915	2
<input type="checkbox"/> lu0050061001-0061093	93	0	lu2300000005	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20230330	20230408	2
<input type="checkbox"/> lu0050061095-0062000	906	0	lu2300000005	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20230330	20230408	2
<input type="checkbox"/> lubjc0012183-0112181	99999	0	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831	2
<input type="checkbox"/> lubic0112182-0113181	1000	0	lu2300000003	Bonded	LU 5%	BJC	BJC1	Domestic	20230330	20230408	2

103003 warrants are available, 6 warrants are selected

Authorization Info.

*Authorization Institution: *Authorization Type:

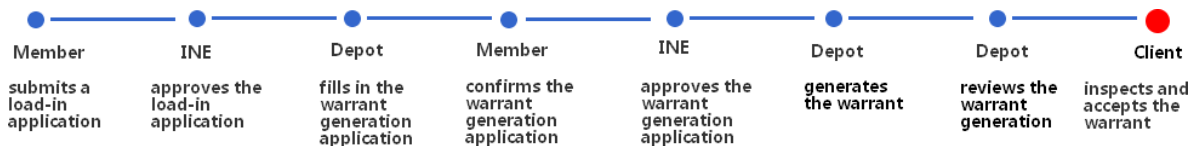
(4)

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.

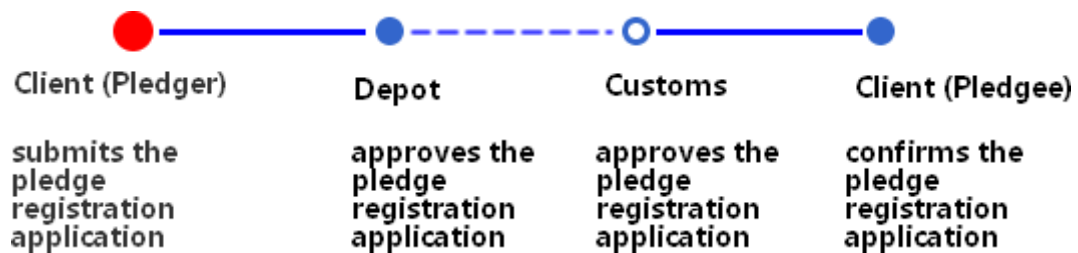
Type 2: the process nodes diagram that exhibits the general overview of an ongoing business, including already, to-be-done and undone tasks, as shown below:



- 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

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

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

To-do

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

To do

Search Criteria

Product: All Medium Sour Crude Oil TSR 20 LSFO Copper

Operation Type: All Load-in Margin Withdrawal Warrant Transfer Warrant Load-out Off-Exchange Pledge Registration
 Discharge of Off-Exchange Pledge Registration Warrant Revocation Prepaid Storage Fees Physicals Filing Physicals Filing Cancellation
 Create User Change Quality Inspection Date Modify Warrant Weight Modify Warrant Member
 Overseas Delivery-Taking by Agreement Account/User Change Warehouse transfer OTC online pledge Discharge OTC online pledge

Application No.:

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge O...	lu2300000374	Discharge OTC online pledge (initiated by Pledgee 6001...	Submit applic...	20230814	13:55:38	20230814	13:55:38

First, define the search criteria at the upper part of the "To-do" page:

- Product and Operation Type: Select the corresponding product and operation type. The default is "All".
- Application No.: Fill in "Application No." for a more accurate search. If no specific Application No. is given, the search results will contain all applications for the selected product and operation type.

After the search criteria are defined, click the "Search" button to perform the search.

Search Criteria

Product: All Medium Sour Crude Oil TSR 20 LSFO Copper

Operation Type: All Load-in Margin Withdrawal Warrant Transfer Warrant Load-out Off-Exchange Pledge Registration
 Discharge of Off-Exchange Pledge Registration Warrant Revocation Prepaid Storage Fees Physicals Filing Physicals Filing Cancellation
 Create User Change Quality Inspection Date Modify Warrant Weight Modify Warrant Member
 Overseas Delivery-Taking by Agreement Account/User Change Warehouse transfer OTC online pledge Discharge OTC online pledge

Application No.:

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.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Discharge o...	nr0212000001	Discharge of Off-exchange Pledge (Pledgee 01654430 ...	Discharge of ...	20200114	10:50:49	20200114	10:59:37

Task Tracking

Clients may inquire about and view the status of 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.

The screenshot shows the 'Task Tracking' interface. At the top, there's a 'Task Tracking' tab. Below it is a 'Search Criteria' section with several filter groups:

- Product:** All, Medium Sour Crude Oil, TSR 20, LSFO, Copper
- Operation Type:** All, Load-in, Margin Withdrawal, Warrant Transfer, Warrant Load-out, Off-Exchange Pledge Registration, Discharge of Off-Exchange Pledge Registration, Warrant Revocation, Prepaid Storage Fees, Physicals Filing, Physicals Filing Cancellation, Create User, Change Quality Inspection Date, Modify Warrant Weight, Modify Warrant Member, Overseas Delivery-Taking by Agreement, Account/User Change, 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, [Date Picker]
- Processing Date:** All, Last Three Days, Last Week, Last Two Weeks, Last Month, [Date Picker] 20230807, [Date Picker] 20230814

Below the filters is a search bar with a 'Search' button and a 'More' dropdown. The main area contains a table with the following columns: Operation, Product, Operation Ty..., Application No., Task St..., Task Description, Operation St..., Applicati..., Processin... The table shows two records:

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	OTC online pl...	lu2300000371	Pending	OTC online pledge (initiated by Pledger 60010098, Weight 1...	Submit appli...	20230814	20230814
	LSFO	Discharge OT...	lu2300000374	Pending	Discharge OTC online pledge (initiated by Pledgee 6001009...	Submit appli...	20230814	20230814

At the bottom right, there is a pagination control showing 'Page 1 / Total 11' and a 'Go to' button.


"Task Tracking" works in much the same way as "To-do". First, define the search criteria at the top of the page:




- Product and Operation Type: Select the corresponding product and operation type. The default is "All".
- Task Status: Select the corresponding task status. The default is "Pending".
- Application Date: Select or enter the range of application date. The default is "All".
- Processing Date: Select or enter the range of the processing date of the task at the previous node. The default is "Last Week".
- Application No.: Fill in "Application No." for a more accurate search. If no specific Application No. is given, the search results will contain all applications for the selected product and operation type.

After the search criteria are defined, click the "Search" button to perform the search.

The first column under "Task Tracking" is "Operation". Clicking on a button next to a record of interest will perform the corresponding action, such as **cancellation** or **modification**, for that record. Some records do not display any button; this means the current user is not permitted to perform any action with regard to those records.


Modify

Click the "Modify" button () of a record to edit the application submitted by a user but not yet processed by the user in the next process node.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Change Quali...	nr2000000001	Pending	Change Quality Inspection Date(initiated by Client 0165442...	Applied by Cl...	20200121	20200121
	TSR 20	Modify Warr...	nr0212000002	Pending	Modify warrant weight(initiated by Client 01654427, weight...	Approved by...	20200117	20200117
	TSR 20	Warrant Tran...	nr0212000002	Pending	Warrant Transfer(initiated by Client 01654427, weight 10.08...	Buy-Side con...	20200115	20200115
	TSR 20	Warrant Tran...	nr0212000003	Pending	Warrant Transfer(initiated by Client 01654427, weight 10.08...	Sell-Side Sub...	20200115	20200115
	TSR 20	Warrant Tran...	nr0212000004	Pending	Warrant Transfer(initiated by Client 88007001, weight 10.08...	Buy-Side con...	20200115	20200115
	TSR 20	Warrant Load...	nr0212000001	Pending	Warrant Load-out(initiated by Client 01654427, weight 20.1...	Approved by...	20200115	20200115
	TSR 20	Warrant Rev...	nr0212000001	Pending	Warrant Revocation(initiated by Client 01654427, weight 10...	Application S...	20200115	20200115
	TSR 20	Discharge of ...	nr0212000001	Pending	Discharge of Off-exchange Pledge (Pledgee 01654430 initi...	Discharge of ...	20200114	20200114

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

(1)

Click the "Modify" button () to enter the page for modifying a previously submitted application.

Task Tracking > Modify Change Quality Inspection Date

<input type="checkbox"/>	Certificate No.	Certificate W...	Issue Date	Issuer	Storage Location L...	Note
<input type="checkbox"/>	2-20191001	200000.000	20200114	zs01	c90	

Certificate No.: [Search](#)

Certificate Weight:

Issue Date:

Issuer:

Storage Location ID (separated by .):

[Automatically Retrieve / Manually Select](#)

Note:

Automatically Select

Available Warrants							
<input type="checkbox"/>	Warrant No.	Old Inspec...	Old Inspec...	Certificate ...	Locator Co...	Weight	Validi...
<input checked="" type="checkbox"/>	nr0210002766	20191220	20200616	bb6	c90	10.080	Norm
<input type="checkbox"/>	nr0210002767	20191220	20200616	bb6	c90	10.080	Norm
<input type="checkbox"/>	nr0210002768	20191220	20200616	bb6	c90	10.080	Norm
<input type="checkbox"/>	nr0210002769	20191220	20200616	bb6	c90	10.080	Norm
<input type="checkbox"/>	nr0210002770	20191220	20200616	bb6	c90	10.080	Norm
<input type="checkbox"/>	nr0210002771	20191220	20200616	bb6	c90	10.080	Norm
<input type="checkbox"/>	nr0210002772	20191220	20200616	bb6	c90	10.080	Norm

Selected Warrants					
<input type="checkbox"/>	Warrant No.	Locator C...	Old Inspe...	Old Inspeci...	New Inspe...
<input checked="" type="checkbox"/>	nr0210002766	c90	20191220	20200616	2-20191001

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

Available: 10 warrants, 100.800 tonne, Total: 10 warrants Selected: 1 warrants, 10.080 tonne

Submission Info.


Member: 8008 Attachment:



Note:

(2)

Click the "OK" button to submit the modification.


Cancel/Withdraw

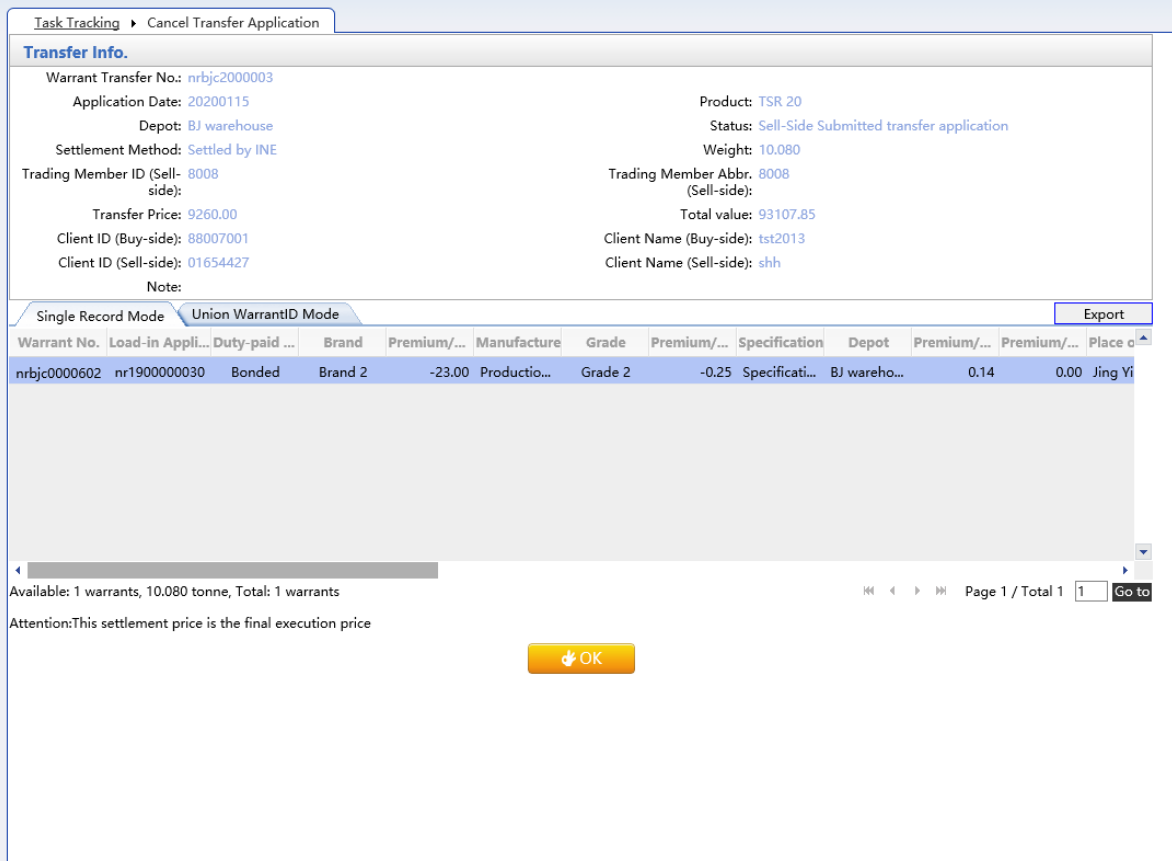
Click the "Cancel" button () of a record to withdraw the application submitted by a user but not yet processed by the user in the next process node.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Modify Warr...	nr0212000002	Pending	Modify warrant weight(initiated by Client 01654427, weight...	Approved by...	20200117	20200117
	TSR 20	Warrant Tran...	nr0212000002	Pending	Warrant Transfer(initiated by Client 01654427, weight 10.08...	Buy-Side con...	20200115	20200115
	TSR 20	Warrant Tran...	nr0212000003	Pending	Warrant Transfer(initiated by Client 01654427, weight 10.08...	Sell-Side Sub...	20200115	20200115
	TSR 20	Warrant Tran...	nr0212000004	Pending	Warrant Transfer(initiated by Client 88007001, weight 10.08...	Buy-Side con...	20200115	20200115
	TSR 20	Warrant Load...	nr0212000001	Pending	Warrant Load-out(initiated by Client 01654427, weight 20.1...	Approved by...	20200115	20200115
	TSR 20	Warrant Rev...	nr0212000001	Pending	Warrant Revocation(initiated by Client 01654427, weight 10...	Application S...	20200115	20200115
	TSR 20	Discharge of ...	nr0212000001	Pending	Discharge of Off-exchange Pledge (Pledgee 01654430 initi...	Discharge of ...	20200114	20200114

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

(1)

Click the "Cancel" button () to enter the page for cancelling a previously submitted application.



Task Tracking > Cancel Transfer Application

Transfer Info.

Warrant Transfer No.: nrbjc2000003
Application Date: 20200115
Depot: BJ warehouse
Settlement Method: Settled by INE
Trading Member ID (Sell-side): 8008
Transfer Price: 9260.00
Client ID (Buy-side): 88007001
Client ID (Sell-side): 01654427
Note:

Product: TSR 20
Status: Sell-Side Submitted transfer application
Weight: 10.080
Trading Member Abbr. (Sell-side): 8008
Total value: 93107.85
Client Name (Buy-side): tst2013
Client Name (Sell-side): shh

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Appli...	Duty-paid ...	Brand	Premium/...	Manufacture	Grade	Premium/...	Specification	Depot	Premium/...	Premium/...	Place o
nrbjc0000602	nr1900000030	Bonded	Brand 2	-23.00	Productio...	Grade 2	-0.25	Specificati...	BJ wareho...	0.14	0.00	Jing Yi

Available: 1 warrants, 10.080 tonne, Total: 1 warrants Page 1 / Total 1 Go to

Attention: This settlement price is the final execution price

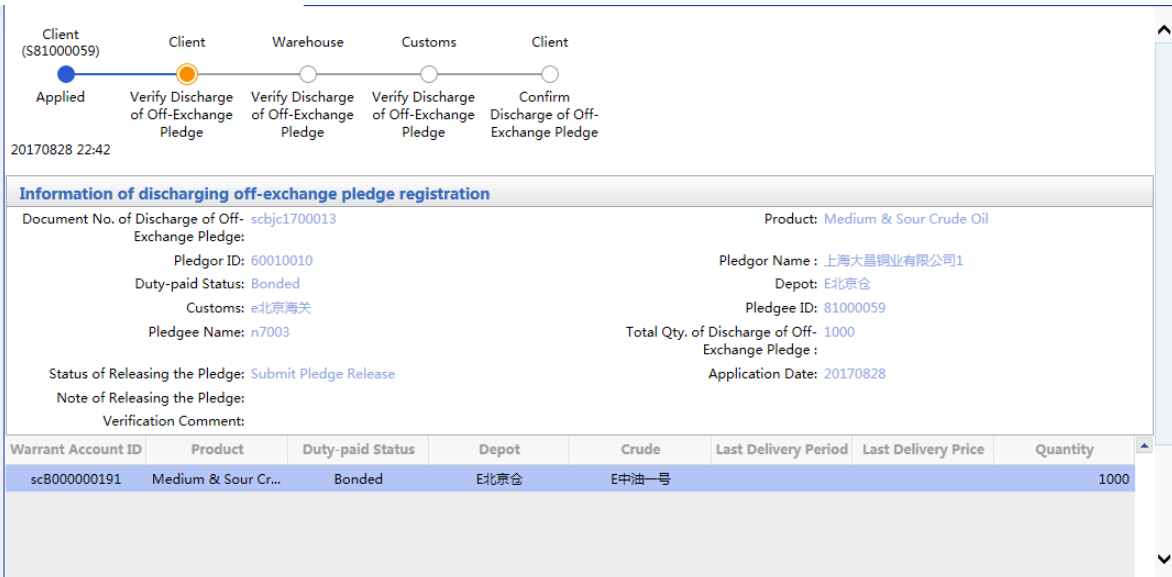
OK

(2)

Click the "OK" button to cancel the application.

View Task Details

Click the "Application No." in "Task Tracking" to enter the details page to view the process and progress of such task as below:



Client (S81000059) Client Warehouse Customs Client


Applied Verify Discharge of Off-Exchange Pledge Verify Discharge of Off-Exchange Pledge Verify Discharge of Off-Exchange Pledge Confirm Discharge of Off-Exchange Pledge

20170828 22:42


Information of discharging off-exchange pledge registration


Document No. of Discharge of Off-Exchange Pledge: scbjc1700013
Product: Medium & Sour Crude Oil
Pledgor ID: 60010010 Pledgor Name: 上海大昌铜业有限公司1
Duty-paid Status: Bonded Depot: E北京仓
Customs: e北京海关 Pledgee ID: 81000059
Pledgee Name: n7003 Total Qty. of Discharge of Off-Exchange Pledge: 1000
Status of Releasing the Pledge: Submit Pledge Release Application Date: 20170828
Note of Releasing the Pledge:
Verification Comment:

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000191	Medium & Sour Cr...	Bonded	E北京仓	E中油一号			1000

 : the task at this node has been finished;

 : the process is at the node;

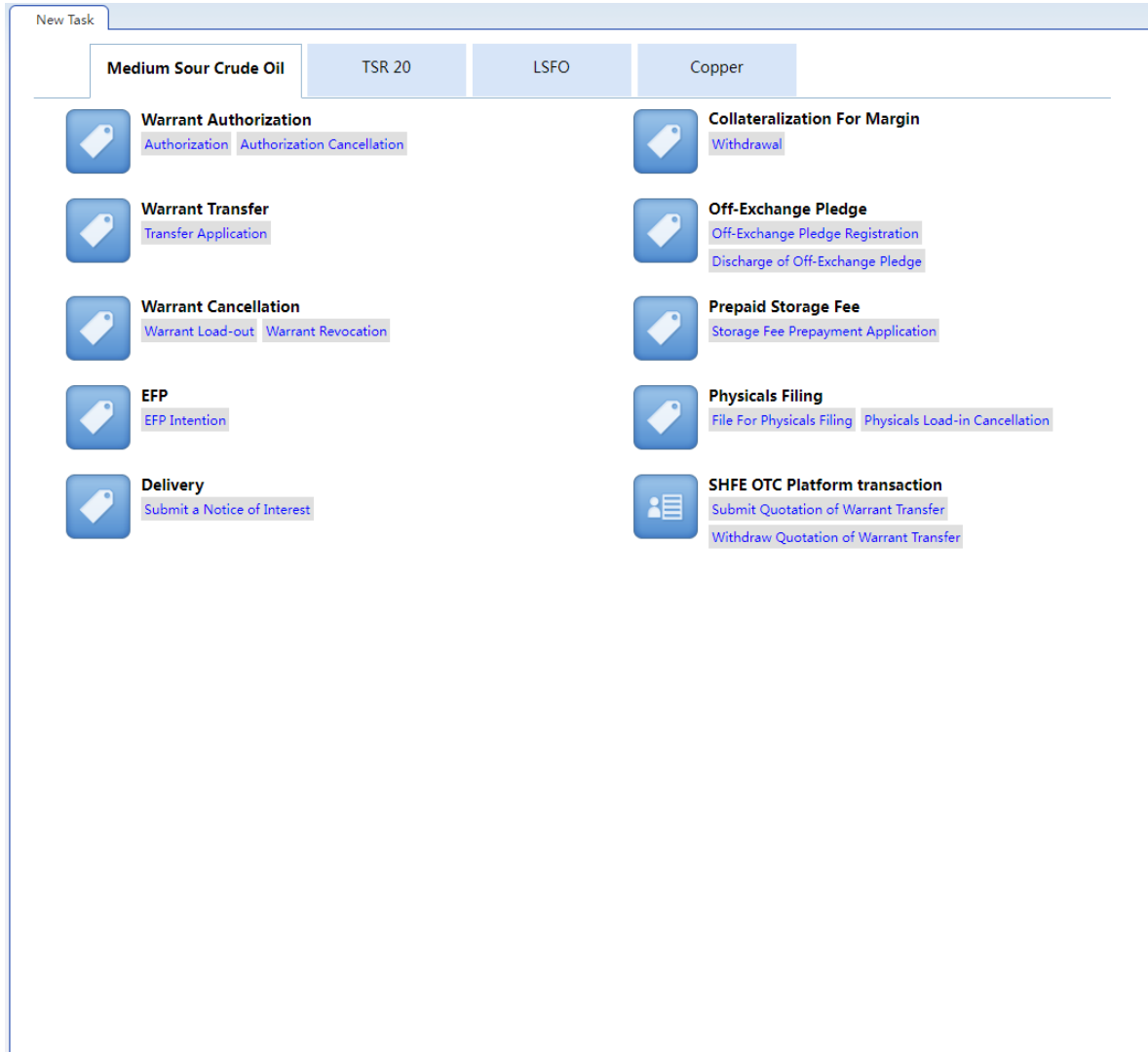
 : the process has not reached that node yet.

: the process has ended after being rejected.

New Task

All new tasks that can be initiated by Clients are shown in the page of "New Task". You may select a specific task type to initiate a new task. For instance, you will initiate a "Margin Collateral" related task if you select the " Margin Collateral- Withdrawal".

Product: Medium Sour Crude Oil



The screenshot shows the 'New Task' interface for 'Medium Sour Crude Oil'. The interface is organized into a grid with four columns representing different products: Medium Sour Crude Oil, TSR 20, LSFO, and Copper. The 'Medium Sour Crude Oil' column is active and displays the following tasks and sub-options:

- Warrant Authorization**
 - Authorization
 - Authorization Cancellation
- Warrant Transfer**
 - Transfer Application
- Warrant Cancellation**
 - Warrant Load-out
 - Warrant Revocation
- EFP**
 - EFP Intention
- Delivery**
 - Submit a Notice of Interest

The other columns (TSR 20, LSFO, Copper) are currently empty.

Product: TSR 20



Product: LSFO



Product: Copper



Chapter 4 My Account

A Client's warrant account information is the home page when a Client logs in the System. "Warrant Account" refers to the bookkeeping tool established by Exchange Standard Warrant Management System for a standard warrant owner, reflecting the increase and decrease in the equity of the standard warrant owner.


Being configured based on 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 the commodities held by itself.

My Account

Account

Medium Sour Crude Oil(sc)-Warrant Account Classification Chart

Product	Frz/Lck	Total	Pledged	Unit
Medium Sour Crude Oil(sc)	0	982000	0	barrel
TSR 20(nr)	0	6290	0	tonne
LSFO(lu)	30	5618970	0	tonne
Copper(bc)	0	0	0	tonne



- Account Normal:96.74%
- Account Used:3.25%
- Account Processing Operation:0.01%

Duty-paid Status	Depot	Crude	Total Quantity	Frz/Lck	Total No. of Nor...	Total No. of Use...	Total No. of Acc...	View
Bonded	SH warehouse	CHINA Crude 1	477400	0	457400	20000	0	Detail
Bonded	SH warehouse	Daqing crude oil	11000	0	11000	0	0	Detail
Bonded	RZ warehouse	Abu Dhabi crude	500	0	500	0	0	Detail
Bonded	RZ warehouse	Daqing crude oil	2400	0	2400	0	0	Detail
Bonded	QD warehouse	Abu Dhabi crude	800	0	800	0	0	Detail
Bonded	QD warehouse	Daqing crude oil	200	0	200	0	0	Detail
Bonded	BJ warehouse	CHINA Crude 1	10700	0	10700	0	0	Detail
Bonded	BJ warehouse	Daqing crude oil	479000	0	467000	11900	100	Detail

- The top left of the page shows all products and their total quantity and withholding quantity;
- The top right of the page: If a user clicks a certain product at the top left of the page, a pie graph at the top right of the page will display all types of accounts for that product as well as their respective rough proportions, such as occupied account, normal account, etc.
- The lower part of the page: If a user clicks a certain product at the top left of the page, a list at the lower part of the page will display the account information summary for all products, including quantity, occupation type, depot, crude and duty-paid status. A user may click the "Details" button to view the details on that product, as shown below:

Account T...	Warrant Accou...	Occupation Ty...	Operation ...	Operation Do...	Duty-p...	Depot Abbr.	Crude Name	Last Delivery Peri...	Last Delivery Price	Total Quan...
Account P...	scB000000024	Warrant L...		sc0011900002	Bonded	SHC	CHINA Cr...			200,000
Account P...	scB000000023	Warrant L...		sc0011900001	Bonded	SHC	CHINA Cr...			200,000
Account P...	scB000000022	Warrant R...		sc0011900001	Bonded	SHC	CHINA Cr...			1,000
Account P...	scB000000021	Warrant T...		sc0011900004	Bonded	SHC	CHINA Cr...			1,000
Account P...	scB000000020	Discharge ...		sc0011900001	Bonded	SHC	CHINA Cr...			1,000
Account P...	scB000000014	Warrant T...		sc0011900003	Bonded	SHC	CHINA Cr...			1,000
Account U...	scO000000008	Authorization...			Bonded	SHC	CHINA Cr...			1,000
Normal Ac...	scN000000006				Bonded	SHC	CHINA Cr...			99,595,000

The account detailed list shows detailed information about normal account, occupied account and processing account of a certain product, including duty-paid status, depot, quantity, etc.

Note: After the Delivery System releases the warrants but before the Member confirms their assignment through the Standard Warrant Management System, these warrants are owned neither by the sellers nor by the buyers, and thus will not be displayed in the account detail page of either.

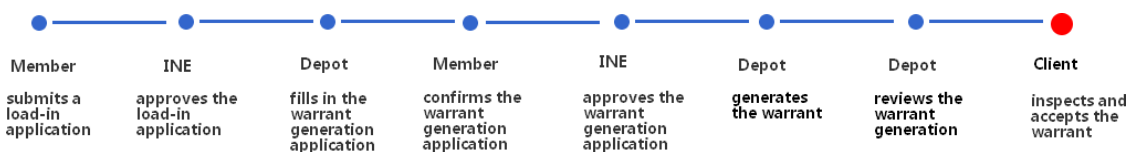
Chapter 5 Load-in

This Chapter describes the load-in operation by a Client.

The whole process node diagram for the load-in operation shows below, starting from the load-in application submitted by a Member, Overseas Intermediary or OSP. After the load-in application is approved by the Exchange and the depot, the Client is required to conduct the warrant inspection and acceptance in the To-do Tasks of the System.

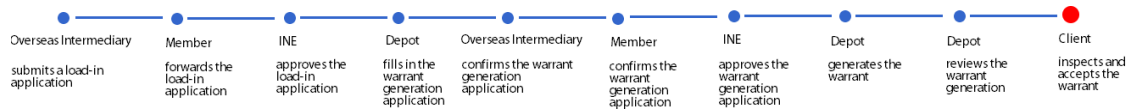
Note: since a Client may open the account under a Member, Overseas Intermediary or OSBP, the load-in process may vary from one another.

- The load-in process of a Client who opens the account with a Member is as follows:



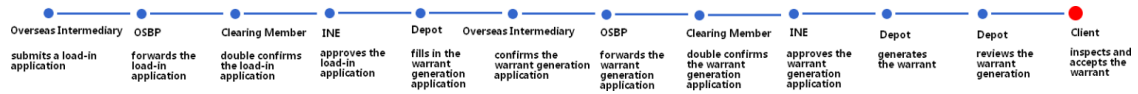
- The load-in process of a Client who opens the account with an Overseas Intermediary is divided into the two circumstances as follows:

(1) Overseas Intermediary opens the account with a Member



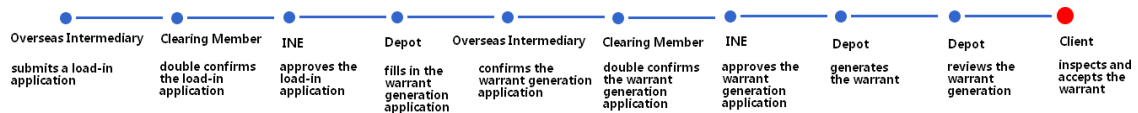
(2) Overseas Intermediary opens the account with an OSBP

Note: If an Overseas Intermediary opens the account with an OSBP, the process is required to be supplemented with the reconfirmation by a Clearing Member since the OSBP cannot conduct clearing directly at the Exchange, as shown below:



- The load-in process of a Client who opens the account with an OSBP

Note: Since an OSBP cannot conduct clearing directly at the Exchange, OSBPs are required to appoint a Clearing Member to make the reconfirmation in the process as shown below:



Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for the load-in of Medium Sour Crude Oil.

Warrant Inspection and Acceptance

The Client is required to complete warrant inspection and acceptance after the load-in warrant is verified and generated by the depot.

(1) First, in the navigation menu, enter the page of "To-do" to conduct the warrant inspection and acceptance.

(2) Define the search criteria, and set the operation type as "Load-in" to find the matched load-in to-do tasks.

(3)

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Load-in	sc2000000011	Load-in (Overseas Intermediary 00011 initiated, Client L...	Warrant Gene...	20200108	13:33:49	20200109	10:47:47

The operation status of the warrant to be accepted is "Warrant Generation Verification". Click the "Application No." to enter the page of warrant inspection and acceptance.

(4)

To do ▶ Inspect and Accept warrant

Application Info.

Load-in Application Form No.: sc2000000011

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

Source of Cargo: Imported Client ID: 60010065

Client Name: 7007中介客户1 Member: 中介LD1(00011)

Crude: CHINA Crude 1 Origin: 北京 Country: Domestic

Futures Declaration Qty. (barrel): 200000 Proposed Load-in Date: 20200108

the Proposed Inspection Agency: Certificate Issue

Depot: BJ warehouse Place of Storage: Jing Yi warehouse

Port of Departure (Country Name): import Port of Departure (Port Name): gang1

Transportation: In Storage Vehicle and Vessel No. of Declaration: 001002

Name: wen Telephone: 11221122

Mobile: 18900001111 Fax: 11221122

Note for Load-in Application:

Warrant Generation Application Information

the Inspection Agency: Certificate Issue Inspection Certificate No.: 2-20200108

Actual Arrived Vehicle and Vessel No.: 001002 Actual Load-in Date: 20200108

Actual Load-in Quantity: 200000.00 Qty. can be Issued: 200000

Quality Inspection Result: Qualified Customs Document ID: 1122

Customs Amount: 2,000,000.00 Currency: RMB

Additional Declaration Quantity: 0

Application Notes:

Certificate of Load-in

Certificate Type	Certificate No.	Issued Certificate ...	Certification Auth...	Issue Date	Quantity in use	Scanning Copy Of C...	Note
Inspection certific...	sc1218	200000.00	ee	20221218	200000.00	ee.pdf	

Load-in Storage Fees

Start Date of Storage: 20200108 End Date of Storage Fees: 20200205

Fees:

Days of Storage: 29

Warrant Generation Notes:

Warrant Generation Information

Qty. of Generated Warrant: 200000

After reviewing the warrant information, the Client may take the following actions at the bottom part of the page:

- **Approve:** This will complete the load-in procedure and the warrants will be added to the Client account, viewable from the "My Account" page.
- **Reject:** Fill in the reason for the rejection. Rejected load-in applications are sent back to the depot, which may modify and re-submit them.

Progress on approved or rejected load-in applications can be viewed in "Task Tracking".

Product: TSR 20, LSFO, Copper

This section uses TSR 20 to illustrate the specific operations to be taken by a Client at each process node for the load-in of TSR 20, LSFO, and Copper.

Warrant Inspection and Acceptance

A Client is required to complete warrant inspection and acceptance after the load-in warrant is verified and generated by the depot.

(1) Warrant inspection and acceptance for TSR 20 is performed in "To-do". Enter the "To-do" page from the navigation menu.

In the "To do" page, define the search criteria to locate the task.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
20 RN	Load-in	nr190000021	Load-in (Overseas Intermediary 00008 initiated, Client L...	Warrant Gener...	20190801	11:21:28	20190802	14:34:27

(2)

Click the "Application No." to enter "Inspect and Accept Warrant".

To do ▸ Inspect and Accept warrant

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Storage Location L...	Scanning Copy Of Ch...	Note
Bill of lading	m2		20210131	1234			
Approval of load-i...	m3		20210125	21345			
Inspection certific...	m1	100.800	20210202	2134	x001,nr111	Chrysanthemum.jpg	1

Warrant Info.

Warrant No.	Qty. of Generat...	Weight of Gener...	Quality inspectio...	Production Date	Certificate ID	Storage Location ...	Note of Warrant
nr0010008195-nr00100082...	8	80.640	20190731	20190704	2-20190730	TTD-1	
nr0010008203	1	10.080	20190731	20190704	2-20190730	TTD-1	
nr0010008204	1	10.080	20190731	20190704	2-20190730	TTD-1	

Load-in Storage Fees

Start Date of Storage: 20190731 End Date of Storage Fees: 20190926

Fees:

Days of Storage: 58

Warrant Generation Notes:

After reviewing the warrant information, the Client may take the following actions at the bottom part of the page:

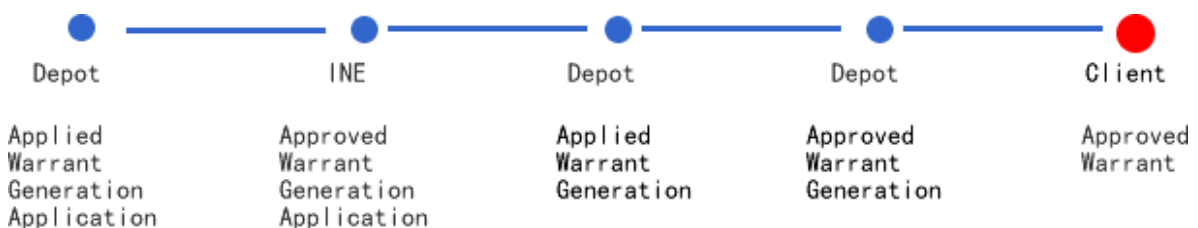
- **Approve:** This will complete the load-in procedure and the warrants will be added to the Client account, viewable from the "My Account" page.
- **Reject:** Fill in the reason for the rejection. Rejected load-in applications are sent back to the depot, which may modify and re-submit them.

Progress on approved or rejected load-in applications can be viewed in "Task Tracking".

Chapter 6 Factory Warehouse Warrant Load-in

This Chapter describes the operations to be taken by a Client in an load-in with factory warehouse warrants.

The process node diagram for factory warehouse warrant load-in is shown below. A Client needs to inspect and accept the factory warehouse warrants in "To-do".



Product: Medium Sour Crude Oil, TSR 20, Copper

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

Product: LSFO

This section describes the specific operations to be taken by a Client at each node for the factory warehouse warrant load-in of LSFO.

Warrant Inspection and Acceptance

A Client is required to complete warrant inspection and acceptance after the load-in warrant is verified and generated by the depot.

(1) Warrant inspection and acceptance is performed in "To-do". Enter the "To-do" page from the navigation menu.

In the "To do" page, define the search criteria to locate the task.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Load-in	lu2000000003	Load-in (Warehouse 002 initiated, Client ID 60010012, ...	Warrant Gener...	20200522	17:36:06	20200629	16:16:33

(2) Click the "Application No." to enter "Inspection and Confirmation of Factory Warehouse Warrant".

The screenshot displays the 'Inspection and confirmation of factory warehouse warrant' page. It includes the following sections:

- Actual Load-in Date:** [Empty]
- Actual Arrived Vehicle and Vessel No.:** [Empty]
- Customs declaration No.:** 234
- Currency:** RMB
- Receipt Date:** [Empty]
- Application Notes:** [Empty]
- Load-in Amount:** 23454325.00
- Quality Inspection Result:** [Empty]

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Scanning Copy Of Check...	Note
[Empty]						

Warrant No.	Qty. of Generated Warrant	Weight of Generated Warrant	Certificate	Note of Warrant
lu0020000501-lu0020002500	2000	20000.000		

Load-in Storage Fees

Start Date of Storage: 20200609
End Date of Storage Fees: 20200703

Fees: [Empty]

Days of Storage: 25

Warrant Generation Notes: [Empty]

After reviewing the warrant information, the Client may take the following actions at the bottom part of the page:

- **Approve:** This will complete the factory warehouse warrant load-in procedure and the warrants will be added to the Client account, viewable from the "My Account" page.
- **Reject:** Fill in the reason for the rejection. Rejected load-in applications are sent back to the factory warehouse, which may modify and re-submit them.

Task Tracking:

Progress on approved or rejected applications for factory warehouse warrant load-in can be viewed in "Task Tracking".

Chapter 7 Authorization

Standard warrant Clients are required to appoint an FF Member, OSBP or Overseas Intermediary that provides them brokerage services to conduct three types of warrant operations, including Margin Collateral, Delivery and EFP Delivery. This Chapter describes the authorization by Clients to their FF Members, Overseas Intermediaries or OSBPs in the System.

Note: Once being authorized, the warrant is occupied, and can no longer be used in any other operation.

Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for the authorization of Medium Sour Crude Oil warrants.

Warrant Authorization

Warrant authorization is initiated by the Client. The Client first select the commodities under the warrant account and authorize them to the FF Member, OSBP, or Overseas Intermediary.

(1) Warrant authorization is performed through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "Authorization".

(2)

Warrant Account ID	Duty-paid...	Depot Abbr.	Crude Name	Last Delivery ...	Last Delivery Price	Available Qty.	Qty. Submitted
<input type="checkbox"/> scN000000002	Bonded	BJ Oil Storage	CHINA Crude 1			298000	0
<input type="checkbox"/> scN000000006	Bonded	SHC	CHINA Crude 1			99595000	0

Define the search criteria. A user may inquire about the information on the existing warrant account as per depot or crude.

(3)

New Task ▸ Authorization

Search Criteria

* Product:

Duty-paid Status: Bonded Duty-paid

Depot: SHC BJ Oil Storage

Crude: Crude 2 CHINA Crude 1

Warrant Account ID	Duty-paid...	Depot Abbr.	Crude Name	Last Delivery ...	Last Delivery Price	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/> scN000000002	Bonded	BJ Oil Storage	CHINA Crude 1			298000	<input type="text" value="1000"/>
<p>Please select by product property - Storage Location : Qty. Submitted/Qty. Available</p> <ul style="list-style-type: none"> • bj --: <input type="text" value="1000"/> / 298000 <p>Please select by start/end date of storage - Paid storage period: Qty. Submitted/Qty. Available</p> <ul style="list-style-type: none"> • 20150421-20150531: <input type="text" value="1000"/> / 298000 							
<input type="checkbox"/> scN000000006	Bonded	SHC	CHINA Crude 1			99595000	<input type="text" value="0"/>

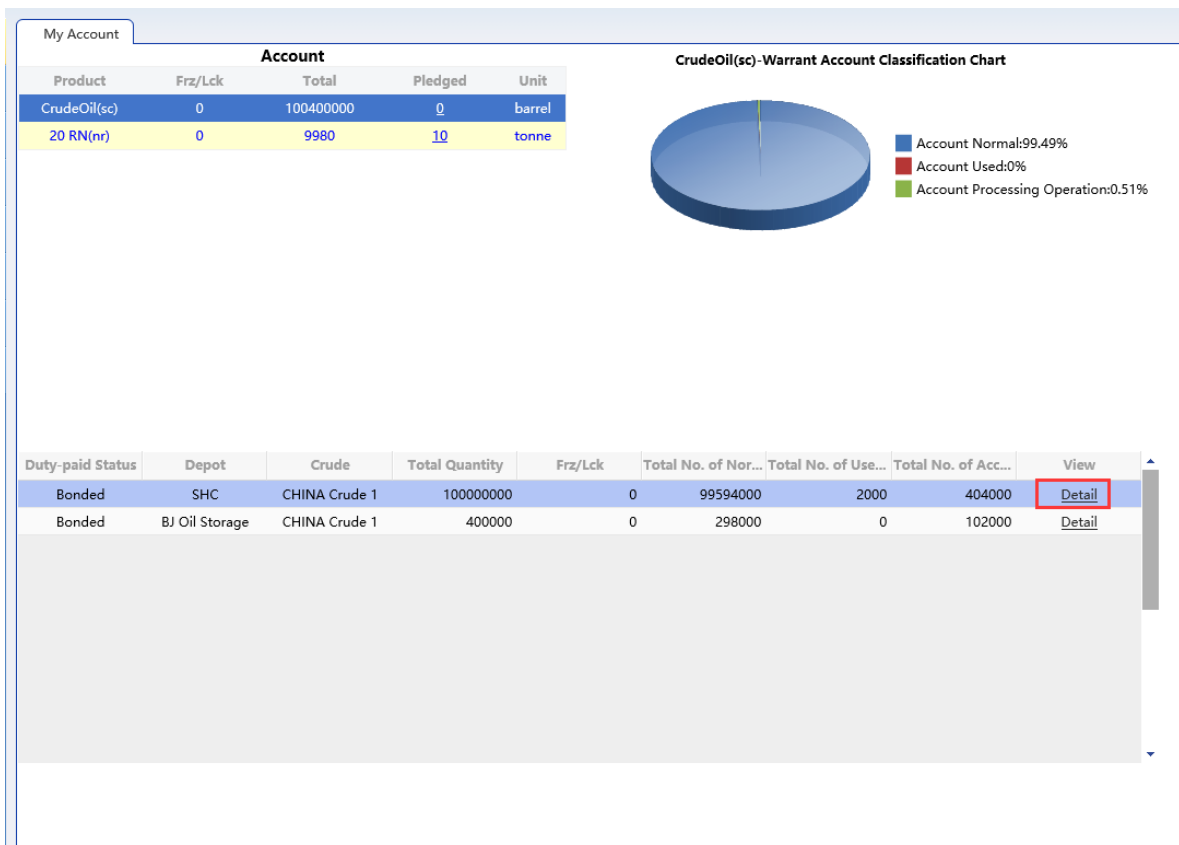
* Authorization Institution: * Authorization Type:

Select the warrant account to be authorized and fill in the information such as the Quantity Submitted and authorization institution:

- Quantity Submitted: the quantity will be automatically allocated as per the property and the end date of storage fees. If any detailed information of the Quantity Submitted needs to be supplemented manually, such as tanks, fill it in the extended column of the warrant account, and make sure the sum of allocation equals to the Quantity Submitted.
- Authorization Institution Type/Authorization Business Type: select them from the drop-down list.

Note: A user may tick multiple warrant accounts and submit the authorization simultaneously.

(4) After the submission, a user may view the warrant authorization in "My Account".



In "My Account", check the details as per the products, such as Medium Sour Crude Oil (SC).

My Account ▶ Account Detail

Account T...	Warrant Accou...	Occupation Ty...	Operation ...	Operation Do...	Duty-p...	Depot Abbr.	Crude Name	Last Delivery Peri...	Last Delivery Price	Total Quan...
Account P...	scB000000024		Warrant L...	sc0011900002	Bonded	SHC	CHINA Cr...			200,000
Account P...	scB000000023		Warrant L...	sc0011900001	Bonded	SHC	CHINA Cr...			200,000
Account P...	scB000000022		Warrant R...	sc0011900001	Bonded	SHC	CHINA Cr...			1,000
Account P...	scB000000021		Warrant T...	sc0011900004	Bonded	SHC	CHINA Cr...			1,000
Account P...	scB000000020		Discharge ...	sc0011900001	Bonded	SHC	CHINA Cr...			1,000
Account P...	scB000000014		Warrant T...	sc0011900003	Bonded	SHC	CHINA Cr...			1,000
Account U...	scO000000009	Delivery Auth...			Bonded	SHC	CHINA Cr...			1,000
Account U...	scO000000008	Authorization...			Bonded	SHC	CHINA Cr...			1,000
Normal Ac...	scN000000006				Bonded	SHC	CHINA Cr...			99,594,000

If the warrants are authorized as Margin Collateral but have not been processed yet, such a warrant account will be an occupied account, with an occupation type of "Margin Collateral Authorization". An occupied account is not allowed for any other business.

Warrant Authorization Cancellation

A Client may cancel the standard warrant authorization as per the authorization type before its FF Member or OSBP submits the authorization application for Margin Collateral, Delivery, or EFP Delivery. After the Client cancels the authorization, the released standard warrants may either be used in other warrant transactions or re-authorized by the Client.

(1) Cancellation of warrant authorization is performed through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "Authorization Cancellation".

(2)

Document N...	Warrant Acco...	Duty...	Depot	Client Name	Member Abbr.	Crude	Last Delivery...	Last Delivery P...	Available...	Qty	Submitt...
sc19000000...	scO000000008	Bond...	SHC	7003...	n7003	CHINA Crud...				1000	0

Define the search criteria. A user may inquire about the authorization information on the existing warrant account as per depot, crude or authorized person.

(3)

New Task > Authorization Cancellation

Search Criteria

Product: CrudeOil

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

Authorized Person's: n7003

Search

Document N...	Warrant Acco...	Duty-...	Depot	Client Name	Member Abbr.	Crude	Last Delivery...	Last Delivery P...	Available...	Qty. Submitt...
<input type="checkbox"/>	sc19000000...	scO000000008	Bond...	SHC	7003客户	n7003	CHINA Crud...		1000	1000

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

- SHC-portOfStorage1 --: / 1000

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

- 20190704-20190731 : / 1000

OK

Tick the record for authorization cancellation, and fill in the cancellation quantity of authorization. As for detailed allocation quantity, such as tanks, a user may allocate it in the expanded area manually. Upon the completion, click the "OK" button.

Note: A user may tick multiple account authorizations and cancel them simultaneously.

(4)After the authorization is cancelled, such warrants will be put in the normal account once again. A user may check them in "My Account".

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process not for the authorization of TSR 20, LSFO, and Copper warrants.

Warrant Authorization

Warrant authorization is initiated by a Client. The Client first selects the commodities under the warrant account and then authorizes them to the FF Member, OSBP, or Overseas Intermediary.

(1) Warrant authorization for LSFO is performed through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Authorization".

(2) The warrants to be authorized may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task > Authorization

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Warrants of Automatic batch selection:

Depot:

Warrant No.: -

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...
<input checked="" type="checkbox"/> lu0050000005	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input checked="" type="checkbox"/> lu0050000009	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000010	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000019	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000020	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915
<input type="checkbox"/> lu0050000021	lu2000000014	Bonded	LU 5%	SHCK	SHCK Place	Domestic	20200914	20210915

Page 1 / Total 1031

Available: 100 warrants, 1000.000 tonne, Total: 103003 warrants

Selected Warrants

Warrant No.	Count
<input checked="" type="checkbox"/> lu0050000005	1
<input checked="" type="checkbox"/> lu0050000009	1

Selected: 2 warrants, 20.000 tonne

Authorization Info.

*Authorization Institution:

*Authorization Type:

(3) Complete "Authorization Information": The Authorization Institution and Authorization Type can be selected from the drop-down list.

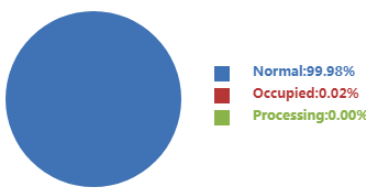
(4) Submitted warrant authorization can be viewed in "My Account". An account with pending processes may not perform other transactions.

My Account

Account

LSFO(lu)-Warrant Breakdown

Product	Frz/Lck	Total	Pledged	Unit
TSR 20(nr)	2540	2560	0	tonne
Medium Sour Crude Oil(sc)	0	784000	0	barrel
LSFO(lu)	0	1030160	0	tonne
Copper(bc)	0	23600	0	tonne



■ Normal:99.98%
■ Occupied:0.02%
■ Processing:0.00%

Duty-paid Status	Depot	Country	Grade	Total	Frz/Lck	Normal	Occupied	Processing
Bonded	SHCK	Domestic	LU 5%	10040	0	9990	40	10
Bonded	BJC	Domestic	LU 5%	1020120	0	1019980	120	20

Warrant Authorization Cancellation

A Client may cancel the standard warrant authorization as per the authorization type before its FF Member or OSBP submits the authorization application for Margin Collateral, Delivery, or EFP Delivery. After the Client cancels the authorization, the released standard warrants may either be used in other warrant transactions or re-authorized by the Client.

(1) Cancellation of warrant authorization for LSFO is performed through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Authorization Cancellation".

(2) The warrants for which the authorization is to be cancelled may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

New Task ▸ Authorization Cancellation

Search Criteria

Product: LSFO Duty-paid Status:

Grade: *Authorization Type: Authorization For Margin Collaterals

Depot: *Authorization Institution: n7003

Warrants of Automatic batch selection: Warrant No.: -

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Document N...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...
<input type="checkbox"/> lubjc0012182	lu2300000003	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	2022082...

Page 1 / Total 1 Go to

Available: 1 warrants, 10,000 tonne, Total: 1 warrants

Selected Warrants S/U E

Warrant No.	Duty-paid ...

Selected: 0 warrants, 0,000 tonne

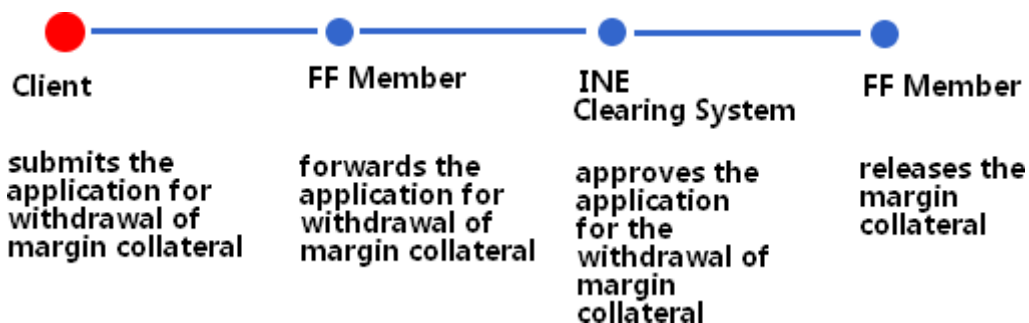
OK

(3) Make the selection and then click the "OK" button. The warrants whose authorization is canceled will be put back into the normal account and viewable in "My Account".

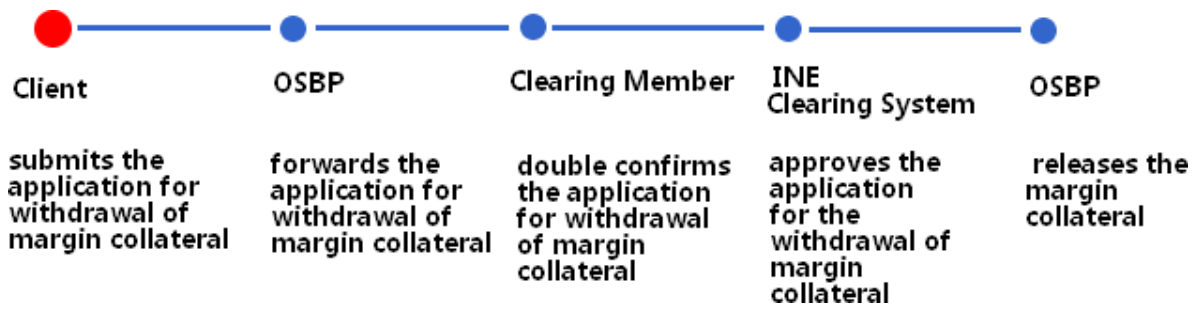
Chapter 8 Collateralization For Margin

Should a Client use the warrants as margin collateral, it may go through the withdrawal procedures to retrieve the deposited standard warrants after paying sufficient margin. This Chapter describes the operation of withdrawal of margin collateral.

The process node diagram for withdrawal of margin collateral is as shown below (Withdrawal Method is presumed to be the Normal Withdrawal):



Note: Since an OSBP cannot conduct clearing directly at the Exchange, it is required to appoint a Clearing Member to make the reconfirmation in the process as shown below:



Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for depositing Medium Sour Crude Oil warrants as margin collateral.

Withdrawal of Margin Collateral

The Client may initiate the application for withdrawal of margin collateral in the standard warrant management system of the Exchange.

(1) Withdrawal of margin collateral for Medium Sour Crude Oil is performed through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "(Collateralization For Margin) Withdrawal".

(2)

New Task ▸ Withdrawal

Search Criteria

- Product: **Medium Sour Crude Oil**
- Duty-paid Status: **All** Bonded Duty-paid
- Margin Type: **Margin Collateral** Margin Collateral for the Short Positions of a Designated Contract
- Depot: **All** SHC BJ Oil Storage
- Crude: **All** Crude 2 CHINA Crude 1
- Member: **7005** Expiry Date:

Search

Deposit No. of C...	Warrant Acc...	Duty-pai...	Depot	Crude	Contract	Expiry Da...	Last Delivery...	Last Delivery Price	Available Qty.	Qty. Submitt...
<input type="checkbox"/>	sc150000001	scO0000000...	Bonded	BJ Oil Stor...	CHINA Crud...	20151021			3100	0

Total Available Qty.:3100 Bonded Available Qty.:3100 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0

Margin Withdrawal Info.

- Withdrawal Method: **Normal** Transfer for Delivery Transfer for EFP
- Note:

Define the search criteria, including the type of margin, depot, etc. The Member may select them from the drop-down list.

Note: If "Transfer for Delivery" or "Transfer for EFP" is select for Withdrawal Method, the System will automatically apply for sell-side delivery application, and the FF Member or OSBP will not release the warrant.

(3)

Deposit No. of C...	Warrant Acc...	Duty-pai...	Depot	Crude	Contract	Expiry Da...	Last Delivery...	Last Delivery Price	Available Qty.	Qty. Submitt...
sc150000001	scO000000...	Bonded	BJ Oil Stor...	CHINA Crud...		20151021			3100	1000

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

- bj --: / 3100

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

- 20150302-20170301: / 3100

Total Available Qty.:3100 Bonded Available Qty.:3100 Total Submitted Qty.:0 Bonded Commodity Submitted Qty.:0

Margin Withdrawal Info.

Withdrawal Method: **Normal** Transfer for Delivery Transfer for EFP

Note:

OK

Tick the warrants to be applied for withdrawal of margin collateral, and fill in the "Quantity Submitted". The System will allocate the warrant quantity by default as per the property, and a user may re-allocate it manually. Upon completion of the allocation, click the "OK" button.

(4) To view the progress of the submitted application for withdrawal of margin collateral, a user may query in the "Task Tracking".

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Margin With...	sc1900000001	Pending	Collateralization for Margin - Withdraw(initiated by Client 6...	Margin With...	20190808	20190808

In the "Task Tracking", set the operation type as "Margin Withdrawal" and make the query. A user may either click the "Application No." to view the details or click the icon in the operation column to cancel the application for withdrawal of margin collateral before the application is forwarded by the Trading Member.

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken a Client at each process node for depositing TSR 20, LSFO, and Copper warrants as margin collateral.

Withdrawal of Margin Collateral

A Client may start an application for withdrawing (releasing) its margin collaterals through the Standard Warrant Management System of the Exchange.

(1) Withdrawal of margin collateral for LSFO is performed through "New Task". From the navigation menu, select "New Task" → "LSFO" → "(Collateralization For Margin) Withdrawal".

(2)The warrants to be withdrawn as margin collateral may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task ▸ Withdrawal

Search Criteria

Product: LSFO Duty-paid Status:

Grade:

Margin expiry date:

Depot:

Margin Type: Margin Collateral Member:

Warrants of Automatic batch selection: Warrant No.:

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Application No...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country
(Empty table)							

Page 1 / Total 1 Go to

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

Margin Withdrawal Info.

Withdrawal Method: **Normal** Transfer for Delivery Transfer for EFP

Note:

(3)

Fill in "Margin Withdrawal Info." and then click the "OK" button to complete the withdrawal of margin collateral.

Note: If "Transfer for Delivery" or "Transfer for EFP" is selected for Withdrawal Method, the System will automatically apply for sell-side delivery application after the Settlement System completes the review and approval, and the FF Member or OSBP will not release the warrant.

(4)

The Client may track and view the progress of a submitted application in "Task Tracking".

In "Task Tracking", set the operation type as "Margin Withdrawal" and perform the search. Then, a user may either click the "Application No." to view the details or, before the application is forwarded by the Trading Member, to click the icon in the Operation column to cancel the application.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	LSFO	Margin With...	lu2300000003	Pending	Collateralization for Margin - Withdraw(initiated by Client 0...	Margin With...	20200113	20200113

Chapter 9 Warrant Transfer

Standard warrant transfer refers to the ownership transfer of standard warrants. Clients may choose any underlying commodity for the warrant transfer application, and conduct the relevant transfer procedures. This Chapter describes the operations of Clients as a seller and as a buyer, respectively.

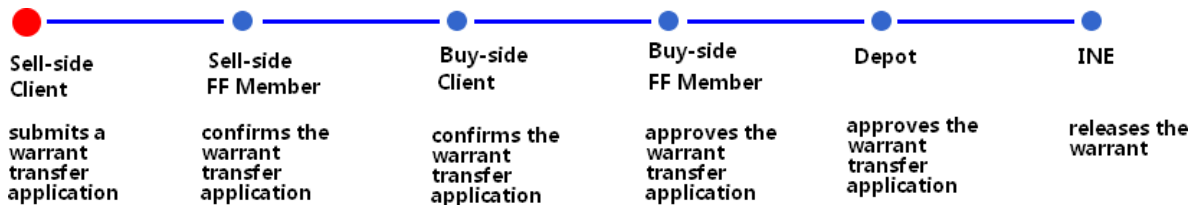
Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by at each node involved in the transfer of Medium Sour Crude Oil warrants.

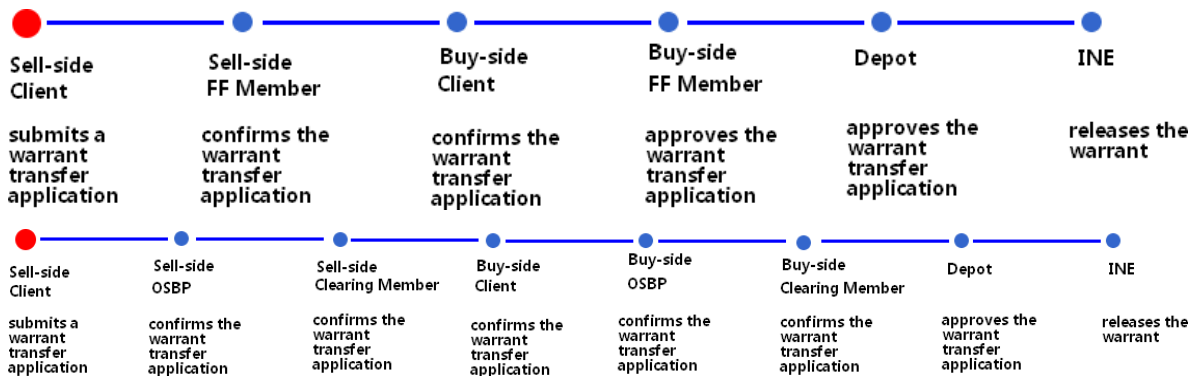
Client as a Seller

In a warrant transfer, the buyer and the seller may settle delivery payments through the Exchange.

The warrant transfer process is as shown below:



Note: If the Client opened the account with an OSBP, the OSBP is required to engage a Clearing Member to confirm the warrant transfer application as it cannot settle trades directly at the Exchange. If both the buy-side and sell-side Clients opened the accounts with OSBPs, the warrant transfer process is as follows:



(1) The Client may submit the warrant transfer application as a seller. In the "New Task", select the "Transfer Application" in the operation type of "Warrant Transfer".

(2) Use the search criteria to make the search as per the duty-paid status, or crude, etc.

Search Criteria

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

(3) The Client (Sell-side) may select the warrant quantity for transfer.

Warrant Acc...	Duty-pai...	Depot	Premium/Dis...	Crude	Premium/Dis...	Premium/Dis...	Last Delivery ...	Last Delivery...	Available Qty.	Qty. Submitt...
scN0000001...	Bonded	SH warehouse	-0.22	Abu Dhabi c...	0.01	0.00			290000	<input type="text" value="0"/>

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

- Shanghai Stock 1 --: / 290000

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

- 20200423-20210423: / 290000

(4) An Overseas Institution Client (Sell-side) should fill in the transfer information:

- For an Overseas Institution Client, "Seller Type" will be automatically set to "Overseas Institution" and not modifiable.

A Non-Overseas Institution Client (Sell-side) should fill in the transfer information:

- For a Non-Overseas Institution Client, "Seller Type" cannot be "Overseas Institution"
- If the "Seller Type" is "Enterprise in Customs Special Supervision Zone" or "Qualified Crude Oil Importer and Exporter", the qualification certificate must be uploaded
- If the "Seller Type" is "Others", additional information may be entered into "Notes of Seller Type"
- If the "Seller Type" is "Others" and no qualification certificate is uploaded, the warrant needs to be from load-in, delivery, or EFP delivery, or there will be an error prompt stating that "there are non-transferable warrants"

(5) Click "OK" and a letter of undertaking will be displayed. Agreeing to the undertaking to submit the transfer application.

Task Tracking

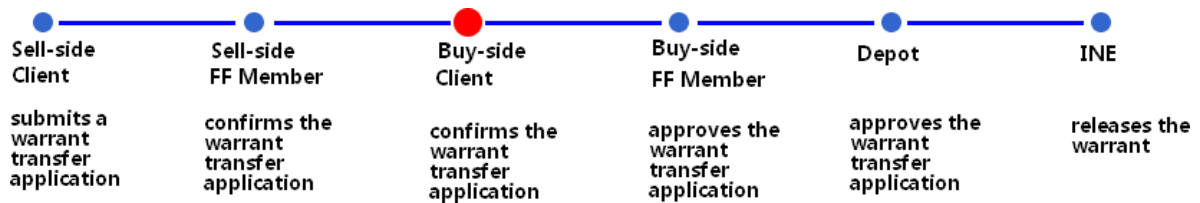
While waiting the confirmation by the buy-side Client on the application, a user may inquire about the warrant transfer in the "Task Tracking".

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Warrant Tran...	sc0011900004	Pending	Warrant Transfer(initiated by Client 60010012, Quantity 10...	Sell-Side Sub...	20190808	20190808

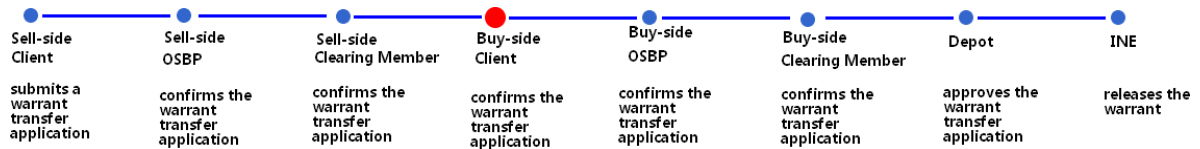
In the page of task tracking, click the "Application No." to view the details of the approval. A user may cancel the warrant transfer by clicking the icon in the operation column before the Buy-side Client confirms the warrant transfer application.

Client as a Buyer

Both parties to the transfer may also conduct the settlement via the Exchange. If both the sell-side and the buy-side Clients open accounts under an FF Member, the warrant transfer process is as shown below:



Note: If the Client opened the account with an OSBP, the OSBP is required to engage a Clearing Member to confirm the warrant transfer application as it cannot settle trades directly at the Exchange. If both the buy-side and sell-side Clients opened the accounts with OSBPs, the warrant transfer process is as follows:



(1) The buy-side Client needs to confirm the warrant transfer application submitted by the sell-side Client, whether they agree to settle "between a Buyer and a Seller" or "Via the Exchange". A warrant transfer is confirmed in "To-do".

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Warrant Tra...	scbjc2000004	Warrant Transfer(initiated by Client 60010012, Quantit...	Transfer Appli...	20201030	14:47:08	20201030	14:48:54

In the page of "To-do", make the query as per the operation type of "Warrant Transfer". Select the record(s) with the operation status as "Sell-side Submits Warrant Transfer Application" or "Sell-side Trading Member Approves Warrant Transfer Application".

(2) Click the "Application No." of the matched record to view the details on warrant transfer.

To do > Buy-side Client confirms Transfer Application

Transfer Info.

Warrant Transfer No.: scbjc2000004	Product: Medium Sour Crude Oil
Application Date: 20201030	Status: Transfer Application Approved by Sell-Side Trading Member
Depot: BJC	Available Quantity: 1000
Settlement Method: Settled by INE	Total Amount: 12,535,810.00
Transfer Price: 12,535.70	Client Name (Buy-side): Syhgh
Client ID (Buy-side): 01654375	Client Name (Sell-side): 7003客户
Client ID (Sell-side): 60010012	Trading Member Abbr. n7003 (Sell-side):
Trading Member ID (Sell-side): 7003	
*Trading Member ID (Buy-side): <input type="text"/>	Seller's qualification certificates:
Seller type: Overseas institution	Buyer's qualification certificates: <input type="button" value="Upload"/>
*Buyer type: <input type="text"/>	

Note:

Warrant Acc...	Duty-pai...	Depot	Premium/Dis...	Crude	Premium/Dis...	Premium/Dis...	Assign Mode	Last Delivery...	Last Delivery ...	Qty. Submitt...
scB000000012	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."

The buy-side Client may view the details on the page of warrant transfer and select a (buyer) member ID, Client Type (Buy-side):

- For an Overseas Institution Client, "Buyer Type" will be automatically set to "Overseas Institution" and not modifiable.

- For a Non-Overseas Institution Client, "Buyer Type" cannot be "Overseas Institution"
- If the "Buyer Type" is "Enterprise in Customs Special Supervision Zone" or "Qualified Crude Oil Importer and Exporter", the qualification certificate must be uploaded
- If the "Buyer Type" is "Others", additional information may be entered into "Notes of Buyer Type"

Then perform the relevant action at the lower part of the page after confirmation:

- **Approve:** Click the "Approve" button and a letter of undertaking will be displayed. Agreeing to the undertaking to approve the transfer application of the sell-side Client, then proceed to the next node of the process.
- **Reject:** Fill in the reason for rejection, reject the application and end the process.

(3) The warrant transfer-out application can be found in "Task Tracking". Click on the "Application No." to view the details.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
Medium Sou...	Warrant Tran...	scbjc2000004	Pending	Warrant Transfer(Initiated by Client 60010012, Quantity 10...	Buy-Side con...	20201030	20201030	

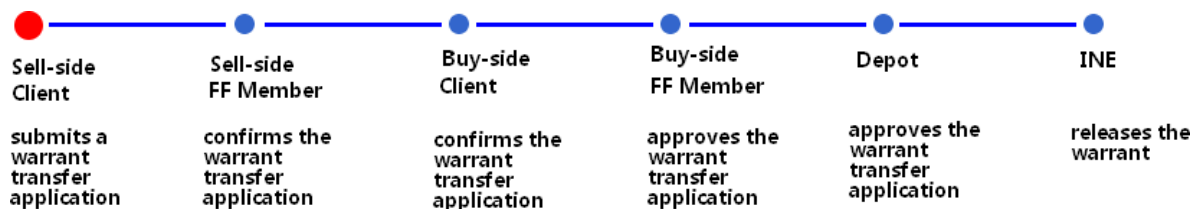
Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the transfer of TSR 20, LSFO, and Copper warrants.

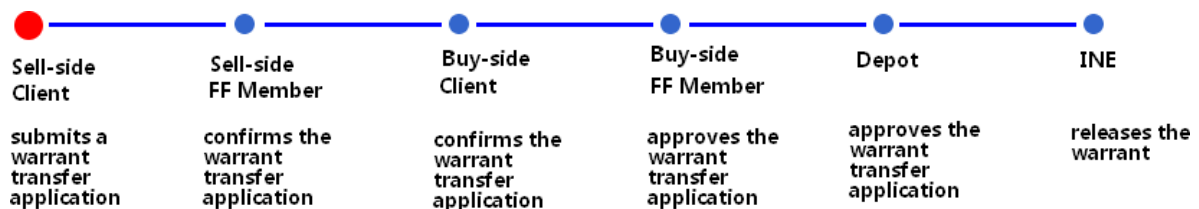
Client as a Seller

In a warrant transfer, the buyer and the seller may settle delivery payments through the Exchange.

If both the buy-side and sell-side Clients are carried by FF Members, the warrant transfer process is as follows:



Note: If the Client opened the account with an OSBP, the OSBP is required to engage a Clearing Member to confirm the warrant transfer application as it cannot settle trades directly at the Exchange. If both the buy-side and sell-side Clients opened the accounts with OSBPs, the warrant transfer process is as follows:



(1) A buy-side Client may submit the warrant transfer application through "New Task". Select "LSFO" → "(Warrant Transfer) Transfer Application" to enter the transfer application page.

(2) The warrants to be authorized may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note:

- "Warrant No." and "Quality Inspection Expiry Date" will be shown in red if the quality inspection for the TSR 20 underlying the warrants has expired.
- Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task > Transfer Application

Search Criteria

Product: LSFO

• Depot: BJC

• Duty-paid Status: Bonded

Grade: [] Warrants of Automatic batch selection: []

Warrant No.: []

Q Search Q 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"/> lubjc0012184	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1
<input type="checkbox"/> lubjc0012185	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1
<input type="checkbox"/> lubjc0012186	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1
<input type="checkbox"/> lubjc0012187	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1
<input type="checkbox"/> lubjc0012188	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1
<input type="checkbox"/> lubjc0012189	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1
<input type="checkbox"/> lubic0012190	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1

Page 1 / Total 1020 Go to

Available: 100 warrants, 1000.000 tonne, Total: 101997 warrants Selected: 0 warrants, 0.000 tonne

Transfer Info.

• Settlement Method: Settled by INE

• Seller's Institution: n7003

• Transfer Price: 10,250.00

• Client ID (Buy-side): []

• Seller type: Overseas institution

Weight: [] Total Amount: []

• Client Name (Buy-side): []

Note: []

Note: This settlement price is the final execution price.

OK

(3) An Overseas Client (Sell-side) should fill in the transfer information:

- For an Overseas Institution Client, "Seller Type" will be automatically set to "Overseas Institution" and not modifiable

Transfer Info.

• Settlement Method: Settled by INE

• Seller's Institution: n7003

• Transfer Price: 1,245.00

• Client ID (Buy-side): []

• Seller type: Overseas institution

Weight: [] Total Amount: []

• Client Name (Buy-side): []

Note: []

Note: This settlement price is the final execution price.

OK

A Non-Overseas Client (Sell-side) should fill in the transfer information:

- For a Non-Overseas Institution Client, "Seller Type" cannot be "Overseas Institution"
- If the "Seller Type" is "Enterprise in Customs Special Supervision Zone" or "Qualified Crude Oil Importer and Exporter", the qualification certificate must be uploaded
- If the "Seller Type" is "Others", additional information may be entered into "Notes of Seller Type"

- If the "Seller Type" is "Others" and no qualification certificate is uploaded, the warrant needs to be from load-in, delivery, or EFP delivery, or there will be an error prompt stating that "there are non-transferable warrants"

Transfer Info.

• Settlement Method: Settled by INE

• Seller's Institution: 8008

• Transfer Price: 1,245.00

• Client ID (Buy-side):

• Seller type: Others

Weight:

Total Amount:

• Client Name (Buy-side):

Seller's qualification certificates:

Notes of seller type:

Note:

Note: This settlement price is the final execution price.

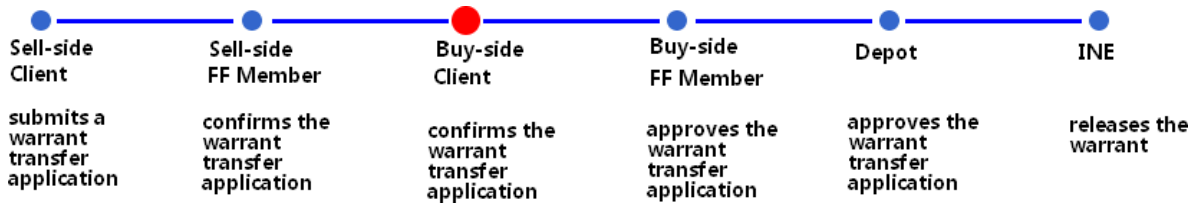
(4) After submission, the warrant transfer-out application will be pending confirmation by the buy-side Client and can be found in "Task Tracking".

After conducting such a search, the sell-side Client may click the "Application No." to view the details of the application. The Client may cancel the application by clicking the icon in the Operation column before the Buy-side Client confirms the warrant transfer application.

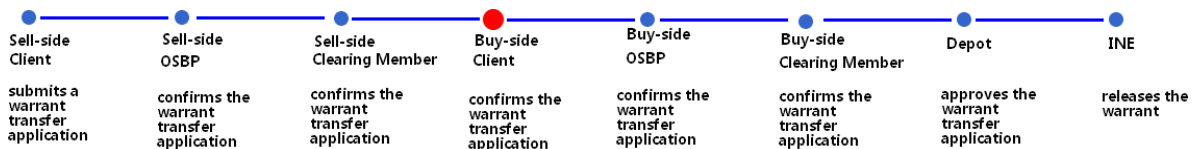
Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Warrant Tran...	lujc2300001	Pending	Warrant Transfer(initiated by Client 60010012, weight 10.00...	Transfer Appl...	20230418	20230418

Client as a Buyer

In a warrant transfer, the buyer and the seller may settle delivery payments through the Exchange. If both are carried by FF Members, the warrant transfer process is as follow:



Note: If the Client opened the account with an OSBP, the OSBP is required to engage a Clearing Member to confirm the warrant transfer application as it cannot settle trades directly at the Exchange. If both the buy-side and sell-side Clients opened the accounts with OSBPs, the warrant transfer process is as follows:



(1) The buy-side Client needs to confirm the warrant transfer application submitted by the sell-side Client, whether they agree to settle "between a Buyer and a Seller" or "Via the Exchange". A warrant transfer is confirmed in "To-do".

In "To-do", define the search criteria to find the pending task.

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Warrant Tra...	lujc2300001	Warrant Transfer(initiated by Client 60010012, weight 1...	Transfer Appli...	20230418	13:50:47	20230418	14:03:22

(2) Click the "Application No." to enter the "Buy-side Client Confirms Transfer Application" page.

To do ▶ Buy-side Client confirms Transfer Application

Transfer Info.

Warrant Transfer No.: lubjc2300001
 Application Date: 20230418
 Depot: BJC
 Settlement Method: Settled by INE
 Transfer Price: 10,250.00
 Client ID (Buy-side): 60010017
 Client ID (Sell-side): 60010012
 Trading Member ID (Sell-side): 7003
 * Trading Member ID (Buy-side):
 Seller type: Overseas institution
 * Buyer type: Overseas institution
 Note:

Product: LSFO
 Status: Transfer Application Approved by Sell-Side Trading Member
 Weight: 10.000
 Total value: 102,510.00
 Client Name (Buy-side): ezj
 Client Name (Sell-side): 3997
 Trading Member Abbr. (Sell-side): n7003
 Seller's qualification certificates:

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...	Country	Effective ...	End Date ...	Expiry
lubjc0012183	lu2200000003	Bonded	LU 5%	0.00	BJC	1.00	0.00	BJC1	Domestic	20220824	20220831	20230

Available: 1 warrants, 10.000 tonne, Total: 1 warrants Page 1 / Total 1 1 Go to

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."

Note: "Warrant No." and "Quality Inspection Expiry Date" will be shown in red if the quality inspection for the TSR 20 underlying the warrants has expired.

The buy-side Client may view the details on the page of warrant transfer and select a (buyer) member ID, Client Type (Sell-side):

- For an Overseas Institution Client, "Buyer Type" will be automatically set to "Overseas Institution" and not modifiable.
- For a Non-Overseas Institution Client, "Buyer Type" cannot be "Overseas Institution"
- If the "Buyer Type" is "Enterprise in Customs Special Supervision Zone" or "Qualified Crude Oil Importer and Exporter", the qualification certificate must be uploaded
- If the "Buyer Type" is "Others", additional information may be entered into "Notes of Buyer Type"

Then perform the relevant action at the lower part of the page after confirmation:

- **Approve:** Click the "Approve" button and a letter of undertaking will be displayed. Agreeing to the undertaking to approve the transfer application of the sell-side Client, then proceed to the next node of the process.
- **Reject:** Fill in the reason for rejection, reject the application and end the process.

Click the "Export" button to export the warrant information.

(3) The warrant transfer-out application can be found in "Task Tracking". Click on the "Application No." to view the details.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
LSFO	Warrant Tran...	<u>lubjc2300001</u>	Pending	Warrant Transfer(initiated by Client 60010012, weight 10.00...	Transfer Appl...	20230418	20230418	

Chapter 10 Off-Exchange Pledge Registration

Warrant pledge refers to the process in which the pledger and the pledgee enter into a pledge contract backed by a pledge of the warrant. A copy of the pledge contract shall be submitted to the Designated Delivery Storage Facility for archive.

This Chapter describes the operations of off-exchange pledge registration and discharge of off-exchange pledge registration by Clients.

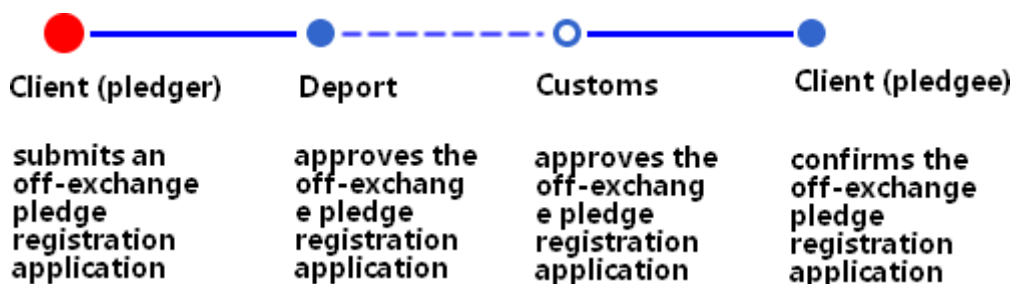
Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for the off-exchange pledge registration for Medium Sour Crude Oil.

Off-Exchange Pledge Registration

Application for off-exchange pledge registration is to be submitted by the pledger, approved by the depot, and finally confirmed by the pledgee. If bonded warrant is involved, the pledge registration also needs to be approved by the Customs. In an off-exchange pledge registration, a Client may be either the pledger or the pledgee. The process node diagrams for these two roles are as follows:

Client as the pledger:



Client as the pledgee:



Note: Pledger needs to settle all storage charges before the off-exchange pledge registration. No delivery, transfer, or withdrawal of the underlying commodities is allowed after the off-exchange pledge registration.

Client as the Pledger

The process node diagram for a Client as the pledger is shown below (assuming a pledge with bonded warrant). The application for off-exchange pledge registration is initiated by the Client, approved by the depot and the Customs, and finally confirmed by the pledgee.



(1) Conduct the off-exchange pledge registration in the "New Task". Enter the page of "New Task" through the navigation menu, and select the "Off-Exchange Warrant Pledge Registration".

The screenshot shows a web application window titled "New Task" with a sub-tab "Off-Exchange Pledge Registration".

Search Criteria

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

Search: [Search Button]

Warrant Account...	Product	Duty-paid Status	Depot Abbr.	Crude Name	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted

Information of Off-Exchange Pledge Registration

Pledgee ID: Pledgee Name:

Note on Pledge:

[OK Button]

Define the search criteria. A user may inquire about the information on the existing warrant account as per the depot or the duty-paid status.

(2)

New Task > Off-Exchange Pledge Registration

Search Criteria

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

Q Search

Warrant Account...	Product	Duty-paid Status	Depot Abbr.	Crude Name	Last Delivery Pe...	Last Delivery Pri...	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/>	scN000000006	CrudeOil	Bonded	SHC	CHINA Crude 1		99999000	1000

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

- SHC-portOfStorage1 --: 1000 / 99999000

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

- 20190704-20190731: 1000 / 99999000

Information of Off-Exchange Pledge Registration

Pledgee ID: 60010017 Pledgee Name: dgg

Note on Pledge:

OK

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

Note: A user can submit the application only when the "Pledgee ID" and the "Pledgee Name" are matched.

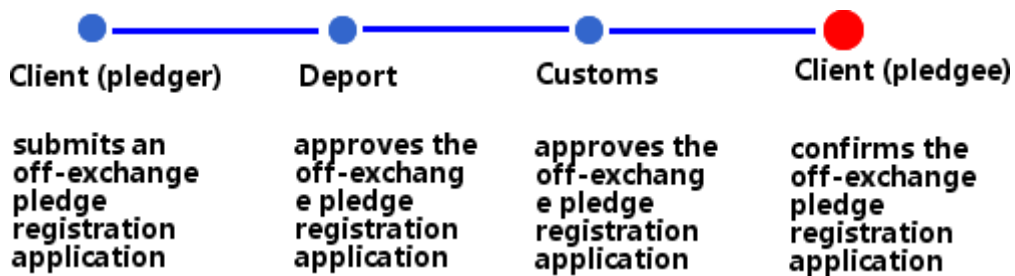
(3) After being submitted, the application of off-exchange pledge registration may be inquired in the "Task Tracking".

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	CrudeOil	Off-Exchange...	sc0011900001	Pending	Off-Exchange Warrant Pledge (Pledger 60010012 initiated, ...	Submit Off-E...	20190807	20190807

A user may click the "Application No." to view the details on the off-exchange pledge registration or click the icon in the operation column to cancel the application.

Client as the Pledgee

The process node diagram for a Client as the pledgee is shown below (assuming a pledge with bonded warrant). The application for off-exchange pledge registration is initiated by the pledger, approved by the depot and the Customs, and finally confirmed by the pledgee.



(1) The pledgee confirms the off-exchange pledge registration in the "To do". First, enter the "To do" page through the navigation menu.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Off-Exchange...	sc0011900001	Off-Exchange Warrant Pledge (Pledger 60010012 initia...	Off-Exchange ...	20190807	17:25:46	20190807	17:30:47

Define the search criteria, and select the operation type of "Off-Exchange Pledge Registration". Then select the record with the operation status as "Off-Exchange Pledge approved by the Customs", and click the "Application No." to enter the page of confirmation.

(2)

Information of Off-Exchange Pledge Registration

Off-Exchange Pledge Registration Ticket No.: sc0011900001
 Product: CrudeOil
 Duty-paid Status: Bonded
 Depot: SHC
 Customs: BJ Customs
 Pledgee ID: 60010017
 Pledgee Name: dgg
 Pledgor ID: 60010012
 Pledgor Name: 7003
 Total Pledge Qty.: 1,000
 Pledge Status: Pledge Approved by Customs
 Application Date: 20190807
 Note on Pledge:

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000019	CrudeOil	Bonded	SHC	CHINA Crude 1			1000

Total Qty. Submitted:1000

Approve Reject

Perform relevant steps at the lower part of the page of confirmation:

- **Approve:** Confirm the off-exchange pledge registration to complete the process of off-exchange pledge registration.
- **Reject:** Fill the reason for the rejection and end the process. Such a rejected application of off-exchange pledge registration will be revoked and may be checked in the message column. The Client as a pledger and may re-submit the application.

Discharge of Off-Exchange Pledge Registration

After the pledger repays the debt, the pledgee may apply for the discharge (release) of the off-exchange pledge. The pledgee may fully or partially discharge the commodities pledged through the warrant account of the pledger, provided the bonded warrants pledged under a single contract may only be discharged as a whole. In a discharge of off-exchange pledge, the Client may be either the pledger or the pledgee. The process node diagrams for these two roles are as follows:

Client as a pledger (the warrant is presumed to be a bonded warrant):



Client as a pledgee (the warrant is presumed to be a bonded warrant):



Note: No approval is needed from the Customs for the discharge of off-exchange pledge registration of non-bonded warrants.

Client as the Pledger

The process node diagram for a Client as the pledger is shown below (assuming a pledge with bonded warrant). The application for discharging off-exchange pledge is initiated by the Client-pledgee, approved by the depot and the Customs, and finally confirmed by the pledging Client.

(1) The pledger confirms the discharge of off-exchange pledge in "To do". First, enter the "To do" page through the navigation menu.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Discharge o...	sc0011900001	Discharge of Off-exchange Pledge (Pledgee 60010017 ...	Discharge of ...	20190807	17:36:50	20190807	17:47:09

Select the operation type of "Discharge of Off-Exchange Pledge" in the search criteria section. Then select the record for the discharge of off-exchange pledge registration, and click the "Application No." to enter the page of confirmation.

(2)

The screenshot displays the "Confirm Discharge of Off-Exchange Pledge" page. The top section, titled "Information of discharging off-exchange pledge registration", contains the following details:

- Document No. of Discharge of Off-Exchange Pledge: sc0011900001
- Product: CrudeOil
- Pledgor ID: 60010012
- Pledgor Name: 7003
- Duty-paid Status: Bonded
- Depot: SHC
- Customs: BJ Customs
- Pledgee ID: 60010017
- Pledgee Name: dgg
- Total Qty. of Discharge of Off-Exchange Pledge: 1000
- Status of Releasing the Pledge: Pledge Release Approved by Customs
- Application Date: 20190807
- Note of Releasing the Pledge:

Below this information is a table with the following data:

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000020	CrudeOil	Bonded	SHC	CHINA Crude 1			1000

At the bottom of the page, there is a summary: "Total Qty. Submitted:1000" and two buttons: "Approve" and "Reject".

- **Approve:** Confirm the pledgee's discharge of off-exchange pledge and complete the process.
- **Reject:** Fill the reason for the rejection and end the process. This will void the application and the Client (pledgee) will be notified by a message alert. The Client may then re-submit the application.

Client as the Pledgee

Application for Discharge of Off-Exchange Pledge Registration

In a discharge of off-exchange pledge, the application is initiated by the Client-pledgee, approved by the depot, and finally confirmed by the pledging Client. If bonded warrant is involved, approval by the Customs is also required. The application also needs to be reviewed/verified by the Client-pledgee after submission.

(1) Application for discharge of off-exchange pledge registration is submitted through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "Discharge of Off-Exchange Pledge Registration".

(2)

New Task ▸ Discharge of Off-Exchange Pledge

Search Criteria

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

Search

Warrant Account...	Product	Duty-paid Status	Depot Abbr.	Crude Name	Operation Docu...	Operation Type	Available Qty.	Qty. Submitted
<input type="checkbox"/> sc0000000007	CrudeOil	Bonded	SHC	CHINA Crude 1	sc0011900001	Off-Exchange Pl...	1000	0

Information of discharging off-exchange pledge registration

Pledgor ID: 60010012 Pledgor Name :

Note of Releasing the Pledge:

OK

Define the search criteria. Fill in the 8-digit Pledgor ID to find the matched warrant for the pledge.

(3)

New Task ▶ Discharge of Off-Exchange Pledge

Search Criteria

• Product: Medium Sour Crude Oil

• Duty-paid Status: Bonded Duty-paid

• Depot: SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

• Pledgor ID: 60010012

Q Search

Warrant Account...	Product	Duty-paid Status	Depot Abbr.	Crude Name	Operation Docu...	Operation Type	Available Qty.	Qty. Submitted
scO000000007	Medium Sour C...	Bonded	SHC	CHINA Crude 1	sc0011900001	Off-Exchange Pl...	1000	1000

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

- SHC-portOFstorage1 --: 1000 / 1000

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

- 20190704-20190731 : 1000 / 1000

Information of discharging off-exchange pledge registration

• Pledgor ID: 60010012

• Pledgor Name : 7003Client

Note of Releasing the Pledge:

OK

Fill in the "Quantity Submitted", and the Pledgor ID and the Pledgor Name in the column of information of discharging off-exchange pledge registration. Please note that a user can only submit the application when the Pledgor ID and the Pledgor Name are matched.

(4)

Following submission, progress on the application can be viewed in "Task Tracking".

Click the "Application No." to view the details of the discharge of off-exchange pledge registration. Click the icon in the Operation column to cancel the application before verification by the Client-pledgee.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicatio...	Processin...
	CrudeOil	Discharge of ...	sc0011900001	Pending	Discharge of Off-exchange Pledge (Pledgee 60010017 initi...	Discharge of ...	20190807	20190807

Verification of Discharge of Off-Exchange Pledge Registration

After submission, the application for discharge of off-exchange pledge needs to be verified by the Client-pledgee.

(1) The Client-pledgee may review the application for the discharge of off-exchange pledge registration in the "To-do".

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Discharge o...	sc0011900001	Discharge of Off-exchange Pledge (Pledgee 60010017 ...	Discharge of ...	20190807	17:36:50	20190807	17:36:50

In the search criteria section of the To-do Tasks, select the operation type of "Discharge of Off-Exchange Pledge Registration". Then select the record with the operation status as "Submit the Review on Discharge of Off-Exchange Pledge", and click the "Application No." to enter the page of review.

(2)

To do > Verify Discharge of Off-Exchange Pledge

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: sc0011900001
 Product: Medium Sour Crude Oil
 Pledgor ID: 60010012
 Pledgor Name : 7003: 1
 Duty-paid Status: Bonded
 Depot: SHC
 Customs: BJ Customs
 Pledgee ID: 60010017
 Pledgee Name: dgg
 Total Qty. of Discharge of Off-Exchange Pledge : 1000
 Status of Releasing the Pledge: [Submit Pledge Release](#)
 Application Date: 20190807
 Note of Releasing the Pledge:

Warrant Account ID	Product	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Quantity
scB000000020	Medium Sour C...	Bonded	SHC	CHINA Crude 1			1000

Total Qty. Submitted:1000

The user may take the following actions at the bottom part of the page:

- **Approve:** Verify the application for discharging the off-exchange pledge registration and proceed to the next step of the process.
- **Reject:** Fill in the reason for the rejection and end the process.

(3) After submission, the application may be viewed in the "Task Tracking".

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	CrudeOil	Discharge of ...	sc0011900001	Pending	Discharge of Off-exchange Pledge (Pledgee 60010017 initi...	Discharge of ...	20190807	20190807

Click the "Application No." to view the details of the discharge of off-exchange pledge registration. Click the icon in the Operation column to cancel the application before verification by the Client-pledgee.

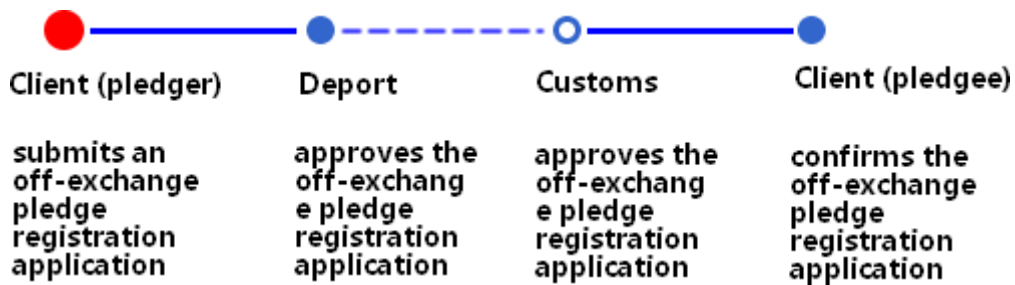
Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the off-exchange pledge registration for TSR 20, LSFO, or Copper.

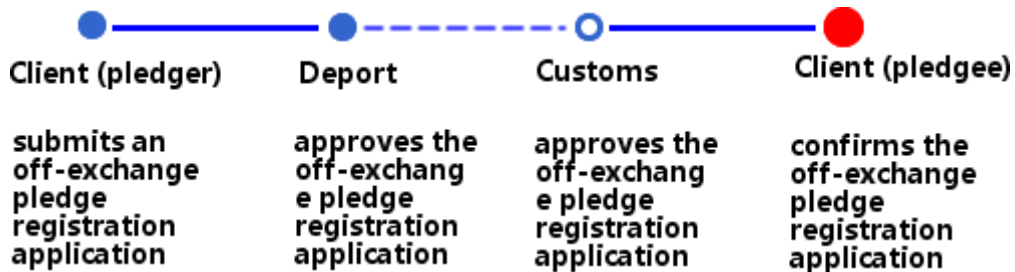
Off-Exchange Pledge Registration

Application for off-exchange pledge registration is to be submitted by the pledger, approved by the depot, and finally confirmed by the pledgee. If bonded warrant is involved, the pledge registration also needs to be approved by the Customs. In an off-exchange pledge registration, a Client may be either the pledger or the pledgee. The process node diagrams for these two roles are as follows:

Client as the pledger:



Client as the pledgee:



Note: Pledger needs to settle all storage charges before the off-exchange pledge registration. No delivery, transfer, or withdrawal of the underlying commodities is allowed after the off-exchange pledge registration.

Client as the Pledger

The process node diagram for a Client as the pledger is shown below (assuming a pledge with bonded warrant). The application of off-exchange pledge registration is initiated by the Client, approved by the depot and the Customs, and finally confirmed by the pledgee.



(1)

The application for off-exchange pledge registration for LSFO is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Off-Exchange Pledge Registration".

(2)

The warrants to be pledged off-exchange may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task > Off-Exchange Pledge Registration

Search Criteria

Product: LSFO *Duty-paid Status: Bonded
 Grade: *Depot: BJC
 Warrants of Automatic batch selection: Warrant No.: - -

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...
<input checked="" type="checkbox"/> lubjc0012185	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/> lubjc0012186	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/> lubjc0012187	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/> lubjc0012188	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/> lubjc0012189	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/> lubjc0012190	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831

Page 1 / Total 1020 Go to

Available: 100 warrants, 1000.000 tonne, Total: 101996 warrants Selected: 1 warrants, 10.000 tonne

Information of Off-Exchange Pledge Registration

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

OK

(3)

Complete the "Information of Off-exchange Pledge Registration" section. The application can be submitted only when Pledgee ID and Pledgee Name are matched.

Click the "OK" button and a disclaimer will be displayed. Please read the disclaimer carefully and click the "OK" button again to submit the application.

Disclaimer

1. Electronic warrant transfer by the Exchange based on the application of both sides is equivalent to the delivery of the document of title prescribed by Article 226 of the Property Law.
2. The pledge of electronic warrant takes effect when the Exchange transfers it from pledgor to pledgee.
3. The Exchange only verifies the form of the above application from pledgee and pledgor, and makes the decision accordingly.
4. The Exchange does not verify the validity of pledge.
5. The Exchange's transfer does not guarantee the validity and effectiveness of pledge.
6. The pledgor or the pledgee shall assume all the losses led by the Exchange's transfer, including but not limited to the risks caused by malicious actions to the warrant of the pledgee's bank.

OK Cancel

(4)

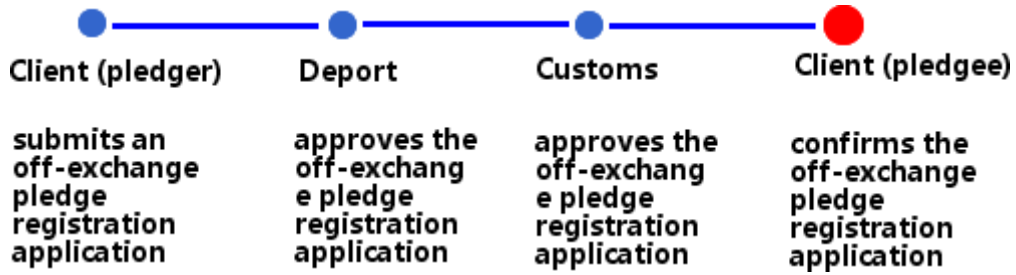
After submission, the application of off-exchange pledge registration can be found through "Task Tracking".

Click the "Application No." to view the details (including current progress) of the off-exchange pledge registration, or click the icon in the Operation column to cancel the application before it is approved by the depot.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Off-Exchange...	lujc2300001	Pending	Off-Exchange Warrant Pledge (Pledger 60010012 initiated, ...	Submit Off-E...	20230419	20230419

Client as the Pledgee

The process node diagram for a Client as the pledgee is shown below (assuming a pledge with bonded warrant). The application for off-exchange pledge registration is initiated by the pledger, approved by the depot and the Customs, and finally confirmed by the pledgee.



(1)

The pledgee confirms an off-exchange pledge registration in "To-do". From the navigation menu, enter the "To-do" page.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Off-Exchange Pledge Registration", or enter the "Application No." directly).

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Off-Exchang...	lujc2300001	Off-Exchange Warrant Pledge (Pledger 60010012 initiat...	Off-Exchange ...	20230419	13:02:33	20230419	13:18:25

(3) Click the "Application No." to enter the "Confirm Off-Exchange Pledge Registration" page.

To do ▶ Confirm Off-Exchange Pledge Registration

Information of Off-Exchange Pledge Registration

Off-Exchange Pledge Registration Ticket [lubic2300001](#) Product: LSF0
 No.:
 Duty-paid Status: [Bonded](#) Depot: [BJC](#)
 Customs: [Customs](#) Application Date: [20230419](#)
 Pledgee ID: [60010017](#) Pledgee Name: [ezj](#)
 Pledgor ID: [60010012](#) Pledgor Name: [3997](#)
 Total Pledge Weight: [10.000](#) Pledge Status: [Pledge Approved by Customs](#)
 Note on Pledge:

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Expiry date	Validity	Weight	Last De...
lubic0012184	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831	20230228	Normal	10.000	

Total: 1 warrants, 10.000 tonne, current: 1 warrants, 10.000 tonne Page 1 / Total 1 | Go to

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

- **Approve:** Confirm the pledger's off-exchange pledge registration and complete the registration process.
- **Reject:** Fill in the reason for the rejection and end the process. This will void the application and the Client (pledger) will be notified by a message alert. The Client may then re-submit the application.

The Client may also click the "Export" button to export the warrant information.

(4)

After submission, the application of off-exchange pledge registration can be found through "Task Tracking".

Click the "Application No." to view the details of the off-exchange pledge registration.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Off-Exchange...	lubic2300001	Compl...	Off-Exchange Warrant Pledge (Pledgor 60010012 initiated, ...	Off-Exchange...	20230419	20230419

Discharge of Off-Exchange Pledge Registration

After the pledger repays the debt, the pledgee may apply for the discharge (release) of the off-exchange pledge. The pledgee may fully or partially discharge the commodities pledged through the warrant account of the pledger, provided the bonded warrants pledged under a single contract may only be discharged as a whole. In a discharge of off-exchange pledge, the Client may be either the pledger or the pledgee. The process node diagrams for these two roles are as follows:

Client as the pledger (assuming a pledge with bonded warrants):



Client as the pledgee (assuming a pledge with bonded warrants):



Note: No Customs approval is needed in the case of non-bonded warrants.

Client as the Pledgee

Application for Discharging Off-Exchange Pledge Registration

In a discharge of off-exchange pledge, the application is initiated by the Client-pledgee, approved by the depot, and finally confirmed by the pledging Client. If bonded warrant is involved, approval by the Customs is also required. The application also needs to be reviewed/verified by the Client-pledgee after submission.

(1)

Application for discharge of off-exchange pledge registration is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Discharge of Off-Exchange Pledge Registration".

(2)

The warrants involved in the discharge may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task ▶ Discharge of Off-Exchange Pledge

Search Criteria

Product: LSFO *Duty-paid Status: Bonded
 Grade: *Depot: BJC
 *Pledgor ID: 60010012 Warrants of Automatic batch selection:
 Warrant No.: *Off-Exchange Pledge Registration Ticket No.: lubjc2300001

Search Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Off-Exchange...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective
<input checked="" type="checkbox"/> lubjc0012184	lubjc2300001	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	2022082

Page 1 / Total 1 Go to

Available: 1 warrants, 10,000 tonne, Total: 1 warrants Selected: 1 warrants, 10,000 tonne

Information of discharging off-exchange pledge registration

*Pledgor ID: 60010012 *Pledgor Name:
 Note of Releasing the Pledge:

OK

(3)

Complete the "Information of Discharging Off-Exchange Pledge Registration" section. The application can be submitted only when Pledger ID and Pledger Name are matched.

(4)

Following submission, progress on the application can be viewed in "Task Tracking".

Click the "Application No." to view the details of the discharge of off-exchange pledge registration. Click the icon in the Operation column to cancel the application before verification by the Client-pledgee.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Discharge of ...	lubjc2300001	Pending	Discharge of Off-exchange Pledge (Pledgee 60010017 initia...	Discharge of ...	20230419	20230419

Verification of Discharge of Off-Exchange Pledge Registration

After submission, the application for discharge of off-exchange pledge needs to be verified by the Client-pledgee.

(1)

Verification is performed in "To-do". Enter the "To-do" page from the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Discharge of Off-Exchange Pledge Registration", or enter the "Application No." directly).

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge o...	lubic2300001	Discharge of Off-exchange Pledge (Pledgee 60010017 i...	Discharge of ...	20230419	15:33:26	20230419	15:33:26

(3)

Click the "Application No." to enter the "Verify Discharge of Off-Exchange Pledge" page.

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: [lubic2300001](#) Product: LSFO

Duty-paid Status: Bonded Depot: BJC

Customs: Bon Application Date: 20230419

Pledgee ID: 60010017 Pledgee Name: ezj

Pledgor ID: 60010012 Pledgor Name: 3997

Total Weight of Discharge of Off-Exchange Pledge: 10.000 Status: [Submit Pledge Release](#)

Off-Exchange Pledge Registration Ticket No.: [lubic2300001](#)

Note of Releasing the Pledge:

Single Record Mode Union WarrantID Mode Export

Warrant No.	Off-Exchange...	Load-in A...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Expiry date	Validity	Wei
lubic0012184	lubic2300001	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831	20230228	Normal	1

Total: 1 warrants, 10.000 tonne, current: 1 warrants, 10.000 tonne Page 1 / Total 1 1 Go to

[Approve](#) [Reject](#)

The user may take the following actions at the bottom part of the page:

- **Approve:** Verify the application for discharging the off-exchange pledge registration and proceed to the next step of the process.
- **Reject:** Fill in the reason for the rejection and end the process.

The user may also click the "Export" button to export the warrant information.

(4)

Following submission, progress on the application can be viewed in "Task Tracking". Click the "Application No." to view the details of the discharge of off-exchange pledge registration.

Client as the Pledger

The process node diagram for a Client as the pledger is shown below (assuming a pledge with bonded warrant). The application for discharging off-exchange pledge is initiated by the Client-pledgee, approved by the depot and the Customs, and finally confirmed by the pledging Client.

(1)

The pledger confirms the discharge of off-exchange pledge in "To do". First, enter the "To do" page through the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Discharge of Off-Exchange Pledge", or enter the "Application No." directly).

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge o...	lubjc2300001	Discharge of Off-exchange Pledge (Pledgee 60010017 i...	Discharge of ...	20230419	15:33:26	20230420	08:49:16

(3)

Click the "Application No." to enter the "Confirm Off-Exchange Pledge Registration" page.

Information of discharging off-exchange pledge registration

Document No. of Discharge of Off-Exchange Pledge: lubjc2300001
Product: LSFO
Duty-paid Status: Bonded
Depot: BJC
Customs: BJHG
Application Date: 20230419
Pledgee ID: 60010017
Pledgee Name: ezj
Pledgor ID: 60010012
Pledgor Name: 3997櫻賴
Total Weight of Discharge of Off-Exchange Pledge: 10.000
Status: Pledge Release Approved by Customs
Off-Exchange Pledge Registration Ticket No.: lubjc2300001
Note of Releasing the Pledge:

Single Record Mode | Union WarrantID Mode | Export

Warrant No.	Off-Exchange...	Load-in Appl...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	Expiry date	Validity	V^
lubjc0012184	lubjc2300001	lu2200000003	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831	20230228	Normal	

Total: 1 warrants, 10.000 tonne, current: 1 warrants, 10.000 tonne

Page 1 / Total 1 | 1 | Go to

Approve Reject

- **Approve:** Confirm the pledgee's discharge of off-exchange pledge and complete the discharge process.
- **Reject:** Fill in the reason for the rejection and end the process. This will void the application and the Client (pledgee) will be notified by a message alert. The Client may then re-submit the application.

The user may also click the "Export" button to export the warrant information.

(4)

Following submission, progress on the application can be viewed in "Task Tracking". Click the "Application No." to view the details of the discharge of off-exchange pledge registration.

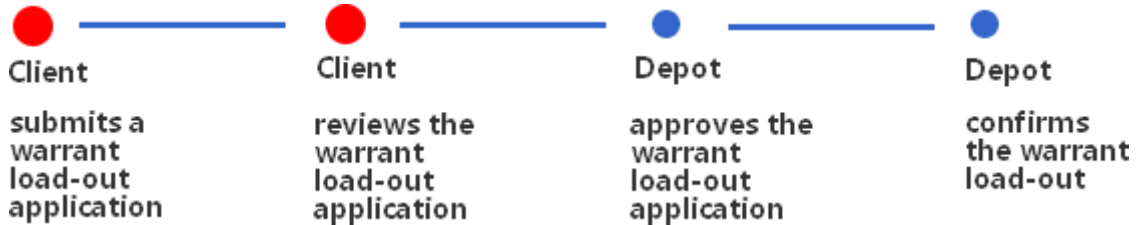
Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
LSFO	Discharge of ...	lubjc2300001	Pending	Discharge of Off-exchange Pledge (Pledgee 60010017 initia...	Discharge of ...	20230419	20230420	

Chapter 11 Warrant Load-out

Standard warrant Clients may take delivery of the commodities with the holding warrants or revoke the warrants which they have a dispute against. This Chapter describes the Clients' operations of warrant load-out and the warrant revocation in the System.

The process node diagrams of warrant load-out and revocation are shown as below, starting from the application initiated by the Client. In the event of warrant load-out, such an application is also required to be reviewed by the Client and then approved by the depot and the Exchange.

Warrant load-out process is as follows:



Product: Medium Sour Crude Oil

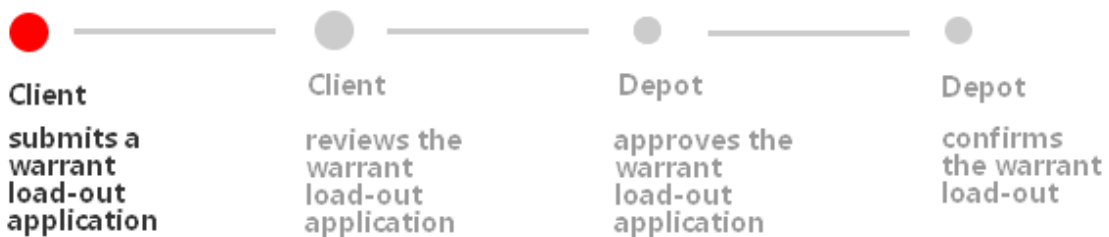
This section describes the specific operations to be taken by a Client at each process node for a load-out with Medium Sour Crude Oil warrants.

Warrant Load-out Application

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

Warrant load-out process node diagram is as shown below. First, the warrant load-out application is submitted by the Client to the depot, and reviewed by the Client, then approved and eventually confirmed by the depot.

Note: If bonded warrants are involved in the load-out, the holder needs to complete import declaration in accordance with the regulations of the Customs.



(1) Load-out is performed through "New Task". From the navigation menu, select "New Task" → "Crude Oil" → "Warrant Load-out".

New Task ▶ Warrant Load-out

- Product: **CrudeOil**
- Duty-paid Status: **Bonded** Duty-paid
- Depot: **SHC** BJ Oil Storage
- Place of Storage: **SHC-portOfStorage1**
- Crude: **All** Crude 2 CHINA Crude 1

Q Search

Warrant Account...	Duty-paid S...	Depot	Crude Name	Last Delivery Peri...	Last Delivery Price	Assign Mode	Available Qty.	Qty. Submitted
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 Customs Declaration:
- Vehicle and Vessel No.:
- Contact:
- Contact Number:
- Physicals Load-out Qty.:
- Note:
- Consignment Method:
- Shipping Destination:

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)

Warrant Account...	Duty-paid S...	Depot	Crude Name	Last Delivery Peri...	Last Delivery Price	Assign Mode	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/>	scN000000006	Bonded	SHC	CHINA Crude 1			99995000	200000

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

- SHC-portOfStorage1 --: / 99995000

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

- 20190704-20190731: / 99995000

Load-out Info.

- Load-out Destination: **Beijing**
- Desitination of Customs Declaration: **Import**
- Vehicle and Vessel No.: **SG23**
- Contact: **WEN**
- Contact Number: **11221122**
- Physicals Load-out Qty.:
- Note:
- Consignment Method: **Issued by Depot**
- Shipping Destination: **SH**

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.

Client 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: Client 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 Client In Task Tracking.

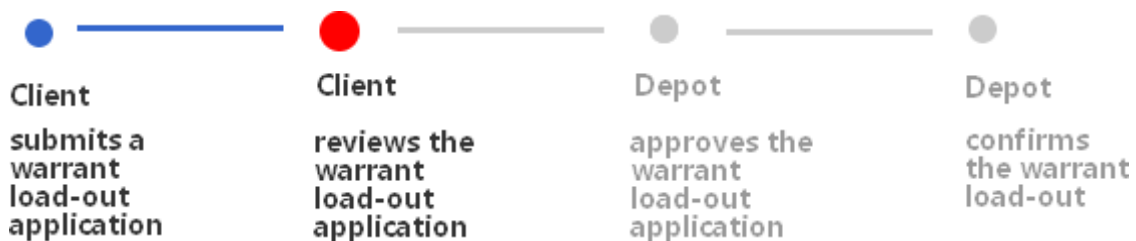
(4) In Task Tracking, you may search and view the task and its status.

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

(5) Rejected load-out application may be viewed in "To do". The Client may click the "Application No." to enter the page for modifying and re-submitting the application. The Client may also view the application in "Task Tracking" and then modify or cancel it.

Warrant Load-out Application Confirmation

The Client is also required to confirm the load-out application after submission.



(1) Confirm the load-out application in the "To-do". Enter the page of "To-do" through the navigation menu.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Warrant Loa...	sc0011900001	Warrant Load-out(initiated by Client 60010012, Quanti...	Application Su...	20190808	10:39:54	20190808	10:39:54

Select the record with the operation type of "Warrant Load-out" and the operation status of "Warrant Load-out Application Submitted", and click the "Application No." to enter the page of confirm warrant load-out.

(2)

Perform relevant steps at the lower part of the page:

- **Approve:** confirm the warrant load-out application and proceed to the node for the depot to approve the application.
- **Reject:** Fill in the reason for rejection. After the rejection, the Client may either modify or cancel the application.

(3) After being submitted and confirmed, the warrant load-out application may be checked in the "Task Tracking".



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
CrudeOil	Warrant Load...	sc0011900001	Pending	Warrant Load-out(initiated by Client 60010012, Quantity 20...	Confirmed b...	20190808	20190808	

Select the operation type of "Warrant Load-out", and click the "Application No." to view the details on the approval.

(4) If the warrant load-out application is rejected, the Client may view the application in the "To-do", and re-submit it after modification.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Warrant Loa...	sc0011900002	Warrant Load-out(initiated by Client 60010012, Quanti...	Rejected by Th...	20190808	10:42:09	20190808	10:42:27

The Client may also view the application in the "Task Tracking", and then modify or cancel the application.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	CrudeOil	Warrant Load...	sc0011900002	Pending	Warrant Load-out(initiated by Client 60010012, Quantity 20...	Rejected by ...	20190808	20190808

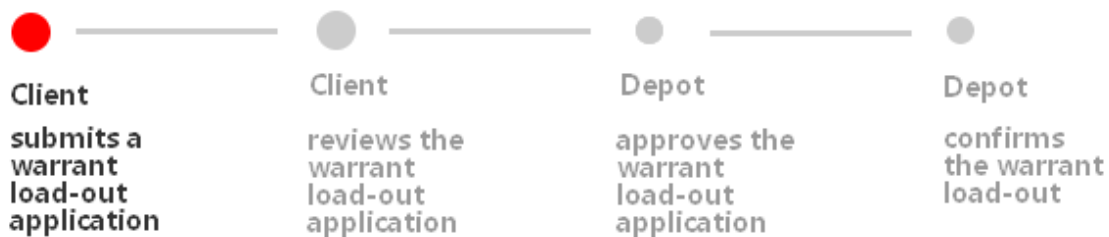
Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for a load-out with TSR 20, LSFO, and Copper warrants.

Warrant Load-out Application

When taking delivery, a warrant owner should submit a warrant load-out application to the Designated Delivery Storage Facility ("depot"). This application is submitted through "New Task". For any rejected application, the Client may find and modify it in "To-do". The updated application needs to be confirmed, which is also performed in "To do".

Note: If bonded warrants are involved in the load-out, the holder needs to complete import declaration in accordance with the regulations of the Customs.



(1)

Load-out with LSFO warrants is performed through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Warrant Load-out".

(2)

The warrants for the load-out may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task ▸ Warrant Load-out

Search Criteria

Product: Duty-paid Status: Bonded

Source of Cargo: Imported Country: Domestic

Depot: BJC Place of Storage: BJC1

Grade: Warrant No.:

Warrants of Automatic batch selection:

Search Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in A...	Duty-paid ...	Grade	Depot	Place of St...	Source of ...	Country	Effective ...	Er
<input type="checkbox"/> lubjc0012188	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	
<input type="checkbox"/> lubjc0012189	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	
<input type="checkbox"/> lubjc0012190	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	
<input type="checkbox"/> lubjc0012191	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	
<input type="checkbox"/> lubjc0012192	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	
<input type="checkbox"/> lubjc0012193	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	
<input type="checkbox"/> lubjc0012194	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	

Page 1 / Total 1010 Go to

Available: 100 warrants, 1000.000 tonne, Total: 100994 warrants

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

Selected Warrants S/U E

Load-out Info.

Load-out Destination:

Desitination of Customs Declaration:

Customs Declaration Agent:

Vehicle and Vessel No.:

Contact:

Contact Number:

Note:

Consignment Method:

OK

(3)

Complete "Load-out Info.": After a consignment (take-delivery) method is selected, fill in the corresponding information. For example, if the consignment method is "Issued by Depot", "Shipping Destination" is required.

(4)

Following submission, progress on the load-out application can be viewed in "Task Tracking".

Click the "Application No." to view the details about the warrant load-out. Click the icons in the Operation column to modify or cancel the application before it is confirmed by the Client or after it is rejected by the Client.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Warrant Loa...	lubjc2300001	Pending	Warrant Load-out(initiated by Client 60010012, weight 10.0...	Application S...	20230420	20230420

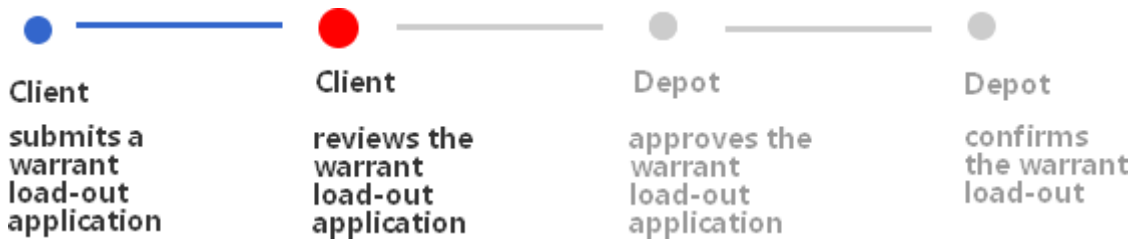
(5)

A rejected load-out application may be viewed in "To do". The Client may click the "Application No." to enter the page for modifying the application.

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge o...	lubjc2300001	Discharge of Off-exchange Pledge (Pledgee 60010017 i...	Discharge of ...	20230419	15:33:26	20230420	08:49:16

Warrant Load-out Application Confirmation

After submitting a warrant load-out application, the Client needs to confirm it.



(1)

Confirmation is performed in "To-do". Enter the "To-do" page from the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Warrant Load-out", or enter the "Application No." directly).

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Warrant Loa...	lubjc2300001	Warrant Load-out(initiated by Client 60010012, weight ...	Application Su...	20230420	14:26:19	20230420	15:07:07

(3)

Click the "Application No." to enter the "Confirm Warrant Load-out" page.

To do > Confirm warrant load-out

Warrant Load-out Info.

Document No. for Load-out: lubjc2300001

Product: LSFO
Client ID: 60010012
Application Date: 20230420
Warrant Count: 1
Source of Cargo: Imported
Depot Name: 北京油輪
Load-out Destination: China

Duty-paid Status: Bonded
Client Name: 3997 模稜
Status: Application Submitted
Weight: 10.000
Country: Domestic
Name of Place of Storage: BJC1
Desitination of Customs: Import
Declaration:
Vehicle and Vessel No.: fdfas
Consignment Measurement:
Contact: dfas
Consigner:

Customs Declaration Agent: dfad asf
Consignment Method: Issued by Depot
Shipping Address: cdsfdsgfds
Contact Number: 213434324
ID No.:
Note:

Single Record Mode | Union WarrantID Mode | Export

Warrant No.	Load-in A...	Duty-paid ...	Grade	Depot	Place of St...	Source of ...	Country	Effective ...	End Date ...	Expiry date	Validity	Weight
lubjc0012187	lu2200000...	Bonded	LU 5%	BJC	BJC1	Imported	Domestic	20220824	20220831	20230228	Normal	10.0

Total: 1 warrants, 10.000 tonne, current: 1 warrants, 10.000 tonne,
Qty. of Futures with Bonded Delivery Settlement Statement:0.000tonne

Page 1 / Total 1 | Go to

Approve Reject

The Client may take the following actions at the bottom part of the page:

- **Approve:** Confirm the warrant load-out application and proceed to the next step (depot review and approval).
- **Reject:** Fill in the reason for the rejection. The Client may modify or cancel a rejected application.

The Client may click "Export" to export the warrant information.

(4)

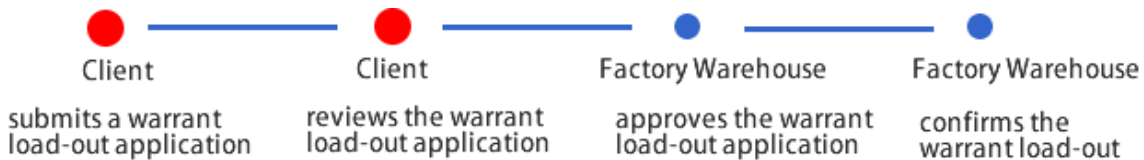
The Client may view the approved warrant load-out application in "Task Tracking" and click the "Application No." to view the approval details.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
LSFO	Warrant Loa...		lujc2300001	Pending	Warrant Load-out(initiated by Client 60010012, weight 10.0...	Confirmed b...	20230420	20230420

Chapter 12 Factory Warehouse Warrant Load-Out

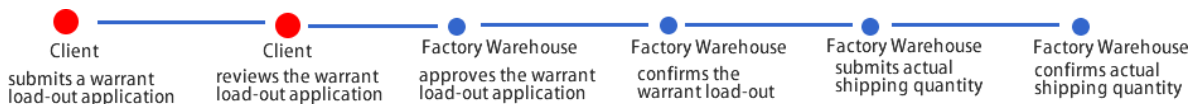
A load-out with factory (warehouse) warrants may be carried out through negotiated withdrawal or non-negotiated withdrawal (POA for withdrawal). Only LSFO is supported by this function at this time.

The process for negotiated withdrawal is identical to that for regular warrant load-out; please refer to that for details. The process node diagram negotiated withdrawal is given below:



For non-negotiated withdrawal, two more steps, submission and confirmation of actual shipping quantity, are added after factory warehouse confirmation. Factory warehouse warrants are cancelled upon completion of the load-out process.

The process for non-negotiated withdrawal is as follows:



Product: Medium Sour Crude Oil, TSR 20, Copper

Load-out with factory warehouse warrants is not yet available for Medium Sour Crude Oil, TSR 20, and Copper.

Product: LSFO

This section uses the process for non-negotiated withdrawal to illustrate the specific operations to be taken by a Client at each process node for a load-out with LSFO factory warehouse warrants.

Submit an Application for Factory Warrant Load-out

To take delivery, a warrant owner should submit a warrant load-out application to the Designated Delivery Storage Facility. This can be done in "New Task".

Note: If bonded warrants are involved in the load-out, the holder needs to complete import declaration in accordance with the regulations of the Customs.

(1)

Application for load-out with factory warrants is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Warrant Load-out (Factory Warehouse)".

(2)

The factory warrants involved in the load-out may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

The screenshot shows the 'Warrant Load-out (Factory Warehouse)' application. The 'Search Criteria' section includes fields for Product (LSFO), Source of Cargo, Depot, Grade, Warrants of Automatic batch selection, Duty-paid Status (Bonded), Country, Consignment Method, and Warrant No. Below this is a tabbed interface with 'Single Record Mode' and 'Union WarrantID Mode' tabs, and an 'Export' button. A table with columns: Warrant No., Available..., Selected Wa..., Load-in Ap..., Duty-paid..., Grade, Depot, Place of St..., Source of..., Country, Effective D..., End is visible. The 'Load-out Info.' section contains fields for Load-out Destination, Desitination of Customs Declaration, Customs Declaration Agent, Proposed take-delivery date, Vehicle and Vessel No., Contact, Contact Number, Note, Consignment Method, Ways to nullify a warrant, and Take-delivery location. The 'Take-delivery plan' section has '+ Add' and 'Delete' buttons and a table with columns: Shipping date, Grade, Shipping weight(ton...), Delivery Person, ID No., Transportation, Note. An 'OK' button is at the bottom center.

(3)

Complete "Load-out Info.": After a consignment (take-delivery) method is selected, fill in the corresponding information. For example, if the consignment method is "Issued by Depot", "Shipping Destination" is required.

(4)



A take-delivery plan is required in a non-negotiated withdrawal. In the "Take-delivery Plan" section, Click "Add" to add a blank record with a blue background. Clicking on a field will turn it into an input box for entering the corresponding information. You can also select a take-delivery plan and click the "Delete" button to delete it.

Note: A factory warehouse load-out for which the user is prompted that "This load-out will be treated as a negotiated withdrawal", still follows the process for a non-negotiated withdrawal (POA for withdrawal).

Task Tracking

Following submission, progress on the application for factory warehouse warrant load-out can be viewed in "Task Tracking".

Click the "Application No." to view the details about the factory warrant load-out. Click the icons in the Operation column to modify or cancel the application before the load-out is confirmed by the Client.



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	LSFO	Warrant Load...	lu0022000007	Pending	Warrant Load-out(initiated by Client 60010012, weight 10.0...	Application S...	20200713	20200713

(5)

A rejected factory warrant load-out application may be viewed in "To do". The Client may click the "Application No." to enter the page for modifying the application.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Warrant Loa...	lu0022000007	Warrant Load-out(initiated by Client 60010012, weight ...	Rejected by Th...	20200713	09:55:25	20200713	10:05:40

The Client may also view the application in "Task Tracking" and then modify or cancel it through the corresponding icons in the Operation column.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	LSFO	Warrant Load...	lu0022000007	Pending	Warrant Load-out(initiated by Client 60010012, weight 10.0...	Rejected by ...	20200713	20200713

Confirm an Application for Factory Warrant Load-out

The Client is also required to confirm the factory warrant load-out application after submission. This can be done in "To-do".

(1)

Confirmation is completed in "To-do", accessed from the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Warrant Load-out", or enter the "Application No." directly).

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Warrant Loa...	lu0022000007	Warrant Load-out(initiated by Client 60010012, weight ...	Application Su...	20200713	09:55:25	20200713	09:55:25

(3)

Click the "Application No." to enter the "Confirm warrant load-out (factory warehouse)" page.

To do > Confirm warrant load-out

Warrant Count: 1
 Depot Name: Shanghai Cang
 Load-out Destination: Shanghai

Weight: 10.000
 Name of Place of Storage: Shanghai Cang Baoyang Road
 Desitination of Customs: Import
 Declaration:

Customs Declaration Agent: SH
 Consignment Method: Issued by Depot
 Shipping Address: PD
 Contact Number: 112343441
 ID No.:

Vehicle and Vessel No.:
 Consignment Measurement:
 Contact: WEN
 Consigner:
 Ways to nullify a warrant: Take-delivery
 Proposed take-delivery date: 20200713

Take-delivery location: thd 03
 Note:

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...
lu002000010	lu2000000...	Bonded	DL5%	Shanghai ...	Shanghai ...	Domestic	20200615	20200630	20201231	Normal	10.000	

Total: 1 warrants, 10.000 tonne, current: 1 warrants, 10.000 tonne,
 Qty. of Futures with Bonded Delivery Settlement Statement:0.000tonne

Page 1 / Total 1 1 Go to

Take-delivery plan

Shipping date	Grade	Shipping weight(tonne)	Delivery Person	ID No.	Transportation	Note
20200713	DL5%	10.000	WEN	321187009212345	In Storage	

Approve Reject

The Client may take the following actions at the bottom part of the page:

- **Approve:** Confirm the factory warrant load-out application and proceed to the next step (depot review and approval).
- **Reject:** Fill in the reason for the rejection. The Client may modify or cancel a rejected application.

Task Tracking

The Client may view the confirmed factory warrant load-out application in "Task Tracking" and click the "Application No." to view the details.

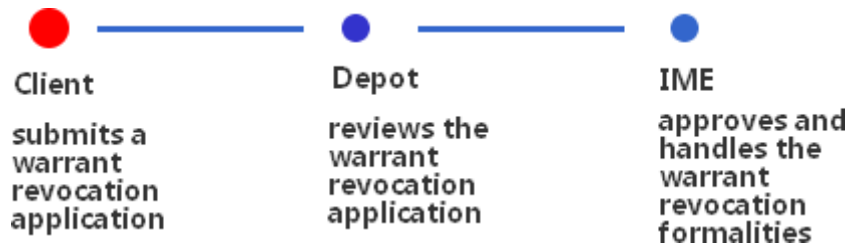
Chapter 13 Warrant Revocation

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.

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

Warrant revocation process: First, the Client applies for warrant revocation in the System; second, the depot and the Exchange approve the application and the warrant will become void.

Warrant revocation process is as follows:



Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for the revocation of Medium Sour Crude Oil warrants.

Submit the Warrant Revocation Application

(1) Conduct the warrant revocation in the "New Task". First, enter the page of the "New Task" through the navigation menu, and select the "Warrant Revocation". "Warrant Revocation".

New Task ▸ Warrant Revocation

Search Criteria

Product: Medium Sour Crude Oil

Duty-paid Status: All Bonded Duty-paid

Depot: SHC BJ Oil Storage

Crude: All Crude 2 CHINA Crude 1

Q Search

Warrant Account ID	Duty-paid Status	Depot	Crude	Last Delivery Price	Last Delivery Period	Available Qty.	Qty. Submitted
<input type="checkbox"/> scN000000006	Bonded	SHC	CHINA Crude 1			99997000	<input type="text" value="0"/>

Note

Define the search criteria. The Client may inquire about the information on the existing warrant account as per the depot or crude.

(2)

Warrant Account ID	Duty-paid Status	Depot	Crude	Last Delivery Price	Last Delivery Period	Available Qty.	Qty. Submitted
<input checked="" type="checkbox"/> scN000000006	Bonded	SHC	CHINA Crude 1			99997000	<input type="text" value="1000"/>

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

- SHC-portOfStorage1 --: / 99997000


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

- 20190704-20190731 : / 99997000

Note

The Client may select the commodities under the warrant account and submit the warrant revocation application. The Client shall fill in the quantity for warrant revocation, and the warrants will be matched automatically as per the tanks and the end date of storage fees. A user may also fill in relevant information manually.

(3) After being submitted successfully, the warrant revocation application may be checked in the "Task Tracking".

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	CrudeOil	Warrant Rev...	sc0011900001	Pending	Warrant Revocation(initiated by Client 60010012, Quantity ...	Application S...	20190808	20190808

The Client may click the icon in the operation column to cancel the warrant revocation application, or click the "Application No." to view the progress.

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the revocation of TSR 20, LSFO, or Copper warrants.

Submit a Warrant Revocation Application

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.

If a replacement warrant is needed following warrant revocation, another round of the load-process should be completed at the Exchange.

(1)

Warrant revocation is performed through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Warrant Revocation".

(2)

The warrants to be revoked may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task ▸ Warrant Revocation

Search Criteria

Product: _____ Duty-paid Status: Bonded
 Grade: _____ Depot: BJC
 Warrant No.: _____ Warrants of Automatic batch selection: _____

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in A...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	End Date ...	E
<input type="checkbox"/>	lubjc0012184	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/>	lubjc0012188	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/>	lubjc0012189	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/>	lubjc0012190	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/>	lubjc0012191	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/>	lubjc0012192	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831
<input type="checkbox"/>	lubjc0012193	lu2200000...	Bonded	LU 5%	BJC	BJC1	Domestic	20220824	20220831

Page 1 / Total 1020 Go to

Available: 100 warrants, 1000.000 tonne, Total: 101994 warrants Selected: 0 warrants, 0.000 tonne

Note

OK

(3)

Click "OK" to submit the warrant revocation application.

(4)

Following submission, progress on the application can be viewed in "Task Tracking".

Click the "Application No." to view the details of the warrant revocation application. Click the icon in the Operation column to cancel the application before review by the depot.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	Warrant Rev...	lubjc2300001	Pending	Warrant Revocation(initiated by Client 60010012, weight 10...	Application S...	20230420	20230420

Chapter 14 Overseas Delivery-Taking by Agreement Application

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.

Product: Medium Sour Crude Oil, TSR 20, Copper

Overseas delivery-taking by agreement is not yet available for Medium Sour Crude Oil, TSR 20, and Copper.

Product: LSFO

This section describes the specific operations to be taken by a Client at each process node for the overseas delivery-taking by agreement of LSFO.

Client as the Delivery-taker

In an overseas delivery-taking by agreement, the delivery-taker and the trading factory warehouse may settle delivery payments through the Exchange.

If both the delivery-taker and the factory warehouse have opened an account with an FF Member, the process node diagram for overseas delivery-taking by agreement is as follows:



If both the delivery-taker and the factory have opened an account with an OSBP, confirmation by the Clearing Member is needed in addition because the OSBP is not permitted to clear trades at the Exchange. In this case, the process is as follows:



(1)

A Client who is the delivery-taker should apply for overseas delivery-taking by agreement through "New Task". Select "New Task" → "LSFO" → "(Warrant Revocation) Overseas Delivery-Taking by Agreement Application" to enter the application page.

(2)

The desired warrants may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

New Task > Overseas Delivery-Taking by Agreement Application

Search Criteria

Product: LSF0

* Depot: * Duty-paid Status: Bonded

Grade: Warrants of Automatic batch selection:

Warrant No.:

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode Export

Warrant No.	Available ...	Selected Wa...	Load-in Appli...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...

Information on overseas delivery-taking

* Warrant transfer price: 1245.00 Weight:

* Delivery Taker's Institution: 7005 Total Amount:

* Factory: * Method of taking delivery:

* Proposed take-delivery location: * Proposed take-delivery date: [Look up reference premiums/discounts for overseas take-delivery locations](#)

* Take-delivery person or company: * Contact person:

* ID number: * Contact number:

Notes:

OK

(3)

Complete the "Information on overseas delivery-taking" section, including "Delivery Taker's Institution", "Factory", "Proposed take-delivery location".

Task Tracking

Following submission, progress on the application can be viewed in "Task Tracking".

Click the "Application No." to view the details of the application. Click the icon in the Operation column to cancel the application before it is verified by the factory warehouse.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	LSFO	Overseas Deli...	lu0052000003	Pending	Overseas Delivery-Taking by Agreement(initiated by Client ...	Taker submit...	20201102	20201102

Client as the Trading Factory Warehouse

In an overseas delivery-taking by agreement, the delivery-taker and the trading factory warehouse may settle delivery payments through the Exchange.

If both the delivery-taker and the factory warehouse have opened an account with an FF Member, the process node diagram for overseas delivery-taking by agreement is as follows:



If both the delivery-taker and the factory have opened an account with an OSBP, confirmation by the Clearing Member is needed in addition because the OSBP is not permitted to clear trades at the Exchange. In this case, the process is as follows:



(1)

After the delivery-taker submits an application for overseas delivery-taking by agreement, the Client (i.e., the factory warehouse) needs to verify it. This can be done in "To-do".

Search for the pending task by defining the search criteria accordingly.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Overseas D...	lu0052000003	Overseas Delivery-Taking by Agreement(initiated by Cli...	Application ap...	20201102	13:37:17	20201105	10:18:00

(2)

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

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

Information on overseas delivery-taking

Transaction number for lu0052000003
 overseas delivery-taking: Application Date: 20201102

Product: LSFO Depot Abbr.: SHCK
 Taker ID: 60010017 Taker Name: dgg
 Factory ID: 60010012 Factory Name: 7003客户
 Taker's Member ID: 7005 Taker's Member Abbr.: 7005
 Weight: 10.000 Warrant transfer price: 1245.00
 Total amount: 12459.00 Method of taking delivery: At-vessel delivery
 Proposed take-delivery THD2 Proposed take-delivery 20201102
 location: date:
 Take-delivery person or 7005 Contact person: WEN
 company: ID number: 310197003244432
 ID number: 310197003244432 Contact number: 1243245354
 *Factory's Institution: 7003

Notes:

Single Record Mode Union WarrantID Mode Export

Warrant No.	Load-in Appli...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...	Country	Effective D...	End Date o...	Expiry
lu0050006011	lu2000000020	Bonded	LU 5%	0.00	SHCK	0.90	0.00	SHCK Place	Domestic	20201019	20201119	20210

Available: 1 warrants, 10.000 tonne, Total: 1 warrants

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Approve Reject

After information is verified and the Factory's Institution (Trading Member) is chosen, the following actions may be taken at the bottom of the page:

- **Approve:** Verify the overseas delivery-taking by agreement application and proceed to the next step of the process.
- **Reject:** Fill in the reason for the rejection and end the process.

The user may also click the "Export" button to export the warrant information.

Task Tracking

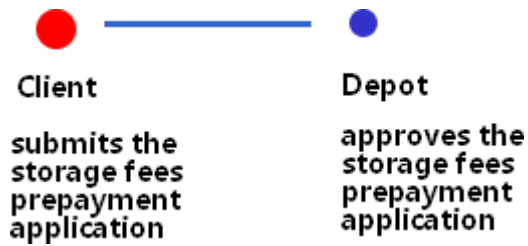
A processed application for overseas delivery-taking by agreement may be found in "To-do". Click the "Application No." to view the details.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
LSFO	Overseas Deli...	lu0052000003	Pending	Overseas Delivery-Taking by Agreement(initiated by Client ...	Factory confi...	20201102	20201105	

Chapter 15 Storage Fees Prepayment

Clients may use the function of storage fees prepayment to extend the end date of storage fees of commodities.

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

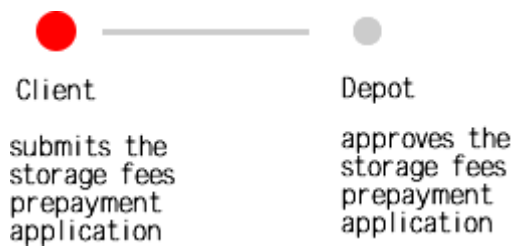


Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for the prepayment of storage fee for Medium Sour Crude Oil.

Storage Fees Prepayment Application

Application for storage fees prepayment is initiated by the Client from the Standard Warrant Management System.



(1)

Application for storage fees prepayment for LSFO is submitted through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "(Storage Fee Prepayment) Storage Fee Prepayment Application".

(2)

Define the search criteria.

New Task > Storage Fee Prepayment Application

Search Criteria

Product: Crude Oil

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

Account Type: All Normal Account Account Used Account Processing Operation

• Depot: BJC1

Crude: All 中油一号

Search More

Warrant Acco...	Account T...	Operation Do...	Operation...	Duty-paid ...	Crude	Depot	Start Date...	End Date ...	Occupatio...	Last Delivery ...	Last Delivery
<input checked="" type="checkbox"/>	scB000000004	Account P...	scbjc2100001	Warrant L...	Bonded	中油一号	BJC1	20150421	20150531		
<input type="checkbox"/>	scB000000005	Account P...	sc2100000001	Collaterali...	Bonded	中油一号	BJC1	20150421	20150531		
<input type="checkbox"/>	scB000000006	Account P...	sc2100000002	Collaterali...	Bonded	中油一号	BJC1	20150421	20150531		
<input type="checkbox"/>	scB000000007	Account P...	sc2100000003	Collaterali...	Bonded	中油一号	BJC1	20150421	20150531		
<input type="checkbox"/>	scB000000008	Account P...	sc2100000004	Collaterali...	Bonded	中油一号	BJC1	20150421	20150531		

Page 1 / Total 2 | Go to

Modify Storage Fee

• End Date of the Prepayment:

OK

(3)

Modify Storage Fee: Select a new "End Date of the Prepayment" . Click the "OK" button to submit the storage fees prepayment application.

(4)

Submitted prepayment application may be viewed in "Task Tracking".

Click the "Application No." to view the details about the storage fees prepayment application. Click the icons in the Operation column to modify or cancel the application before it is reviewed by the depot.

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the prepayment of storage fee for TSR 20, LSFO, or Copper.

Storage Fees Prepayment Application

Application for storage fees prepayment is initiated by the Client from the Standard Warrant Management System.



Client
submits the storage fees prepayment application

Depot
approves the storage fees prepayment application

(1)

Application for storage fees prepayment for LSFO is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "(Storage Fee Prepayment) Storage Fee Prepayment Application".

(2)

The warrants for which storage fees are to be prepaid may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

Search Criteria

Product: LSFO Duty-paid Status: Bonded

Grade: Depot: BJC

Warrant No.: End Date of Previous Storage Fees:

Warrants of Automatic batch selection:

Available Warrants										Selected Warrants	
Warrant No.	Load-in A...	End Date ...	Duty-paid ...	Grade	Depot	Place of St...	Country	Effective ...	E	Warrant No.	End Date ...
<input type="checkbox"/>	lubjc0000001	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		
<input type="checkbox"/>	lubjc0000002	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		
<input type="checkbox"/>	lubjc0000003	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		
<input type="checkbox"/>	lubjc0000004	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		
<input type="checkbox"/>	lubjc0000005	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		
<input type="checkbox"/>	lubjc0000006	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		
<input type="checkbox"/>	lubic0000503	lu2000000...	20211231	Bonded	LU 5%	BJC	BJC1	Domestic	20200910		

Page 1 / Total 1021

Available: 100 warrants, 1000.000 tonne, Total: 102031 warrants Selected: 0 warrants, 0.000 tonne

Modify Storage Fee

End Date of the Prepayment:



(3)

Modify Storage Fee: Select a new "End Date of the Prepayment" . Click the "OK" button to submit the storage fees prepayment application.

(4)

Submitted prepayment application may be viewed in "Task Tracking".

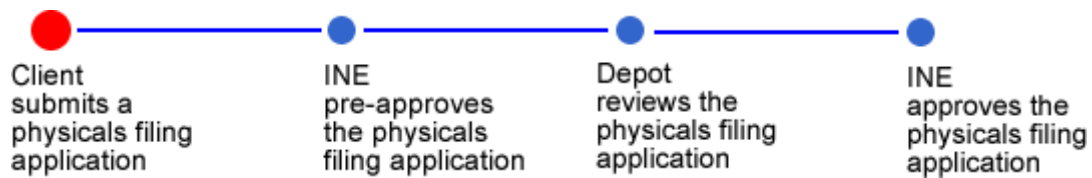
Click the "Application No." to view the details about the storage fees prepayment application. Click the icons in the Operation column to modify or cancel the application before it is reviewed by the depot.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
		Medium Sou...	Prepaid stora...	scbjc2300001	Pending	Prepaid storage fee(initiated by Client 60010012 to Depot b...	Initial Submis...	20230426 20230426

Chapter 16 Physicals Filing

Clients 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:



Clients can submit the Physicals Load-in Cancellation application.

Physicals Filing process is as shown below. Clients 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

This section describes the specific operations to be taken by a Client at each process node for the physicals filing for Medium Sour Crude Oil.

Physicals Filing Application

Clients may initiate the physicals filing application in the Standard Warrant Management System of the Exchange.

(1) Conduct the physicals filing in the "New Task". In the operation type of "Physicals Filing", select the "Physicals Filing Application" to enter the page of physicals filing application.

(2)

New Task ▶ File For Physicals Filing

Application Info.

Product: Medium Sour Crude Oil

*Duty-paid Status: Bonded

*Source of Cargo:

*Crude:

*Origin:

*Country:

*Client ID: 01654427

*Client Name: shh

*Proposed Filing Quantity (barrel):

*Proposed Load-in Date:

*Approximate date to transit to Standard Warrant:

*the Proposed Inspection Agency:

Declaration Note:

Transportation and Place of Storage

*Depot:

*Place of Storage:

*Port of Departure (Country Name):

*Port of Departure (Port Name):

*Transportation:

*Vehicle and Vessel No. of Filing:

Operator

*Name:

*Telephone:

*Mobile:

*Fax:

OK

Fill in all the items of the application in the page where the "Proposed Filing Quantity" is required to be no less than 200,000 barrels and rounded to the integral multiples of the minimum unit. Upon completion, click the "OK" button.

(3) After the submission of the physicals filing application, a user may enter the page of "Task Tracking" to view the application progress.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Physicals Filing	sc0212010001	Pending	Physicals Filing(initiated by Client 01654427, Quantity 2000...	Initial Submis...	20200123	20200123

In "Task Tracking", inquire about the application as per the operation type of "Pending" and then click the "Application No." to view the details. A user may also modify or cancel the physicals filing application prior to the pre-approves by the INE by clicking the icon in the operation column.

(4)

Application rejected by the INE during pre-approval may be modified by the Client in "To-do". The modified application should be re-submitted to INE for pre-approval.

Print the Physicals Filing Approval Notice

After the Client's physicals filing application is pre-approved by the Exchange, the Client may print out the approval notice through "Task Tracking" or "Physicals Filing Application Query".

(1)

In "Task Tracking" or "Physicals Filing Application Query", define the search criteria to find the pending task.

(2)

Click the "Application No." to enter the "Physicals Filing Info." page:

(3)

Click the "Print" button at the bottom of the page to enter the "Load-in Application/Approval Notice (Physicals Filing Approval)" preview page:

[Page1/2](#) [FirstPage](#) [PrevPage](#) [NextPage](#) [LastPage](#) [SaveAsExcel](#) [SaveAsPDF](#) [Print](#)

Shanghai International Energy Exchange
The physical filing approval for Medium & Sour Crude Oil
(Commercial Inspection proxy)

Delivery Depot: E北京油舱全称		Filing No. for Non-warrant: scbjc1710036	
Duty-paid Status	Bonded	Source of Cargo	Imported
Client ID	60010010	Client Name	XXXX
Crude	e1' +	Origin	XXXX
Proposed Filing Quantity (barrel)	200000	Proposed Load-in Date	20170829
Transportation	Waterway	Country	Imported
Port of Departure	Singapore-Singapore	Vehicle And Vessel No. of Declaration	
Proposed Tank No. for Physicals	bg123	Approximate date to transit Standard Warrant	20170829
the Proposed Inspection Agency	E:		
Name	Tom	Telephone	1314455776
Mobile	1314455776	Fax	862120177722
Note			

Note:

[Page1/2](#) [FirstPage](#) [PrevPage](#) [NextPage](#) [LastPage](#) [SaveAsExcel](#) [SaveAsPDF](#) [Print](#)

Click the "Print" button and follow the instructions to finish printing.

Physicals Filing Cancellation Application

(1) In the system navigation menu, select "New Task" → "(Physicals Filing) Physicals Filing Cancellation" to enter the page as follows:

(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								
<h4>Note</h4>									
<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						
<h4>Reason for Cancellation</h4> <p>★ Reason for Cancellation: <input type="text"/></p>									
<h4>Note</h4>									

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".

(3)

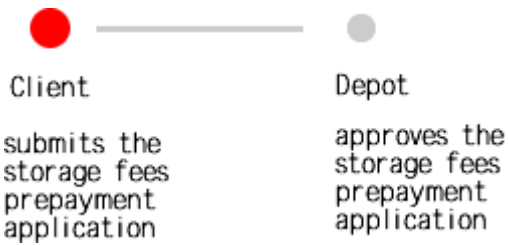
The physicals filing cancellation application submitted can be searched in "Task Tracking". Modify or cancel the physicals filing cancellation application before depot confirms.

Product: TSR 20, LSFO, Copper

Physicals Filing is not yet available for TSR 20, LSFO, and Copper.

Storage Fees Prepayment Application

Clients may initiate the operation of storage fees prepayment in the Standard Warrant Management System of the Exchange.



(1) Conduct the storage fees prepayment application in the "New Task". Select the "Storage Fee Prepayment Application" under the "Prepaid Storage Fees" to enter the application page.

(2)

Search Criteria

Product: Medium Sour Crude Oil

Duty-paid Status: All Bonded Duty-paid

Account Type: All Normal Account Account Used Account Processing Operation

Depot: SHC

Crude: All Crude 2 CHINA Crude 1

More

Search

Warrant Acco...	Account T...	Operation Do...	Operation ...	Duty-paid ...	Crude	Date o...	Occupatio...	Last Delivery ...	Last Delivery ...	Available ...	Qty. Chang...
<input checked="" type="checkbox"/>	scB000000014	Account Pr...	sc0011900003	Warrant Tra...	Bonded	CHINA Cru...	90731			1000	1000
<input checked="" type="checkbox"/>	scB000000020	Account Pr...	sc0011900001	Discharge o...	Bonded	CHINA Cru...	90731			1000	1000
<input type="checkbox"/>	scB000000021	Account Pr...	sc0011900004	Warrant Tra...	Bonded	CHINA Cru...	90731			1000	
<input type="checkbox"/>	scB000000022	Account Pr...	sc0011900001	Warrant Re...	Bonded	CHINA Cru...	90731			1000	
<input type="checkbox"/>	scB000000023	Account Pr...	sc0011900001	Warrant Lo...	Bonded	CHINA Cru...	90731			200000	
<input type="checkbox"/>	scB000000024	Account Pr...	sc0011900002	Warrant Lo...	Bonded	CHINA Cru...	90731			200000	

Page 1 / Total 1 1 Go to

Modify Storage Fee

* End Date of the Prepayment:

OK

Define the search criteria and search the existing warrants as per depot, and click the "Search" button.

(3)

Warrant Acco...	Account T...	Operation Do...	Operation ...	Duty-p...
<input type="checkbox"/>	scB000000018	Account Pr...	scbjc1700005	Warrant Tra...
<input type="checkbox"/>	scB000000023	Account Pr...	scbic1700001	Release Off...
<input type="checkbox"/>	scB000000034	Acco		
<input type="checkbox"/>	scB000000041	Acco		
<input type="checkbox"/>	scB000000043	Acco		
<input type="checkbox"/>	scB000000046	Acco		

2017 7

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



Modify Storage Fee

Today 2017-07-14

* End Date of the Prepayment:

Tick the warrant for storage fees prepayment, select the new end date of storage fees prepayment as per the original end date of storage fees, and click the "OK" button.

(4)

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	CrudeOil	Prepaid stora...	sc0011900001	Pending	Prepaid storage fee(initiated by Client 60010012 to Depot ...	Initial Submis...	20190808	20190808

In the "Task Tracking", make the query as per the operation type of "Prepaid Storage Fees". Prior to the approval of the depot, Clients may either modify or cancel the application, or click the "Application No." to view the application details. Client may also check relevant information on storage fees prepayment through operation query.

Chapter 17 Exchange for Physicals (EFP)

Clients may add and post an EFP intention, modify or delete the EFP intention that has been added but not posted yet, and cancel any posted EFP intention. In the meantime, Clients may query all their own EFP intentions.

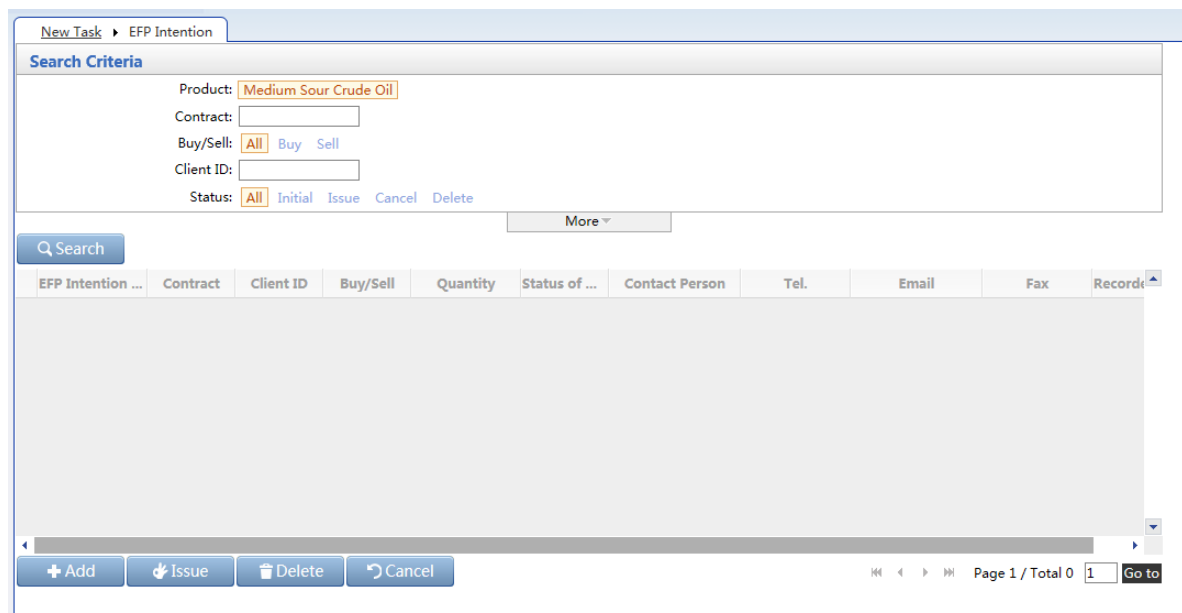
Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for an EFP involving Medium Sour Crude Oil.

EFP Intention

(1) Conduct the operation of EFP intention in "New Task". First, enter the page of "New Task" through the navigation menu, and select the "EFP Intention" in the task list of "EFP".

(2)



The screenshot displays the 'New Task' EFP Intention application interface. It features a search criteria section with the following fields: Product (Medium Sour Crude Oil), Contract (empty), Buy/Sell (All, Buy, Sell), Client ID (empty), and Status (All, Initial, Issue, Cancel, Delete). Below the search criteria is a search button and a table with columns: EFP Intention, Contract, Client ID, Buy/Sell, Quantity, Status of..., Contact Person, Tel., Email, Fax, and Record. The table is currently empty. At the bottom of the page, there are buttons for '+ Add', 'Issue', 'Delete', and 'Cancel', along with a pagination indicator 'Page 1 / Total 0' and a 'Go to' field.

All existing EFP intentions will be displayed. Perform relevant operations at the lower part of the page as follows:

- **Add:** Click the "Add" button to enter the page of "EFP Intention Application", then add an EFP intention in the new 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.

Fill in information and click the "Submit" button to submit the EFP intention, then return the page of "EFP Intention". With an Initial Status, such a submitted EFP intention can be modified, deleted or officially posted.

The screenshot shows a web application interface for "EFP Intention Application". The breadcrumb trail is "New Task > EFP Intention > EFP Intention Application". The form contains the following fields and controls:

- Product: Medium Sour Crude Oil
- Contract: sc1508, sc1509
- Buy/Sell: Buy, Sell
- Quantity (barrel) : [input field]
- Contact Person: [input field]
- Tel.: [input field]
- Email: [input field]
- Fax: [input field]
- Note: [input field]
- Retain Information:
- Buttons: Submit, Continue, Back

- **Modify:** as for the EFP intention with an Initial Status, click its EFP Intention No. to enter the page in which you may modify the EFP intention.
- **Delete:** tick the EFP intention with the Initial Status, click the "Delete" button, and then click the "OK" when you are prompted to confirm the delete.
- **Post:** tick the EFP intention with the Initial Status, click the "Post" button, and then click the "OK" when you are prompted to confirm the post. The status of such an EFP intention will become Posted.
- **Cancel:** tick the EFP intention with the Posted Status, and click the "Cancel" button to cancel a posted EFP intention.

Product: TSR 20, LSFO, Copper

This section uses TSR 20 to illustrate the specific operations to be taken by a Client at each process node for an EFP involving TSR 20, LSFO, or Copper.

EFP Intention

(1) Conduct the operation of EFP intention in "New Task". First, enter the page of "New Task" through the navigation menu, and select the "EFP Intention" in the task list of "EFP".

(2)

New Task > EFP Intention

Search Criteria

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

<input type="checkbox"/>	EFP Intention ...	Contract	Client ID	Buy/Sell	Weight	Status of ...	Contact Person	Tel.	Email	Fax	Recorded
<input type="checkbox"/>	nr2304000003	nr2208	60010012	Buy	100	Initial	1	1			2023041
<input type="checkbox"/>	nr2304000002	nr2208	60010012	Buy	100	Initial	1	1			2023041
<input type="checkbox"/>	nr2304000001	nr2208	60010012	Buy	100	Initial	1	1			2023041

Page 1 / Total 1

All existing EFP intentions will be displayed. Perform relevant operations at the lower part of the page as follows:

- **Add:** Click the "Add" button to enter the page of "EFP Intention Application", then add an EFP intention in the new page :

Fill in information and click the "Submit" button to submit the EFP intention, then return the page of "EFP Intention". Fill in information and click the "Continue" button to submit the EFP intention, then stay on this page to continue submitting.

With an Initial Status, such a submitted EFP intention can be modified, deleted or officially posted.

New Task > EFP Intention > EFP Intention Application

EFP Intention Application

Product: TSR 20
 Contract: nr1511
 Buy/Sell: Sell
 Weight (tonne) :
 Contact Person:
 Tel.:
 Email:
 Fax:
 Note:
 Retain Information:

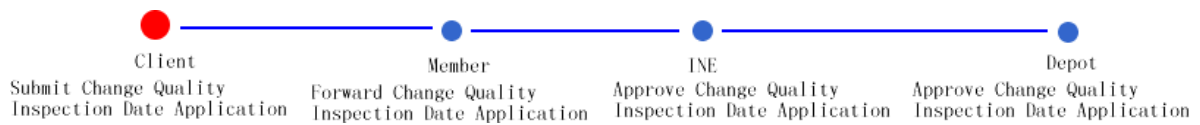
- **Modify:** as for the EFP intention with an Initial Status, click its EFP Intention No. to enter the page in which you may modify the EFP intention .
- **Delete:** tick the EFP intention with the Initial Status, click the "Delete" button, and then click the "OK" when you are prompted to confirm the delete.
- **Post:** tick the EFP intention with the Initial Status, click the "Post" button, and then click the "OK" when you are prompted to confirm the post. The status of such an EFP intention will become Posted.
- **Cancel:** tick the EFP intention with the Posted Status, and click the "Cancel" button to cancel a posted EFP intention.

Chapter 18 Change Quality Inspection Date

Application for changing quality inspection date is to be submitted by a Client, then forwarded by the carrying Member to the Exchange, and lastly reviewed and approved by the Exchange and the depot.

Note: A Client who has opened an account through an intermediary must initiate the application process itself.

The process for changing the quality inspection date is shown below:



Product: Medium Sour Crude Oil, LSFO, Copper

The "Change Quality Inspection Date" function is not yet available for Medium Sour Crude Oil, LSFO, and Copper.

Product: TSR 20

This section describes the specific operations to be taken by a Client at each process node for changing the quality inspection date for TSR 20.

Submit a Change Quality Inspection Date Application

Application for changing quality inspection date is initiated by the Client from the Standard Warrant Management System.

(1)

The application for changing quality inspection date is submitted through "New Task". From the navigation menu, select "New Task" → "TSR 20" → "Change Quality Inspection Date".

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...	Issue Date	Issuer	Storage Locati...	Scanning Copy ...	Note

Certification Info.

* Certificate No.: [Search](#)

* Certificate Weight:

* Issue Date:

* Issuer:

* Storage Location ID (separated by .):

[Automatically Retrieve](#) / [Manually Select](#)

Note:

Scanning Copy Of

Check Certification:

Automatically Select

Available Warrants

✓	Warrant No.	Old Inspec...	Old Inspec...	Certificate...	Locator C...	Weight

Selected Warrants

✓	Warrant No.	Locator ...	Old Insp...	Old Inspeci...

Page 1 / Total 1

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

Submission Info.

* Member: Attachment:

Note:

(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:

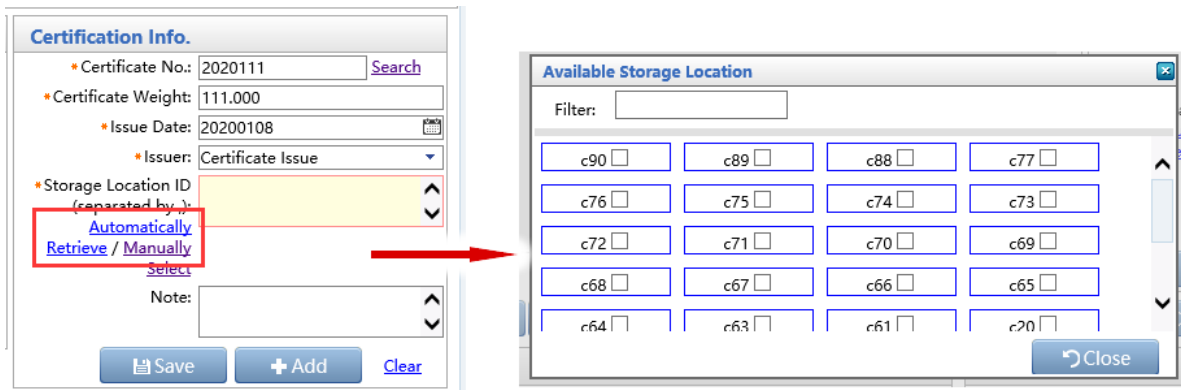
* Grade: * Specification:

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.

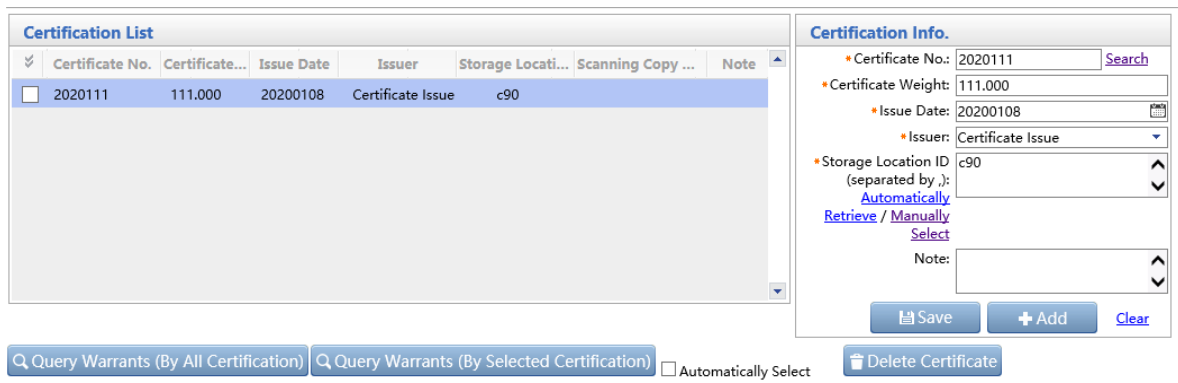
- After entering an existing certificate No., you can click "Search" to automatically obtain the corresponding certificate weight, issue date, and issuer. If the certificate No. is a new one, you need to manually enter the corresponding certificate weight, issue date, and issuer.
- The inventory locator 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.



(4)

After the certificate information is entered, click the "Add" button to add the certificate to the "Certification List".

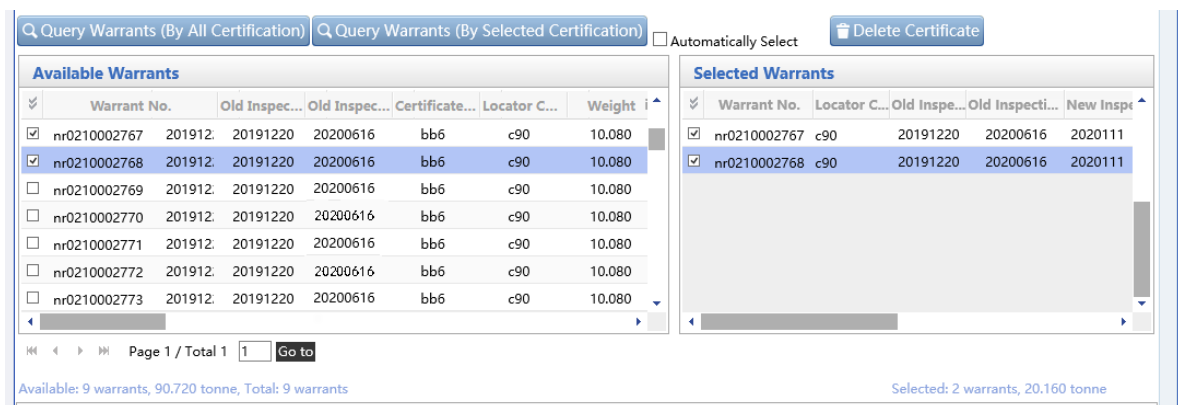
By selecting a certificate from "Certification List", you can modify its information in the "Certification Info." section. Click the "Save" button after you are done to save the update.




(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".



- 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.": Designate the Member for forwarding this application (the Member may be wholly unrelated to the Client) and upload the certificates as attachments.

Notes:

A Client carried by an Overseas Intermediary may only choose its direct intermediary or Member (i.e., the Client has opened multiple accounts) to process the application;

Other trading Client may only choose its carrying Member to process the application;

A non-trading Client may choose any Member.





(7)

Click the "OK" button to submit the application for change of quality inspection date.

(8)

Details on a submitted application may be viewed through "Task Tracking".

Click the "Application No." to view the details about the application. Click the icons in the Operation column to modify or cancel the application before it is forwarded by the Member.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	TSR 20	Change Quali...	nr2000000001	Pending	Change Quality Inspection Date(initiated by Client 0165442...	Applied by Cl...	20200121	20200121

(9)

For a rejected application, the proposed quality inspection date may be modified through "To-do".

Click the "Application No.", then modify and re-submit the application.

Note: For a rejected application, the Member for forwarding the application may not be changed.

Chapter 19 Modify Warrant Weight

You can modify the commodity weight associated with a warrant within the System.

The process starts with a Client submitting a warrant weight modification application to the depot. Once the depot approves the application, the Exchange will review it and, if it is approved, the weight will be updated accordingly.

The process diagram for modifying warrant weight is shown below. A Client needs to submit an application to start the process.



Product: Medium Sour Crude Oil, LSFO

The "Modify Warrant Weight" function is not yet available for Medium Sour Crude Oil and LSFO.

Product: TSR 20, Copper

This section uses TSR 20 to illustrate the specific operations to be taken by a Client at each process node for the weight modification of TSR 20 and Copper warrants.

Submit a Modify Warrant Weight Application

(1)

Application for modifying warrant weight is submitted through "New Task". From the navigation menu, select "New Task" → "TSR 20" → "Modify Warrant Weight".

(2)

The desired warrants may be searched and selected in this page. Please refer to the "Select Warrants" section for details.

The screenshot shows the 'New Task' > 'Modify Warrant Weight' interface. It features a search criteria section with fields for Product (TSR 20), Brand, Grade, Warrant No., Depot (SH warehouse), Manufacture, Specification, and Warrants of Automatic batch selection. Below this is a table of 'Available Warrants' with columns for Warrant No., Load-in Ap..., Duty-paid..., Brand, Manufacture, Grade, Specification, Depot, Place of St..., and an Operation column. The first row is selected. To the right is a 'Selected Warrants' table showing one selected warrant. At the bottom, the 'Application Information' section includes fields for Target Weight (10.080), Target Piece Number, and Target Bulk Number, followed by an 'OK' button.

Warrant No.	Load-in Ap...	Duty-paid ...	Brand	Manufacture	Grade	Specification	Depot	Place of St...	Operation
<input checked="" type="checkbox"/> nr0210001992	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D
<input type="checkbox"/> nr0210001993	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D
<input type="checkbox"/> nr0210001994	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D
<input type="checkbox"/> nr0210001998	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D
<input type="checkbox"/> nr0210001999	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D
<input type="checkbox"/> nr0210002000	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D
<input type="checkbox"/> nr0210002001	nr1900000...	Bonded	Brand TSR...	Productio...	Grade TSR...	Specificati...	SH wareh...	Shanghai ...	D

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/> nr0210001992	Bonded

Application Information

Target Weight: 10.080 Target Piece Number: Target Bulk Number:

(3)

Complete "Application Information": Fill in "Target Piece Number" and "Target Bulk Number". Click "OK" to submit.

(4)

Details on a submitted application may be viewed through "Task Tracking".

Click the "Application No." to view the details about the application. Click the icon in the Operation column to cancel the application before it is reviewed by the depot.

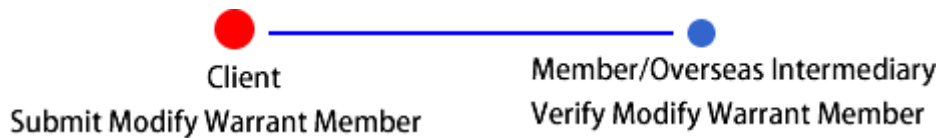
Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Modify Warr...	nr0212000002	Pending	Modify warrant weight(initiated by Client 01654427, weight...	Initial submis...	20200117	20200117

Chapter 20 Modify Warrant Member

You may modify a warrant member within the System.

The process starts with a Client submitting a warrant member modification application to the relevant Member for review.

The process diagram for modifying warrant member is shown below. A Client needs to submit an application to start the process.



Product: Medium Sour Crude Oil, LSFO

The "Modify Warrant Member" function is not yet available for Medium Sour Crude Oil and LSFO.

Product: TSR 20, Copper

This section uses TSR 20 to illustrate the specific operations to be taken by a Client at each process node for the modification of warrant members with respect to TSR 20 and Copper warrants.

Submit a Modify Warrant Member Application

(1)

Application for modifying warrant member is submitted through "New Task". From the navigation menu, select "New Task" → "TSR 20" → "Modify Warrant Member".


(3)

Define the search criteria, fill in a number for "Warrants of Automatic Batch Selection", and click "Automatic Batch Select" to show the search results and automatically select the indicated number of warrants.

The screenshot shows the 'Modify Warrant Member' interface. At the top, there are search criteria fields: Product (TSR 20), Brand (nrBrand01), Grade, Original Member, Warrants of Automatic batch selection, Depot (SHC), Manufacture, Specification, and Warrant No. Below these are buttons for 'Search' and 'Automatic batch select'. The main area contains two tables: 'Available Warrants' and 'Selected Warrants'. The 'Available Warrants' table has columns for Warrant No., Member, Load-in A..., Duty-paid..., Brand, Manufact..., Grade, Specification, and De. It lists several warrants with checkboxes. The 'Selected Warrants' table has columns for Warrant No. and Member, and shows two selected warrants. Below the tables is a navigation bar with 'Page 1 / Total 1' and a 'Go to' button. At the bottom, there is an 'Application Information' section with a 'New Member' dropdown and a 'Note' field, followed by an 'OK' button.

(4)

The screenshot shows the 'Modify Warrant Member' interface after the search. The 'Available Warrants' table is the same as in the previous screenshot. The 'Selected Warrants' table now shows two selected warrants: nr0010003002 and nr0010003004. The 'Application Information' section now has 'New Member' set to 'test012101'. The 'OK' button is still present at the bottom.


- 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.
- Complete "Application Information": Select a new Member.

Note: A Client may select those Members with whom it maintains an account. The new Member ID may not be identical to the original Member ID.

(5)

Details on a submitted application may be viewed through "Task Tracking".

Click the "Application No." to view the details about the application. Click the icon in the Operation column to cancel the application before it is reviewed by the Member.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Modify Warr...	nr2000000001	Pending	Modify Warrant Member(initiated by Client 01654427, weig...	Applied by Cl...	20200123	20200123

Chapter 21 Delivery

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

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

Product: Medium Sour Crude Oil, TSR20, LSFO, Copper

This section uses Medium Sour Crude Oil to illustrate the specific operations to be taken by a Client at each process node for the delivery with respect to Medium Sour Crude Oil, TSR20, LSFO and Copper .

Submit a Notice of Interest (Buyers)

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

(1)

Submit a Notice of Interest is submitted through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "Submit a Notice of Interest". The page shows the contract that is due for delivery in the delivery month for that product. By default, the page displays all buy intents that are already submitted for that contract. The user can select a member to check the buy intentions already submitted by that member for that contract.

New Task ▶ Submit a Notice of Interest

Search Criteria

Contract: sc1410
 Member:

Search

✓	Contract	Member ID	Member Abbr.	First intention	Second intention	Third intention
<input type="checkbox"/>	sc1410	8008	8008	Depot:801 ;		
<input type="checkbox"/>	sc1410	8008	8008	Dutystatus:Bonded and Duty-P...		
<input type="checkbox"/>	sc1410	8009	8009	Dutystatus:Bonded and Duty-P...	Dutystatus:Bonded and Duty-P...	Warehouseregion:

Page 1 / Total 1 1 Go to

+ Add Modify Cancel

(2)

Adding, withdrawing, or modifying submitted or rejected buy intents:

- **Add a notice of interest:** Click the “New” button at the bottom of the page to enter the add buy intent page. Once there, the user can edit the various parameters for the buy intent and then click “Submit.” The new buy intent is added once the System displays the success message.

Notice of Interest

Filling in information

Client ID:

Client Name:

Member:

First intention:

Second intention:

Third intention:

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.

"First intention" is mandatory; "second intention" and "third intention" are optional; Three delivery parameters can be specified for each level of intention. Each delivery parameter comes with multiple options.

Delivery Parameter

First intention:

Dutystatus:

Warehouregion:

Brand: Bonded and Duty-Paid

Second intention: Bonded

Duty-paid

Third intention:

Dutystatus

Bonded and Duty-Paid
 Bonded
 Duty-paid

- **Modify a notice of interest:** Select a notice of interest with the status of "submitted" or "rejected by Exchange," then click "Modify" to modify the selected notice of interest;

Notice of Interest

Filling in information

Client ID:

Client Name:

Member:

First intention:

Depot:

Second intention:

Third intention:

First intention

Depot: 801

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.

- **Cancel a notice of interest:** Select a notice of interest you have previously submitted with the status of “submitted” or “rejected by Exchange,” then click “Cancel” to retract the selected notice of interest;

Chapter 22 Quotation of Warrant Transfer

A Client 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.

A Client 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.

Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by a Client at each process node for the Quotation of Warrant Transfer of Medium Sour Crude Oil warrants.

Submit Quotation of Warrant Transfer

(1)

Submit Quotation of Warrant Transfer is submitted through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "Submit Quotation of Warrant Transfer".

(2)

Define the search criteria. Fill in the required Qty.Submission and click "OK" to submit the Quotation of Warrant Transfer application.After submitting the application,you can view the application through "Operation Query" → "Submit Quotation of Warrant Transfer".

Note : Submit the Quotation of Warrant Transfer application does not modify the warrant status. The submitted Quotation of Warrant Transfer application cannot be submitted repeatedly.

The screenshot shows a web application interface for submitting a quotation. At the top, there is a breadcrumb trail: "New Task" > "Submit Quotation of Warrant Transfer". Below this is a "Search Criteria" section with the following fields:

- Product: Medium Sour Crude Oil
- Duty-paid Status: Bonded (selected), Duty-paid
- Depot: SHRZ, ZHCZD, SYDX, ZYZJ, BJC (selected)
- Crude: All, ZY1

A "Search" button is located below the search criteria. Below the search button is a table with the following columns: Warrant Account ID, Duty-paid, Depot, Premium, Crude, Premium/D..., Premium/..., Assign Mode, Last Deliver..., Last Deliver..., Available Q..., Qty. Submi... The table contains one row of data:

Warrant Account ID	Duty-paid	Depot	Premium	Crude	Premium/D...	Premium/...	Assign Mode	Last Deliver...	Last Deliver...	Available Q...	Qty. Submi...
scN000000002	Bonded	BJC	0.10	ZY1	0.01	0.00				200000	0

At the bottom of the table area, there is a yellow "OK" button.

Withdraw Quotation of Warrant Transfer

(1)

Withdraw Quotation of Warrant Transfer is submitted through "New Task". From the navigation menu, select "New Task" → "Medium Sour Crude Oil" → "Withdraw Quotation of Warrant Transfer".

(2)

Define the search criteria. Select the required warrants and click "OK" to withdraw Quotation of Warrant Transfer .After withdrawing, you can view it through "Operation Query" → "Withdraw Quotation of Warrant Transfer".

New Task ▸ Withdraw Quotation of Warrant Transfer

Search Criteria

• Product:

• Duty-paid Status: Duty-paid

• Depot:

Crude:

Series No.	Warrant Accou...	Duty-...	Depot	Premium...	Crude	Premium...	Premium...	Start Dat...	End Date...	Assign M...	Last Deliv...	Last Deliv...	Available...
<input type="checkbox"/>	41	scN000000002	Bond...	BJC	0.10	ZY1	0.01	0.00	20211013	20211031			5000

Product: TSR 20, LSFO, Copper

This section illustrates the specific operations to be taken by a Client at each process node for the Quotation of Warrant Transfer of TSR 20, LSFO, or Copper warrants.

Submit Quotation of Warrant Transfer

(1)

This section uses LSFO to illustrate the specific operations. Submit Quotation of Warrant Transfer is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Submit Quotation of Warrant Transfer".

(2)

The desired warrants may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task ▶ Submit Quotation of Warrant Transfer

Search Criteria

Product: LSFO

• Depot: BJC

Brand:

Grade:

Warrants of Automatic batch selection:

• Duty-paid Status: Bonded

Manufacture:

Specification:

Warrant No.:

Q Search Q Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufact...	Grade	Premium/...	Specificati...
<input type="checkbox"/> lubjc0012184	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubjc0012188	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubjc0012189	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubjc0012190	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubjc0012191	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubjc0012192	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubjc0012193	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	

Page 1 / Total 1020 Go to

Available: 100 warrants, 1000.000 tonne, Total: 101994 warrants

Selected Warrants S/U E

Warrant No.	Duty-paid ...

Selected: 0 warrants, 0.000 tonne

OK

(3)

Click "OK" to submit the Quotation of Warrant Transfer application. After submitting the application, you can view the application through "Operation Query" → "Submit Quotation of Warrant Transfer".

Note : Submit the Quotation of Warrant Transfer application does not modify the warrant status. The submitted Quotation of Warrant Transfer application cannot be submitted repeatedly.

Withdraw Quotation of Warrant Transfer

(1)

This section uses TSR 20 to illustrate the specific operations. Withdraw Quotation of Warrant Transfer is submitted through "New Task". From the navigation menu, select "New Task" → "TSR 20" → "Withdraw Quotation of Warrant Transfer".

(2)

The desired warrants may be searched and selected in this page. Please refer to the "Select Warrants" section for details.

New Task ▸ Withdraw Quotation of Warrant Transfer

Search Criteria

Product: TSR 20

* Depot: BJC * Duty-paid Status: Bonded

Brand: Manufacture: Specification: Warrant No.: Warrant No.:

Grade: Warrants of Automatic batch selection: Warrant No.:

Q Search Q Automatic batch select

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"/>	nrbjc0025011	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11	nrbjc0025011	Bonded
<input type="checkbox"/>	nrbjc0025012	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11		
<input type="checkbox"/>	nrbjc0025013	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11		
<input type="checkbox"/>	nrbjc0025014	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11		
<input type="checkbox"/>	nrbjc0025015	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11		
<input type="checkbox"/>	nrbjc0025016	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11		
<input type="checkbox"/>	nrbjc0025017	nr2100000001	Bonded	brand1	0.22	mf	PJ1	0.11		

Page 1 / Total 1 Go to

Available: 10 warrants, 100.800 tonne, Total: 10 warrants

Selected: 1 warrants, 10.080 tonne

OK

(3)

Click "OK" to withdraw Quotation of Warrant Transfer. After withdrawing, you can view it through "Operation Query" → "Withdraw Quotation of Warrant Transfer".

Chapter 23 Warrant Auth

Clients grant warrant trading authorization. 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".

Once a warrant is authorized for trading, it cannot be applied for margin deposit, transfer, delivery or otherwise.

Product: Medium Sour Crude Oil

Warrant Auth is not yet available for Medium Sour Crude Oil.

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the Warrant Auth of TSR 20, LSFO, or Copper warrants.

Submit Warrant Auth

(1)

This section uses LSFO to illustrate the specific operations. Warrant trading authorization is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Submit Warrant Auth" to enter the Submit Warrant Auth page.

(2)

The desired warrants may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

New Task ▶ Submit Warrant Auth

Search Criteria

Product: LSFO

• Depot: BJC

Brand:

Grade:

Warrants of Automatic batch selection:

• Duty-paid Status: Bonded

Manufacture:

Specification:

Warrant No.:

Search Automatic batch select

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Brand	Premium/...	Manufact...	Grade	Premium/...	Specificati...
<input type="checkbox"/> lubic0012184	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubic0012188	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubic0012189	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubic0012190	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubic0012191	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubic0012192	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	
<input type="checkbox"/> lubic0012193	lu2200000003	Bonded	PP_LSFO	0.00		LU 5%	0.00	

Page 1 / Total 1020 Go to

Available: 100 warrants, 1000.000 tonne, Total: 101994 warrants

OK

Selected Warrants S/U E

(3)

Click "OK" 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.

Chapter 24 OTC Online Pledge

This Chapter describes the operations of OTC online pledge and Discharge of OTC online pledge by Clients.

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).

The process for OTC online pledge is shown below:



Product: Medium Sour Crude Oil

OTC Online Pledge is not yet available for Medium Sour Crude Oil.

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the OTC Online Pledge of TSR 20, LSFO, or Copper warrants.

Submit Application for OTC Online Pledge

(1)

OTC Online Pledge is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "OTC online pledge".

(2)

The warrants for the load-out may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

New Task > OTC online pledge

Search Criteria

Product: LSFO

* Depot: * Duty-paid Status:

Grade: Warrants of Automatic batch selection:

Warrant No.:

Single Record Mode Union WarrantID Mode

Available Warrants

Warrant No.	Load-in Appl...	Duty-paid ...	Grade	Premium/...	Depot	Premium/...	Premium/...	Place of St...
<input checked="" type="checkbox"/>	lu8060000001	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00 806STGP...
<input type="checkbox"/>	lu8060000002	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00 806STGP...
<input type="checkbox"/>	lu8060000003	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00 806STGP...
<input type="checkbox"/>	lu8060000004	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00 806STGP...
<input type="checkbox"/>	lu8060000005	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00 806STGP...
<input type="checkbox"/>	lu8060000006	lu2300000370	Bonded	lu_NO.1	0.01	806	-0.05	0.00 806STGP...

Page 1 / Total 1

Available: 6 warrants, 60,000 tonne, Total: 6 warrants

Selected Warrants [S/U](#) [E](#)

Warrant No.	Duty-paid ...
<input checked="" type="checkbox"/>	lu8060000001 Bonded

Selected: 1 warrants, 10,000 tonne

Information of OTC online pledge

* Pledge code: * Pledge name:

Note:

(3)

Complete the "Information of OTC online pledge" section. The application can be submitted only when Pledgee code and Pledgee Name are matched.

Click the "OK" button to submit the application.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task. Click the "Application No." to view the details of the task.

Click the icon in the Operation column to cancel the application before Depot reviews the application for OTC online pledge.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
	LSFO	OTC online pl...	lu2300000371	Pending	OTC online pledge (initiated by Pledger 60010098, Weight 1...	Submit appli...	20230814	20230814

Discharge OTC Online Pledge

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.

The process for Discharge OTC warrant pledge is shown below:



Product: Medium Sour Crude Oil

Discharge OTC Online Pledge is not yet available for Medium Sour Crude Oil.

Product: TSR 20, LSFO, Copper

This section uses LSFO to illustrate the specific operations to be taken by a Client at each process node for the Discharge OTC online pledge of TSR 20, LSFO, or Copper warrants.

Submit Application for Discharge of OTC Online Pledge (Pledgee)

(1)

Discharge OTC Online Pledge is submitted through "New Task". From the navigation menu, select "New Task" → "LSFO" → "Discharge OTC Online Pledge".

(2)

The warrants for the load-out may be searched and selected in either the "Single Record Mode" tab or the "Union WarrantID Mode" tab. Please refer to the "Select Warrants" section for details.

Note: Warrants of TSR 20 and copper can be searched and selected on only one page (i.e., the "Single Record Mode" tab).

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 the "OK" button to submit the application.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task. Click the "Application No." to view the details of the task.

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...	lu2300000381	Pending	Discharge OTC online pledge (initiated by Pledgee 6001009...	Submit appli...	20230815	20230815

Review Application for Discharge of OTC Online Pledge (Pledgee)

The Client is also required to review the application for discharge of OTC online pledge.

(1)

The client(pledgee) reviews the application for discharge of OTC online pledge in "To do". First, enter the "To do" page through the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Discharge OTC online pledge", or enter the "Application No." directly).

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
LSFO	Discharge O...	lu2300000381	Discharge OTC online pledge (initiated by Pledgee 6001...	Submit applic...	20230815	09:15:18	20230815	09:15:18

(3)

Click the "Application No." to enter the "Review application for discharge of OTC online pledge" page.

To do ▶ Review application for discharge of OTC online pledge

Information on transaction order of application for discharge of warrant pledge

Application Business: lu2300000381 Product: LSFO
Code: Declaration Time: 09:15:18
Declaration Date: 20230815 Depot: test803
Duty-paid status: Bonded Pledgee name: 1950
Pledgee code: 60010098 Client Name: xog0535
Client code: 88007001 Status: Submit application
Declared Weight: 10.000
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	lu1		20230909	20240131	10.000	Nor

Current:1-1,Total:1 Page 1 / Total 1 | 1 | Go to

There are two kinds of confirmation results:

- **Pass:** After a Client clicks "Approve", the process has proceed to the next step;
- **Reject:** After a Client clicks "Reject" and fill in the reason for the rejection, this process has finished.

Click the "export warrant details" button to export the warrant information.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task. Click the "Application No." to view the details of the task.

Confirm Application for Discharge of OTC Online Pledge(Pledger)

Where a client is a pledger of an OTC online pledge, and the pledgee submits an application for discharging the pledge, the client is required to confirm the discharge after the depot and customs review the application.

(1)

The client(pledger) confirms the application for discharge of OTC online pledge in "To do". First, enter the "To do" page through the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "LSFO" and the operation type as "Discharge OTC online pledge", or enter the "Application No." directly).

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

(3)

Click the "Application No." to enter the "Confirm application for discharge of OTC online pledge" page.

[To Do](#) > Confirm application for discharge of OTC online pledge

Transaction order details of OTC online pledge discharge

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...
lu803000003	Release fr...	Bonded	803	803STGP...	Domestic	Imported	lu1		20230909	20240131	10.000	Nor

Current:1-1,Total:1
Page 1 / Total 1 [Go to](#)

✓ Approve
⊘ Reject

There are two kinds of confirmation results:

- **Pass:** After a Client clicks "Approve", the process has proceed to the next step;
- **Reject:** After a Client clicks "Reject" and fill in the reason for the rejection, this process has finished.

Click the "export warrant details" button to export the warrant information.

Task Tracking

In Task Tracking, you may search or view the status and circulation of the task. Click the "Application No." to view the details of the task.

Chapter 25 Warehouse Transfer

This Chapter describes the Warehouse Transfer operation by a Client.

Warehouse transfer of a warrant should be applied for by the move-out warehouse and come into effect upon completion of the entire process consisting of confirmation by the Client, preliminary review by INE, confirmation and review by the move-in warehouse and review by INE.



Product: Medium Sour Crude Oil, LSFO, TSR 20, Copper

This section uses Medium Sour Crude Oil illustrate the specific operations to be taken by a Client at each process node for the Warehouse Transfer of Medium Sour Crude Oil, TSR 20, LSFO, or Copper.

Confirm Warehouse Transfer

The Client needs to confirm the application for warehouse transfer upon submission of the application by the warehouse.

(1)

Confirm Warehouse Transfer is performed in "To-do". Enter the "To-do" page from the navigation menu.

(2)

Search for the pending task by defining the search criteria (set the product as "Medium Sour Crude Oil" and the operation type as "Warehouse transfer", or enter the "Application No." directly).

Product	Operation T...	Application ...	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
CrudeOil	Warehouse ...	sc2023000084	Warehouse transfer (initiated by warehouse bjc, storage...	Move-out war...	20230207	13:48:04	20230207	13:48:04

(3)

Click the "Application No." to enter the "Confirmed by client" page.

To do ▶ Confirmed by client

Transaction information

Transaction No.: sc2022000113 Product: CrudeOil
 Application date: 20221226 Status: Move-out warehouse application
 Client ID: 60010017 Client Name: 0954
 Total warehouse transfer quantity: 199000
 Move-out warehouse: 809 Move-out storage location: 809STGPOS01
 Move-out warehouse remarks:

Warrants eligible for warehouse transfer

Warrant Account ID	Crude	Quantity
scB000000183	oil1	199000

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
scO000000235	oil1	Account Used		1000

Current:1-1,Total:1 Page 1 / Total 1 1 Go to

The Client may take the following actions at the bottom part of the page:

- **Approve:** Confirm the Warehouse transfer application and proceed to the next step.
- **Reject:** Fill in the reason for the rejection. The Client may modify or cancel a rejected application.

Task Tracking

The Client may view the confirmed Warehouse transfer application in "Task Tracking" and click the "Application No." to view the details.

Operation	Product	Operation Ty...	Application No.	Task St...	Task Description	Operation St...	Applicati...	Processin...
CrudeOil	Warehouse tr...	sc2023000084	Pending	Warehouse transfer (initiated by warehouse bjc, storage loc...	Move-out wa...	20230207	20230207	

Chapter 26 Query

Operation Query

Clients may query all kinds of business information in the Operation Query, including the historical data of Load-in, Collateralization For Margin, Warrant Transfer, Warrant Cancellation, Off-Exchange Pledge, Prepaid Storage Fee, Physicals Filing, Change Quality Inspection Date, Modify Warrant Weight, Authorization and Modify Warrant Member, Warrant Trading.

In the navigation menu, select "Operation Query" to find the detailed information.

Operation Query

- Load-in**
 - Load-in Application Query
- Warrant Transfer**
 - Warrant Transfer Query
- Off-Exchange Pledge**
 - Off-Exchange Pledge Registration Query
 - Discharge of Off-Exchange Pledge Query
- Physicals Filing**
 - Physicals Filing Query
 - Physicals Filing Cancellation Query
- Modify Warrant Weight**
 - Modify Warrant Weight Application Query
- Modify Warrant Member**
 - Modify Warrant Member Application Query
- Collateralization For Margin**
 - Margin Deposit Query
 - Margin Withdrawal Query
- Warrant Cancellation**
 - Warrant Load-out Query
 - Warrant Revocation Query
 - Overseas Delivery-Taking by Agreement Query
 - Warehouse transfer application search
 - Delivery settlement statement for old warrants in a load-out (for customs declaration only)
- Prepaid Storage Fee**
 - Prepaid Storage Fee Query
- Change Quality Inspection Date**
 - Change Quality Inspection Date Query
- Authorization**
 - Warrant Authorization Query
- SHFE OTC Platform transaction**
 - Submit Quotation of Warrant Transfer
 - Withdraw Quotation of Warrant Transfer
 - Submit Warrant Auth
 - Transaction query of OTC online pledge
 - Transaction query of OTC online pledge discharge

Warrant Transfer Query

The query operation is similar in the System. See "Query" for details.

Note: In the page of detailed information, a specific process nodes 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 > Warrant Transfer Query > Warrant Transfer Information

Client (S81000059) Trading Member (S7003) Client(TKMY) Trading Member (TKMY) Warehouse Exchange

Applied Approved Approved Approved Approve warrant transfer Release Warrants

20170515 22:20 20170515 22:22 20170515 22:26 20170515 22:32

Transfer Info.

Warrant Transfer No.: scbjc1700005
 Application Date: 20170515 Confirmation Date: 20170515
 Product: Medium Sour Crude Oil Depot:
 Client ID (Sell-side): 81000059 Client Name (Sell-side): n7003
 Client ID (Buy-side): 88007001 Client Name (Buy-side): tst2013
 Trading Member ID (Sell-side): 7003 Trading Member Abbr. n7003 (Sell-side):
 Trading Member ID (Buy-side): 7001 Trading Member Abbr. n7001 (Buy-side):
 Status: Tranfer Application Approved by Buy-Side Trading Member Settlement Method: Settled by INE
 Transfer Qty: 4000 Transfer Price: 10,000.00
 Verification Comment:
 Note:

Warrant Account ID	Duty-paid Status	Depot	Crude	Last Delivery Period	Last Delivery Price	Qty. Submitted
scB000000018	Bonded					4000

● : the task at this node has finished ;

● : the process is at the node ;

○ : the process hasn't reached that node yet ;

⊗ : the process has ended after being rejected .

Note: The query operations such as Load-in, Margin Collateral, Warrant Cancellation, Off-exchange Pledge Registration and Prepaid Storage Fees are similar.

Physicals Filing Query

Operation Query ▸ Physicals Filing Query

Search Criteria

Product: **Medium Sour Crude Oil**

Depot: **All** SHC BJ Oil Storage

Crude: **All** Crude 2 CHINA Crude 1

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

Declaration Date: -

Filing No.	Product	Duty-paid Stat...	Client Name	Source of Cargo	Crude	Depot	Region	Proposed Filin...	Processing Sta...
sc0011910001	Medium Sou...	Bonded	7003	Imported	CHINA Crude 1	SHC	import	200000	Approved by ...

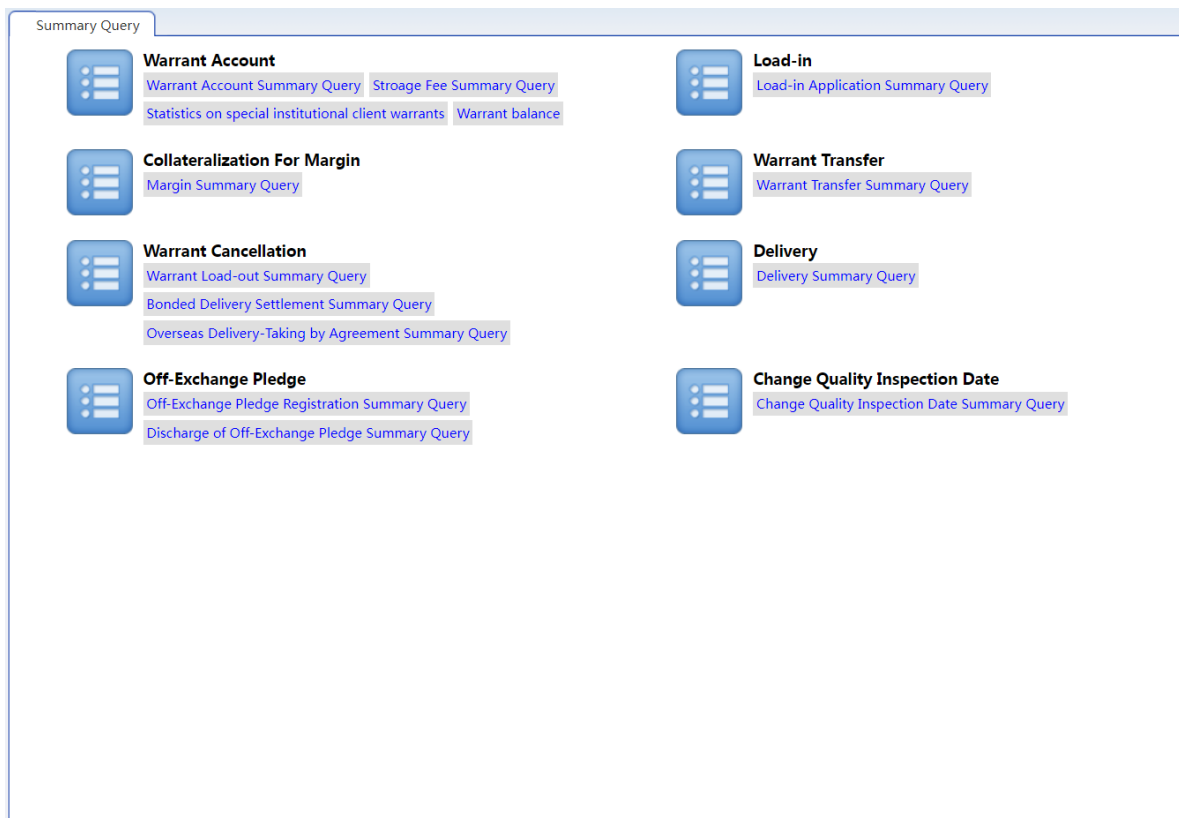
Page 1 / Total 1

Click the "Filing No." to view the details. This page shows the process diagram and current node.

As for the already completed physicals filing, you may click the "Print" button at the bottom of the page to print the Application Form for Physicals Filing (Commercial Inspection Proxy).

Summary Query

Summary Query offers the users all kinds of operation summaries in different dimensions and exhibits summarized data from different perspectives. Through Summary Query, Clients may inquire about the Warrant Account, Load-in, Collateralization For Margin, Warrant Transfer, Warrant Cancellation, Delivery, Off-Exchange Pledge Registration, etc.

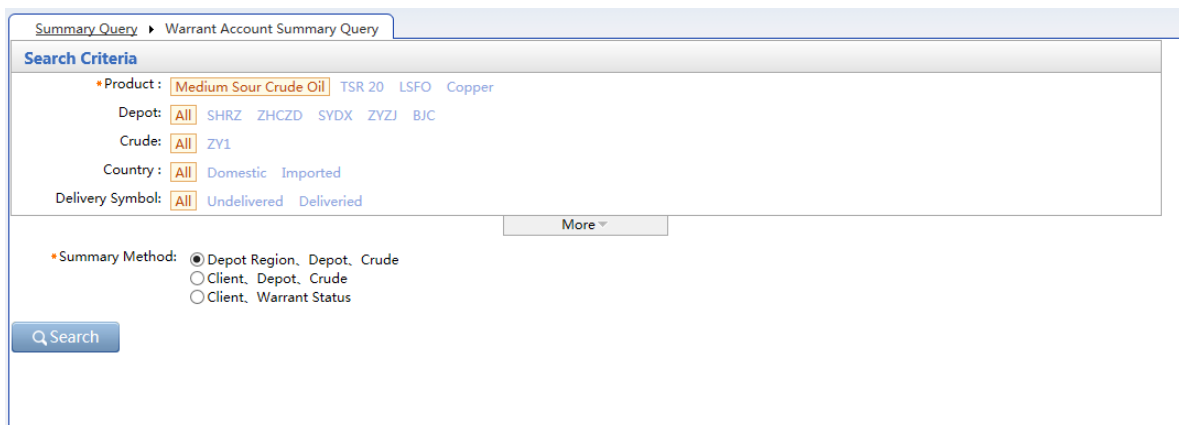


Warrant Account Summary Query

Summarize the effective commodities information under the Normal Account, Occupied Account and Processing Account as per the summarized field.

(1) In the page of "Summary Query", click the "Warrant Account Summary Query" under the title of "Warrant Account" to enter the page of the Depot Account Summary Query.

(2)



In the page of the Warrant Account Summary Query, perform the following steps:

Step 1: set the search criteria;

Step 2: select the Summarized Method, such as "Depot Region, Depot and Crude";

Step 3: click the "Search" button to start the query.

(3)

Summary Query > Warrant Account Summary Query

Shanghai International Energy Exchange Warrant Account Summary

Product : CrudeOil

Depot Region	Depot	Crude	Total Quantity	Frz/Lck
Beijing	Beijing Oil Storage	CHINA Crude 1	379000	
		Sub-total	379000	
	Sub-total		379000	
Total			379000	

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The above figure shows the query results as per the summarized fields such as "Depot Region, Depot and Crude". The summary table exhibits the summarized statistic data by Duty-Paid Status, Depot Name and Crude Name, including the effective commodities under the Normal Account, Occupied Account and Processing Account from the perspectives of Duty-Paid Status, Depot and Crude, respectively. Click the "Print" button under the summary table to print the summary result.

Note: The query operations such as Load-in, Margin Collateral, Warrant Transfer, Warrant Cancellation, Delivery and Off-exchange Pledge Registration are similar.

General Query

General Query provides Clients with the details of some data.

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

Warrant Authorization

- Warrant Authorization Query

Tank No.

- Tank No. Query

EFP

- EFP Intention Query

Certification Info.

- Check Certification Query

Delivery

- Query a Notice of Interest

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

Warrant Account Details Query

The query operation is similar. See the "Query" for details.

The following is a list of query results, presenting the details about each account as per the search criteria.

General Query ▸ Warrant Account Detail Query

Search Criteria

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

Duty-paid Status: [All](#) [Bonded](#) [Duty-paid](#)

Depot: [All](#) [SHRZ](#) [ZHCZD](#) [SYDX](#) [ZYZJ](#) [BJC](#)

Crude: [All](#) [ZY1](#)

Country : [All](#) [Domestic](#) [Imported](#)

Account ...	Warrant Acc...	Occupation Type	Operation Type	Duty-p...	Depot Abbr.	Crude Name	Count...	Last Delivery ...	Last Delivery ...	Total Quan...
Account P...	scB000000021		Warrant Load-o...	Bonded	BJC	NO1	Dom...			2
Account P...	scB000000020		Warrant Load-o...	Bonded	BJC	NO1	Dom...			1
Account P...	scB000000019		Warrant Transfer	Bonded	BJC	NO1	Dom...			3
Account P...	scB000000012		Warrant Transfer	Bonded	BJC	NO1	Dom...			20
Account P...	scB000000009		Collateralizatio...	Bonded	BJC	NO1	Dom...			1
Account P...	scB000000008		Collateralizatio...	Bonded	BJC	NO1	Dom...			1
Account P...	scB000000007		Collateralizatio...	Bonded	BJC	NO1	Dom...			1
Account P...	scB000000006		Collateralizatio...	Bonded	BJC	NO1	Dom...			1

Current:1-13,Total:13

Page 1 / Total 1

Click the "Warrant Account No." to view the details. Click the link of "Occupation Type" to view the detailed information about occupation.

Warrant Authorization Query

The query operation is similar. See the "Query" for details.

The search results of the authorization information about each product as per the search criteria will be listed.

Tank No. Query

The query operation is similar. See the "Query" for details.

The search results of the tank No. of warrants held by each Client as per the search criteria will be listed.

EFP Intention Query

The query operation is similar. See the "Query" for details.

The search results of the detailed information about EFP intention as per the search criteria will be listed.

Check Certification Query

The query operation is similar. See the "Query" for details.

The search results of the detailed information about Check Certification as per the search criteria will be listed. Click the "Export" button to export the query results to the local computer.

Query a Notice of Interest

The query operation is similar. See the "Query" for details.

The search results of the detailed information about a Notice of Interest as per the search criteria will be listed. Click the "Export" button to export the query results to the local computer.

Account Opening

View the Account Opening status of this client.

General Query Quotation of Warrant Transfer

The query operation is similar. See the "Query" for details.

The search results of the general information about Quotation of Warrant Transfer as per the search criteria will be listed. Click the "Export" button to export the query results to the local computer.

Detailed Query Quotation of Warrant Transfer

The query operation is similar. See the "Query" for details.

The search results of the detailed information about Quotation of Warrant Transfer as per the search criteria will be listed. Click the "Export" button to export the query results to the local computer.

Chapter 27 System Management

The Chapter describes relevant operations of System Management by Clients.

In the System Management, Clients may conduct the administration of different roles in the System, and inquire about the circulars released by the Exchange.

Clients may conduct their system management in the "System Management" of the navigation menu.

User Role

User Management

Clients may define relevant role permissions for overseas users in the User Management. A Client may set multiple operating users and assign different role permissions to them.

(1) Select the "User Management" under the "User Role" through the "System Management" in Navigation Menu, and enter the page of Client Users.

(2)

Search the matched users

System Manage > User Management

Search Criteria

Status: All Initial **Activate** Forbidden Cancel

Account:

Opening Date:

User ID/Name:

User ID	User Name	Level	Status	Account Openi...	Expiry Date of Certificate
INE_9960010017	INE_9960010017	System Super Operator	Activate	20221207	20221207
S60010017	60010017	Operator	Activate	20140708	

Current:1-2,Total:2 Page 1 / Total 1

Add a new user

Delete a selected user

Select a user to modify its permissions

Define the search criteria at the top of the page to find all matched Client Users. A Client may add modify or delete a user.

- **Add a User:** If you don't need to inquire about the designated user, you may directly click the "Add" button at bottom of the page and input new user's basic information and assign corresponding permission in the popup window of "Add a User". When adding a user, you need to input user's basic information in the tab of "User Information" and assign roles to the user under the tab of "User's Permission". Multiple roles may be selected for assignment. Upon completion, click the "Submit" button, as shown below.

Note: At the time of adding a user, the default User ID will be "INE". *Check the User ID and make sure it begins with the "INE" when creating a new user.* After submission, the status of a newly added user will be "Initial" and it cannot be used unless the Exchange changes it to "Enabled". And you may delete a user with the "Initial" status.

Add a User

Us 1 p. User's Permission

*User ID: INE_

*User Name:

*Contact Person:

*Tel:

*Address:

*Postal Code:

*Status: Initial

Email:

Note:

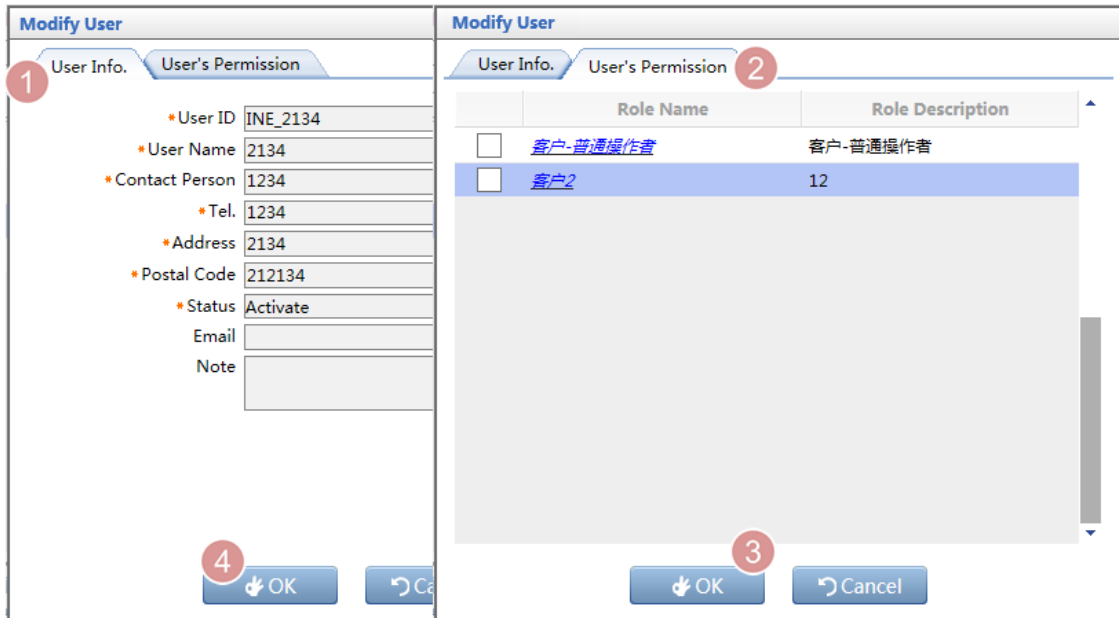
Add a User

User Info. User's Permission 2

	Role Name	Role Description
<input type="checkbox"/>	客户-普通操作者	客户-普通操作者
<input type="checkbox"/>	客户2	12

- **Modify a User:** Select the user to be modified, click the "Update" button at the left bottom of the page, and modify user's basic information and corresponding permissions in the popup window. In the page of "Update User", a user's basic information may be viewed under the tab of "User Information" but cannot be edited, while multiple roles may be assigned to the user under the tab of "User's Permission". As shown below, click the "Submit" button upon completion of modification.

Note: You are not allowed to modify a user with the "Cancelled" status.



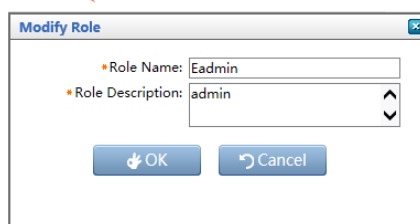
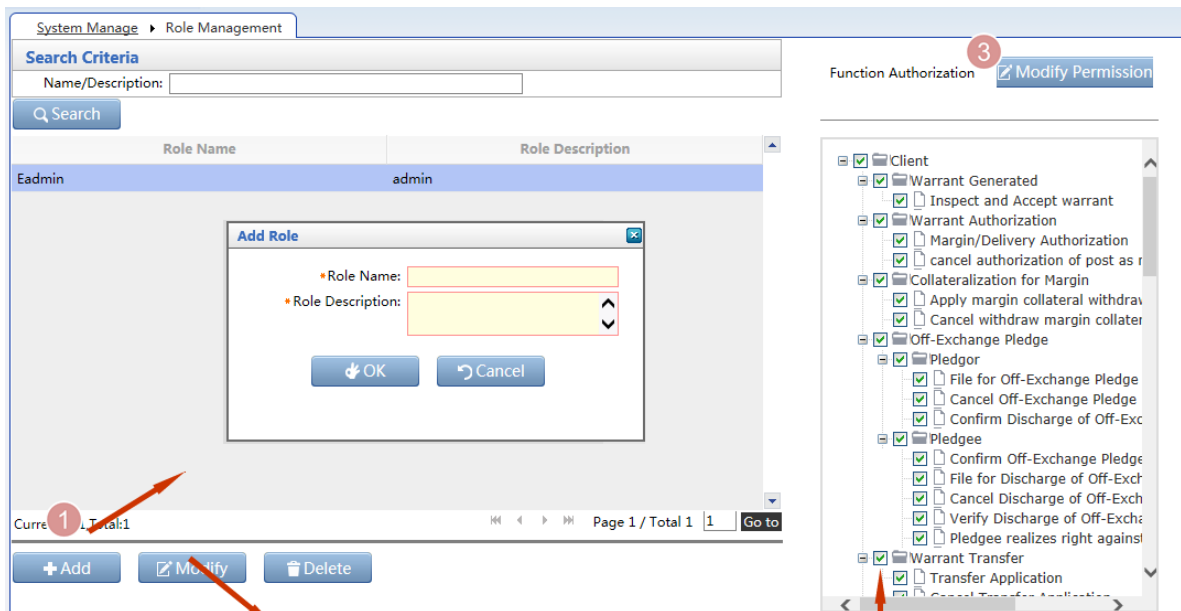
- **Delete a User:** Select the User to be deleted. Click the "Delete" button at the left bottom of the page, and then click the "OK" when you are prompted to confirm the delete.

Note: You can only delete a user with the "Initial" status.

Role Management

(1) In the "System Management" of the navigation menu, select the "Role Management" under the title of "User Role" to enter the page of Client's Role Management.

(2) Clients may search for the existing roles by search criteria. On this page, click the "Add" button to set a new role and its permissions, or click the "Update" or "Delete" button to adjust the name, description or permissions of a role.



2
Tick off relevant function authorization

- **Add a Role:** first, click the "Add" button, input the role name and role description in the popup window of "Add a Role" and click "OK". Since such a newly added role has no permissions yet, you need to tick the relevant Client permissions in the Role Permission Tree at the right side of the page and click the "Modify Permission" button.
- **Modify a Role:** select the role to be modified, click the "Update" button and input the role name and role description in the popup window of "Update a Role". If you want to modify the permissions, select the role, make relevant modifications in the Role Permission Tree at the right side of the page, and then click the "Modify Permission" button.
- **Delete a Role:** Set the search criteria at the top of the page to find the role to be deleted. Select the role in the role list at the lower part of the page, click the "Delete" button and then click "OK" when you are prompted to confirm the delete.

Account/User Change

Client can apply to INE for Account/User Change. INE will review and process the application.

The procedure for Account/User Change is illustrated below:



【1】

Click the Account/User Change under the User Role in the System Manage page to open the Account/User Change page.

System Manage > Account/User Change

Information on Account/User Change

• Operation Type:

• Applicant Type: • Applicant Code: • Applicant Name:

• Processor/Reviewer Type: • Processor/Reviewer: • Processor/Reviewer Short Name:

• Cause of Change:

Note:

Attachment [Add Attachment](#)

File Name	Operation

OK

【2】

Step 1: Fill in Information on Account/User Change. Client can apply for a user change only.

- Cause of Change is mandatory: Fill in the specifics and cause of change, etc.;

- Attachment cannot be empty:

Click Add Attachment to upload one or more attachments. Refer to "General Functions → Attachment" for instructions.



An uploaded attachment can be removed by clicking Delete in the attachment list.

Step 2: Click OK to submit the user change application.

Task Tracking:

A submitted Account/User Change application can be searched in the Task Tracking page.

In the search result page, user can click Application No. to view details; before being approved, an application can be canceled or modified through buttons in the Operation column.

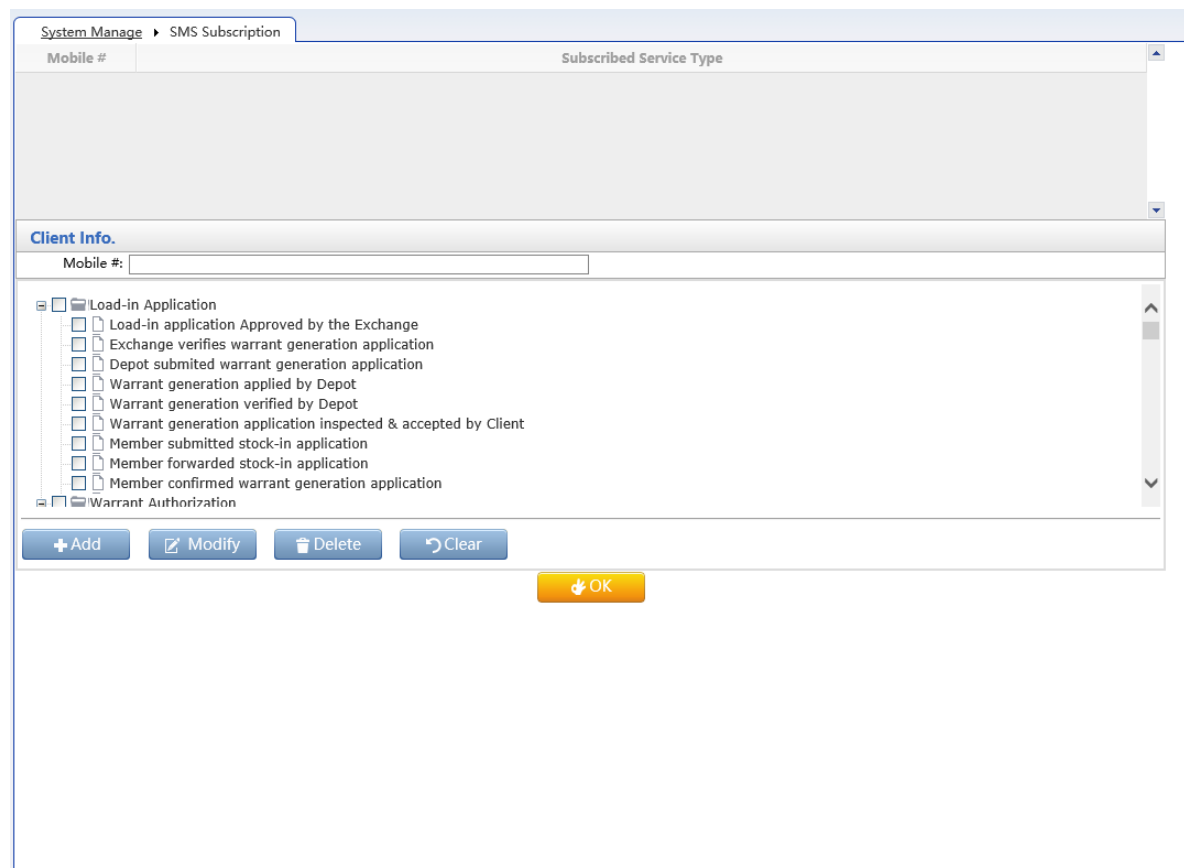
Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
 	Account/Use...	202102000009	Pending	Account/User Change(initiated by Client, Applicant Code:6...	Applied by Cl...	20210222	20210222	

SMS Subscription

A Client may view available SMS (text message) subscriptions, select them, and associate the service with its designated mobile number. Upon the completion of any warrant transaction relating to an active subscription, the Standard Warrant Management System will send a text message to the designated mobile number.

(1)

Select "System Manage" → "(SMS) SMS Subscription" to enter the SMS subscription page.



The screenshot shows the 'SMS Subscription' page. At the top, there's a breadcrumb 'System Manage > SMS Subscription'. Below it is a table with two columns: 'Mobile #' and 'Subscribed Service Type'. The table is currently empty. Underneath the table is a section titled 'Client Info.' with a 'Mobile #' input field. Below that is a list of subscription types, each with a checkbox and a folder icon:

- 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 page, there are four buttons: '+ Add', 'Modify', 'Delete', and 'Clear'. Below these buttons is a large yellow 'OK' button.

(2)

The upper section of the page shows a list of active subscriptions. Selecting a record will display, in the area below, the contents of the subscription and the designated mobile number. A user can manage its SMS subscriptions on this page, such as adding a new mobile number or changing or deleting existing subscriptions.

Note: No addition, modification, or deletion of a subscription will take effect until the user clicks the "OK" button to confirm the action and agrees to the "Risk Disclosure of SMS Service".

The screenshot shows a web application interface for managing SMS subscriptions. At the top, there's a breadcrumb 'System Manage > SMS Subscription'. Below that is a table with two columns: 'Mobile #' and 'Subscribed Service Type'. The first row contains the mobile number '13900011220' and the service type 'Warrant generation verified by Depot | Warrant generation application inspected & accepted by Client'. Below the table is a 'Client Info.' section. It has a 'Mobile #' field with the value '13900011220'. Underneath is a tree view of subscription services. The 'Load-in Application' category is expanded, showing several sub-items with checkboxes. The checked items are 'Warrant generation verified by Depot' and 'Warrant generation application inspected & accepted by Client'. Below the tree view are four buttons: '+ Add', 'Modify', 'Delete', and 'Clear'. At the bottom center is a yellow 'OK' button.

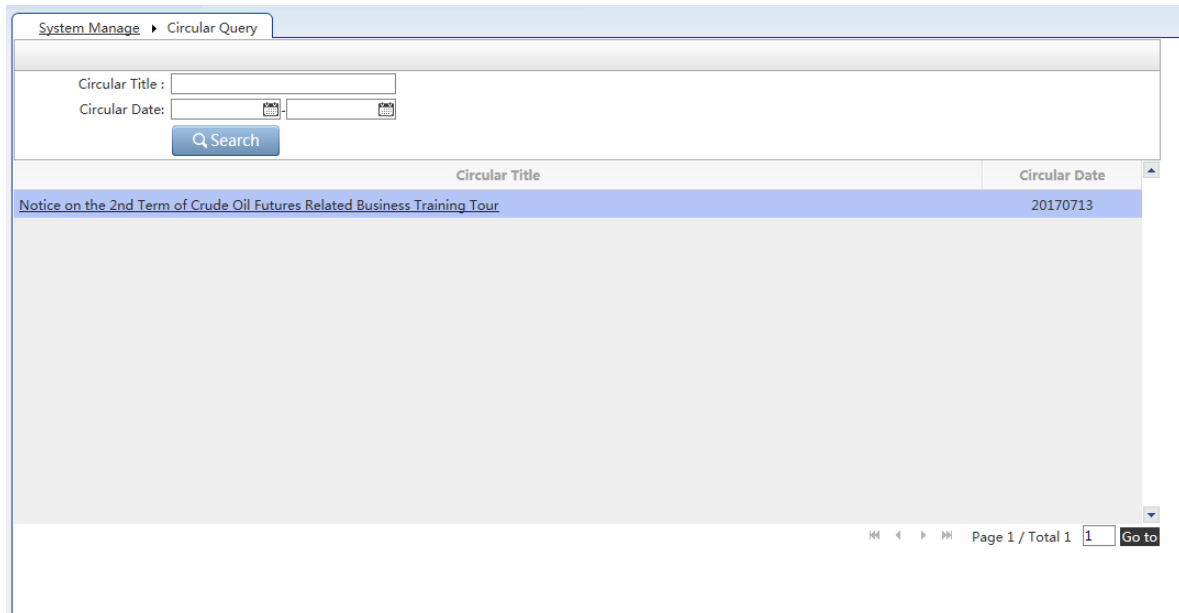
A user may perform the following actions:

- **Add a subscription:** You may click the "Clear" button to clear the contents in "Client Info.". In "Client Info.", enter a mobile number and select the services to subscribe for, then click the "Add" button to add the subscriptions, and finally click the "OK" button so that the change can take effect.
Note: You may click "OK" as soon as an addition is made. Or you may do so after multiple additions, modifications, and deletions so that all changes take effect together.
- **Modify an existing subscription:** Select a record from the list of active subscriptions at the top, then modify, in "Client Info.", the mobile number and/or the active subscriptions (you can also click the "Clear" button to clear the contents in "Client Info." and start over). Click the "Modify" button to make the change, and finally click the "OK" button so that the change can take effect.
Note: You may click "OK" as soon as a record is modified. Or you may do so after multiple additions, modifications, and deletions so that all changes take effect together.
- **Delete an existing subscription:** Select a record from the list of active subscriptions at the top, then click "Delete" to make the change, and finally click the "OK" button so that the change can take effect.
Note: You may click "OK" as soon as a record is deleted. Or you may do so after multiple additions, modifications, and deletions so that all changes take effect together.

Circular

The Exchange publishes the important information to the public in the form of circular, including operation alerts, notices, investor education, etc.

When a Client logs in the System, a list of the latest circulars will be automatically prompted, including titles and time. The user may click the title to view the circular details. If there is only one piece of circular, the details will be directly displayed in the System.



The circular information also displays in the welcome page of the System, identified by the word "***, (X) new circular(s)". The bracketed number indicates the total number of unread circulars. After clicking the number, a popup window will show a list of the latest circulars.

A Client may also use the **Circular Query** to view the history circulars through the circular menu in the System Management.

Circular Query

- (1) In the page of System Management, select the "Circular Query" under the "Circular" to enter the page of circular query.
- (2) Filter the circulars by inputting the date and/or title of the circular, and click the "Search" button.
- (3) After a list is displayed, click the circular title to open a popup window and view the details.