上海期货信息技术有限公司
SHANGHAI FUTURES INFORMATION TECHNOLOGY Co.,Ltd
上海期货交易所成员单位 AN SHFE COMPANY

Shanghai International Energy Exchange_Standard Warrant Management System_User Guide (Overseas Intermediaries)

Copyright Information

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If you have an outdated copy of this User Guide, please contact Shanghai Futures Information Technology to receive the latest edition.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 v1.17, last updated April 28nd, 2023.

Note: This User Guide will not receive further update unless subsequent versions of the System involve content changes regarding interfaces, operations, process nodes, etc.

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 exiting 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 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 Overseas Special Brokerage Participants ("OSBPs") and Overseas Special Non-Brokerage Participants ("OSNBPs").

This Guide is designed to provide functional operating instructions to the Overseas Intermediaries.

System Functions

This System provides Overseas Intermediaries with warrant operation and daily management functions.

This Guide describes the operation of the following business functions:

Overseas Intermediary Product：Medium Sour Crude Oil、TSR 20、LSFO、Copper	**To-do Tasks**	**New Task**	**Task Tracking**
Load-in	Confirm the warrant generation application	Initiating the task	Tracking
EFP intention		Initiating the task	

This Guide describes the operation of the following management functions:

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

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

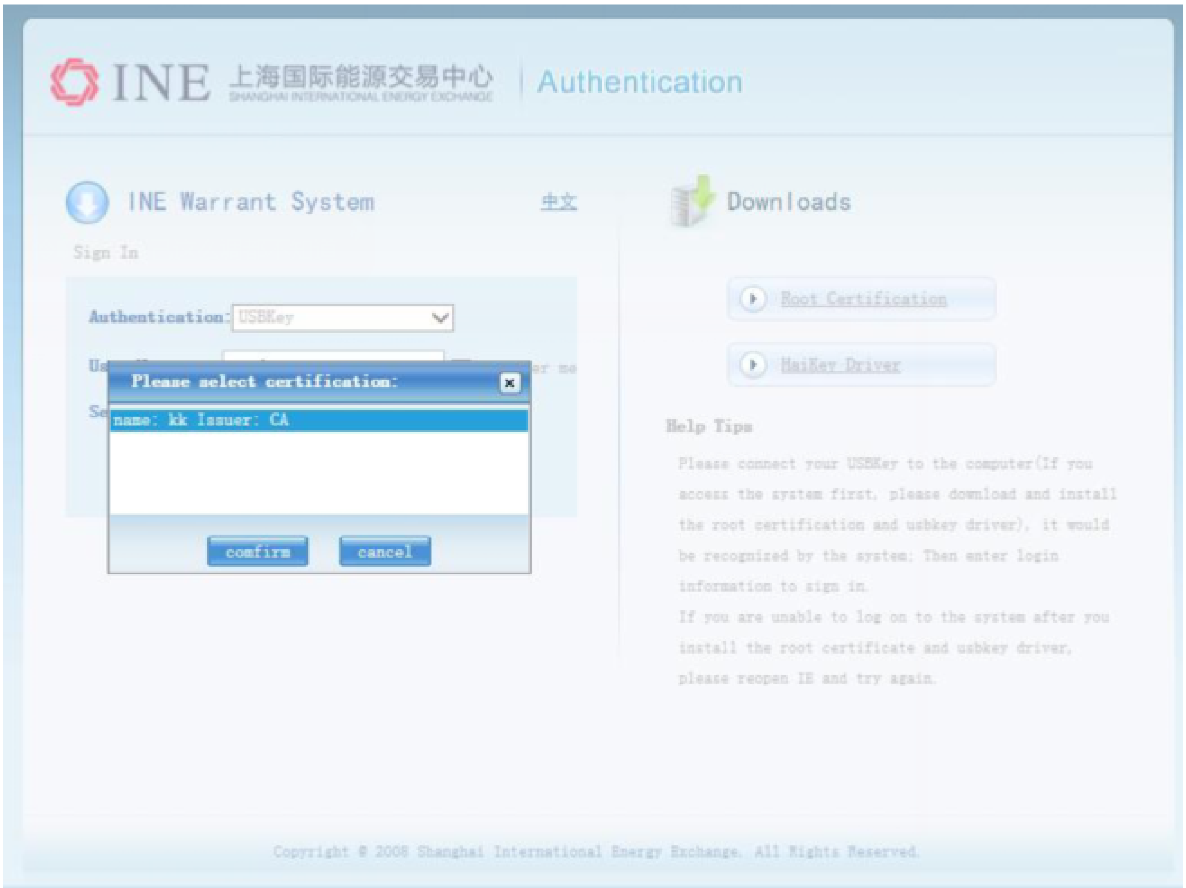
Acting as a trusted third party, a CA certificate certifies the online identity via digital signature, equivalent to an online ID card. It helps the entities identify each other and provides the functions of authenticity and non-repudiation. With safety, confidentiality and tamper-proofing, it realizes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

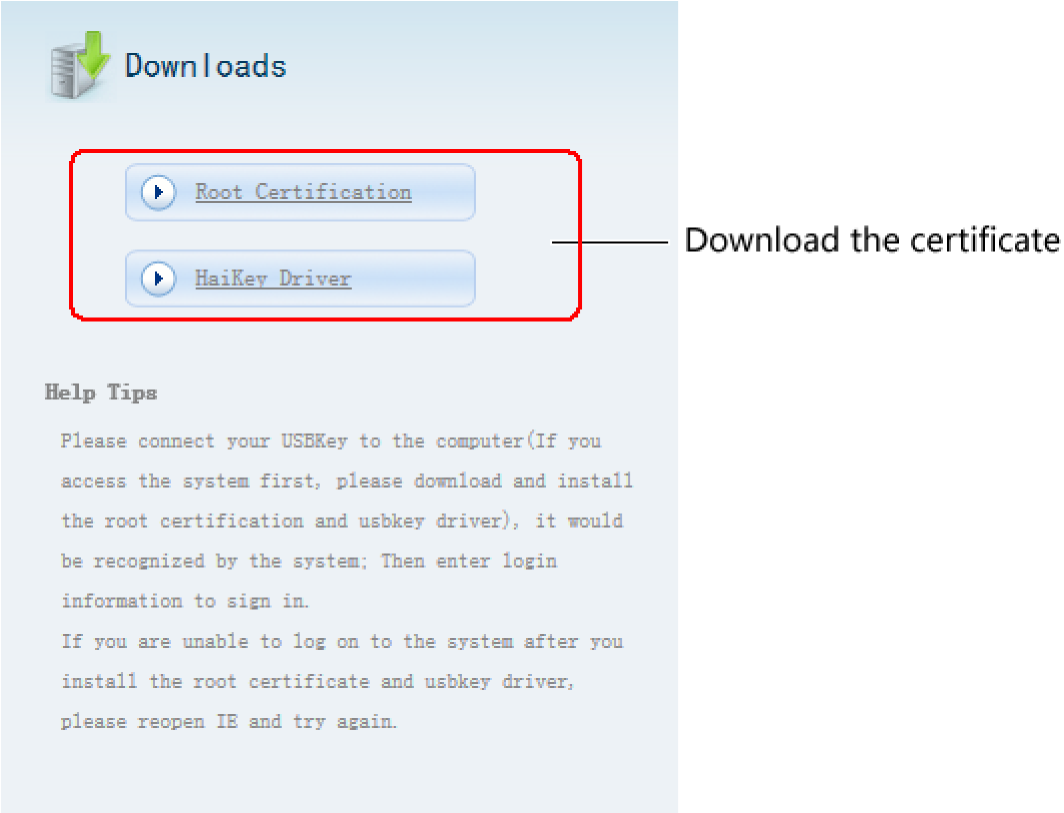
Input the PIN, click "OK" to login the System.

If no certificate is installed :

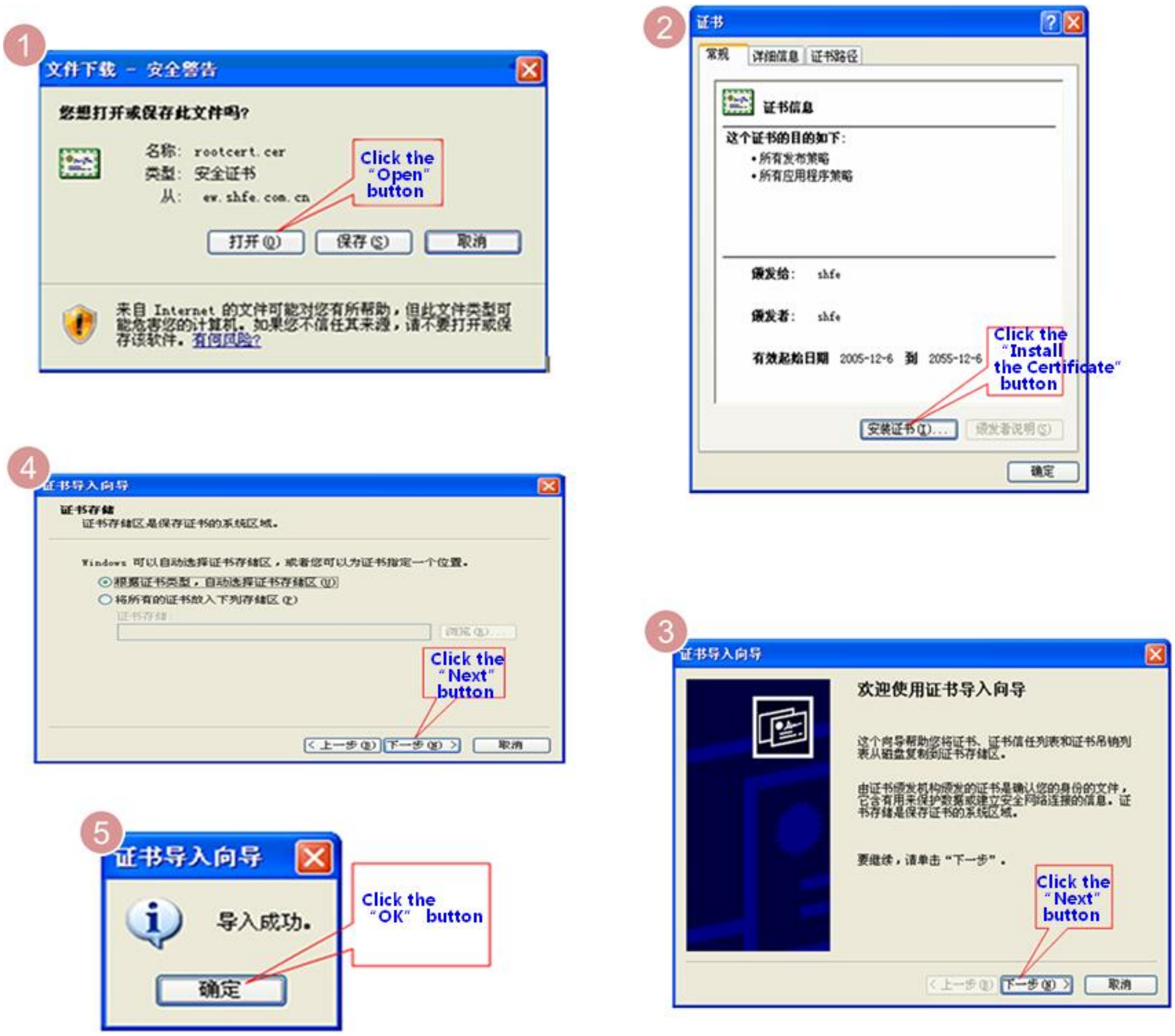
If you are a first-time user of the USB-KEY and no certificate is installed, then no certificate can be selected from the list of the digital certificates. In such a case, you need to download and install both the root certificate and the digital certificate. The System will automatically direct you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

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

(1)



(2)



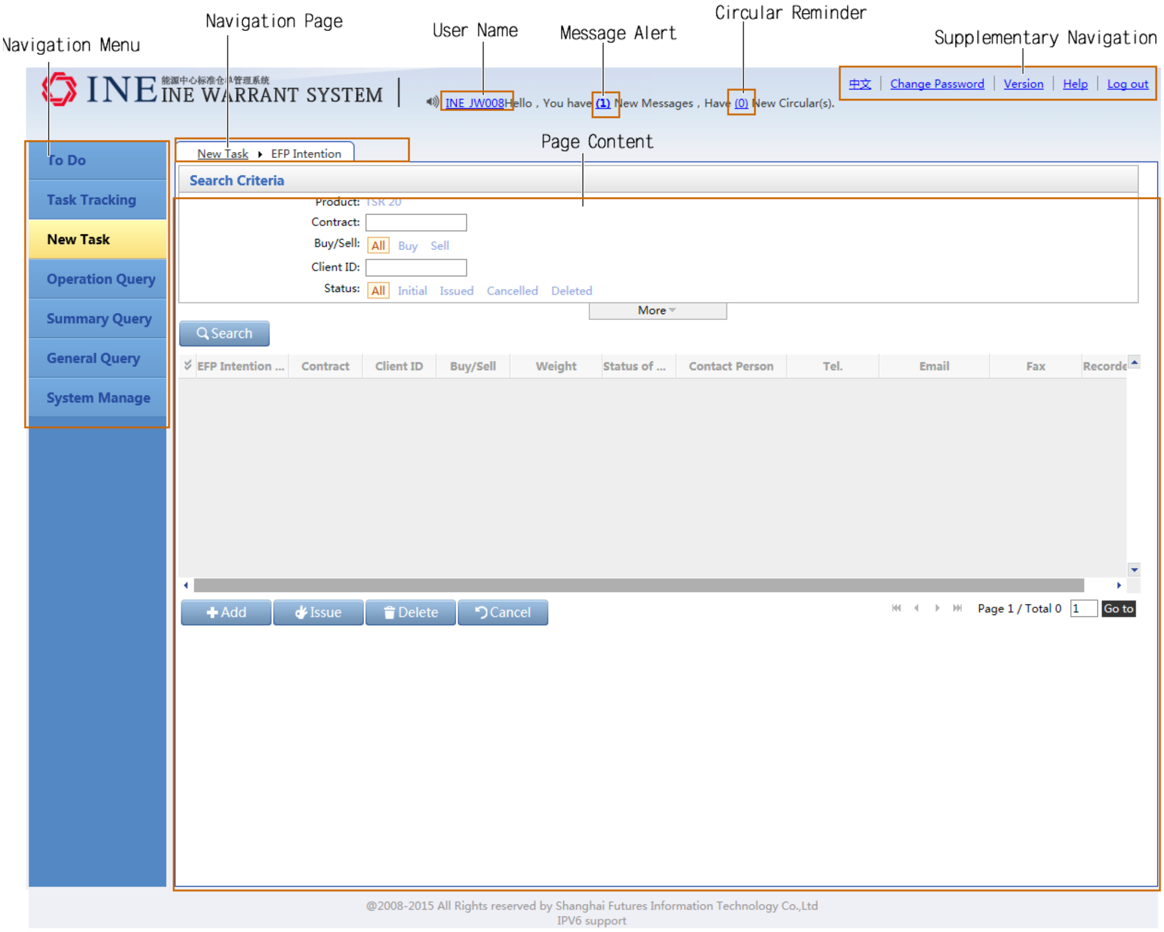
Click the link of "Download the Root Certificate" in the certificate downloading area. Complete the certificate installation according to the install wizard.

(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.

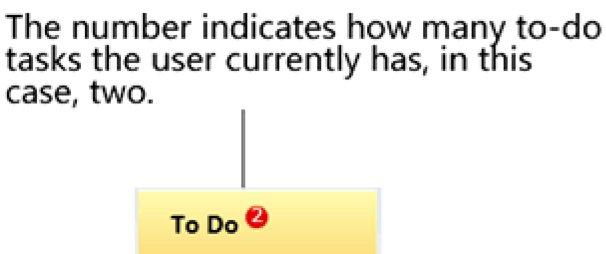
(4) Upon completion of the installation of all necessary certificates, plug the USB-KEY into your computer once again, open the Internet Explorer and type in the URL of the Standard Warrant System. Select the digital certificate accordingly in the popup window and then login the System.

System UI

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

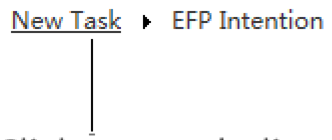


- Navigation Menu: the navigation menu is shown at the far left of the entire page. Click a specific sub-menu to enter the relevant page.



In To-Do Tasks Menu, there is a red badge counter indicating how many to-do tasks the user currently has.

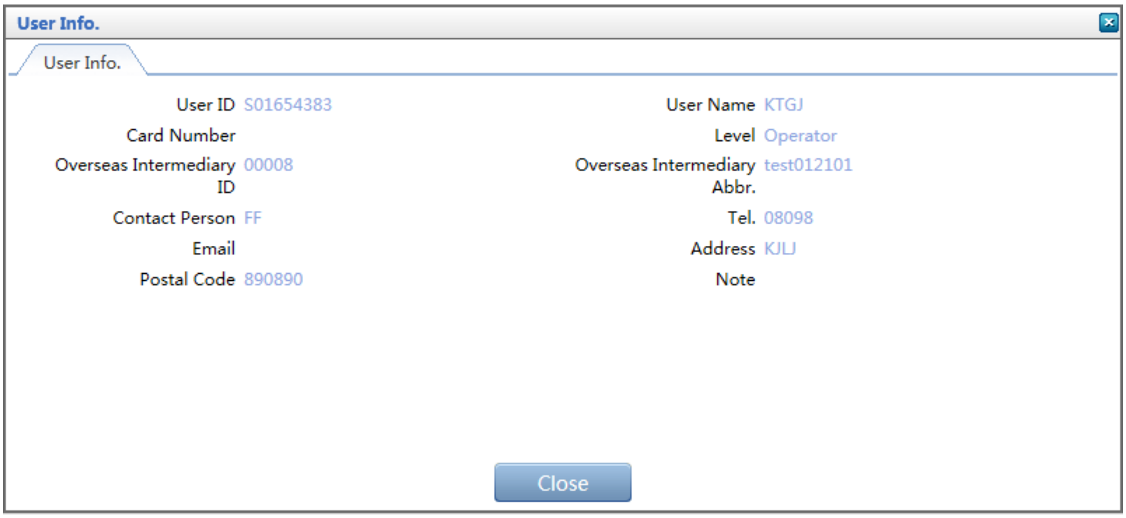
- Page Navigation Menu: the page navigation menu is shown at the top-left of the content area, indicating the path to the current page.



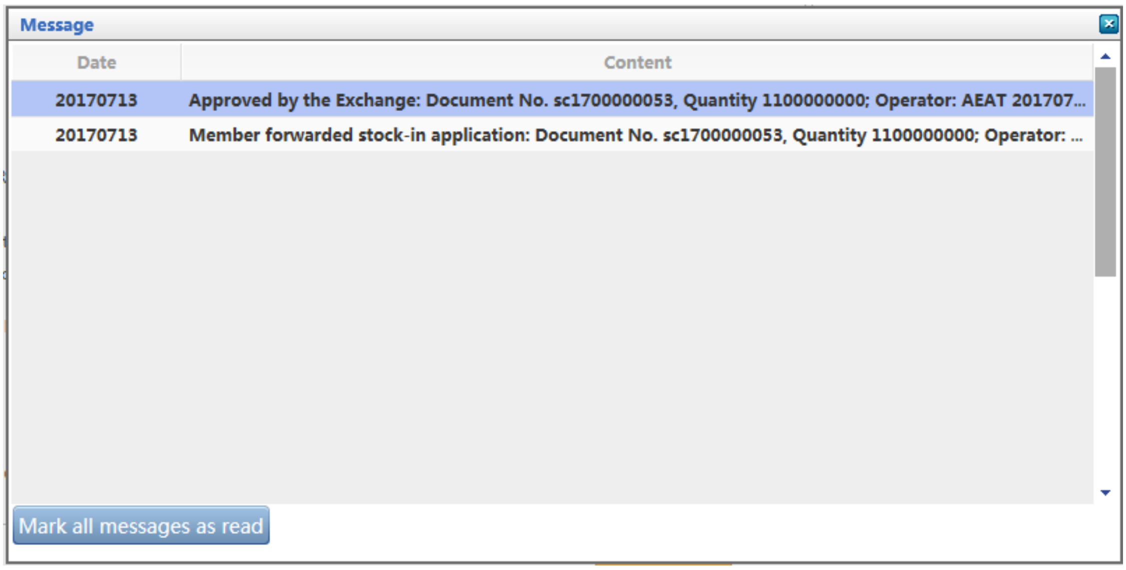
Click any underlined page for quick access to the relevant page

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.



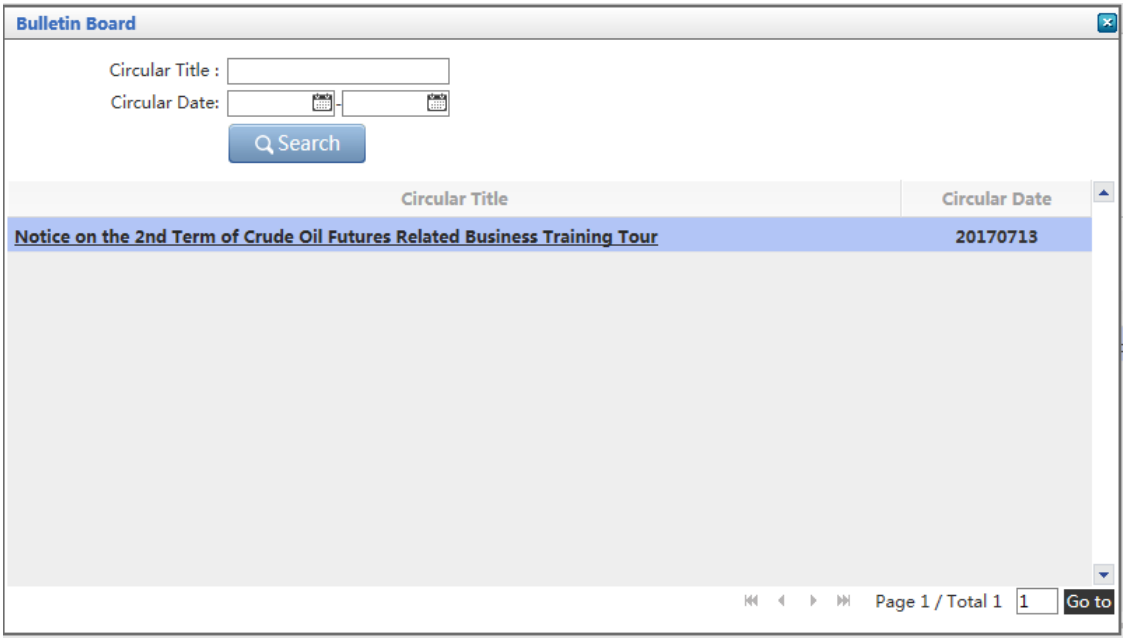
- Message alert: just as the user name, the message alert is also underlined and shown in the welcome line. Click it to view the list of current messages.



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.

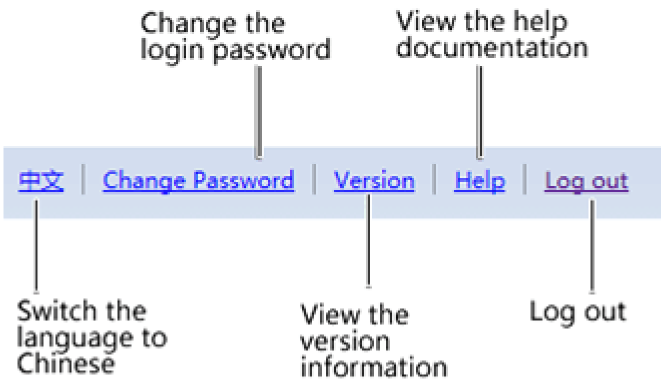
- Circular Reminder: Circular reminder is also underlined and shown in the welcome line. Click to view current list of circulars.



The Bulletin Board displays the circular information released by the Exchange. Click the title of circular to view the circular details.

The Bulletin Board also provides the query functions, which can be carried out according to the title of a circular and time period of released circular.

- Page Content Area: The Page Content Area account for most space of the entire page, in which a user can complete various business and management related operation;
- 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.

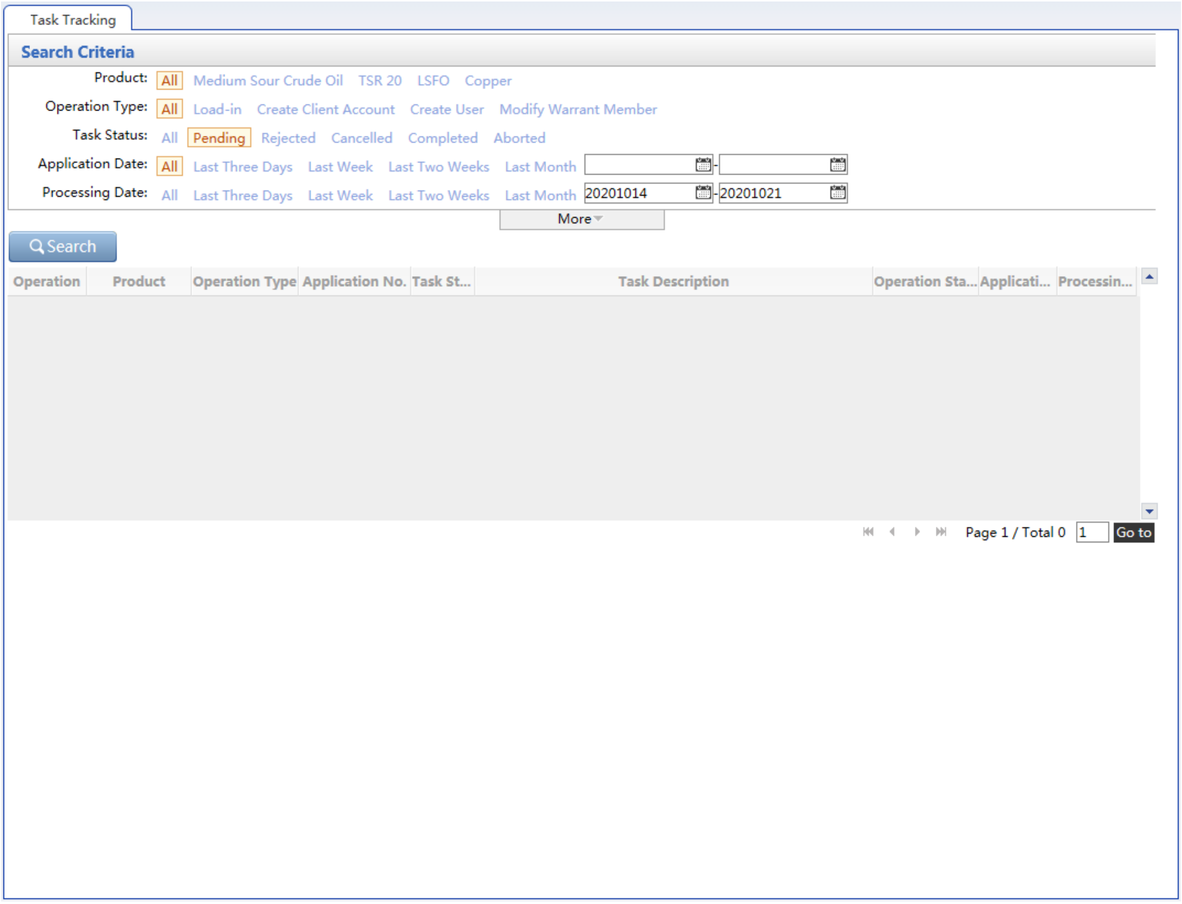
Clearing Members: Entities qualified for clearing business, including FF Members, Non-FF Members and Special Members.

Chapter 2 General Functions

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

Query

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

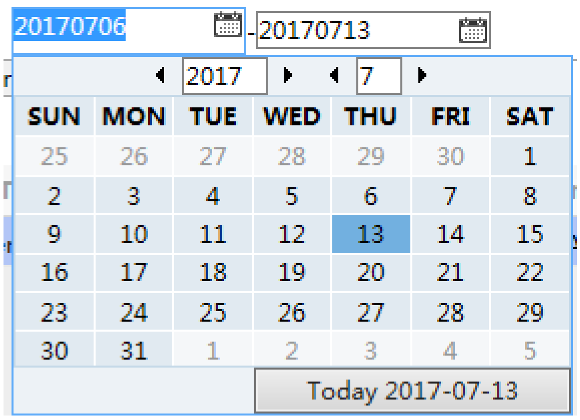


(1)Define the search criteria and find all matched records:

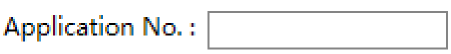
Step 1: Define the search criteria in the search criteria area. You may select or define the matched condition entities here.

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

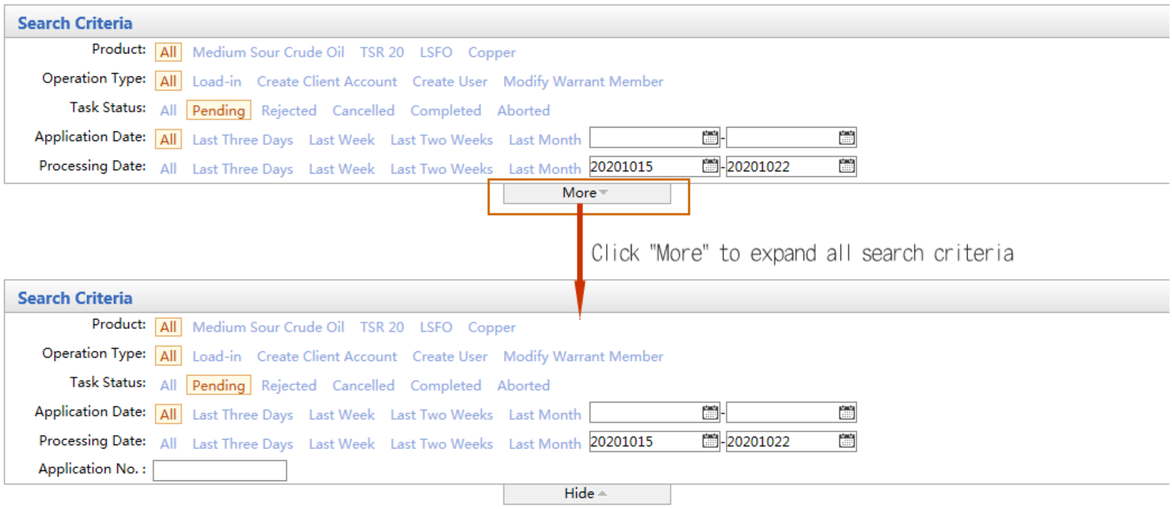
- **Date picker:** You may use it to define a date range or a single date. Click the date picker to open a floating popup calendar. Use the arrows at the left or right side of Year and Month to define the month and year, and finally click a specific date in the calendar.



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



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



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

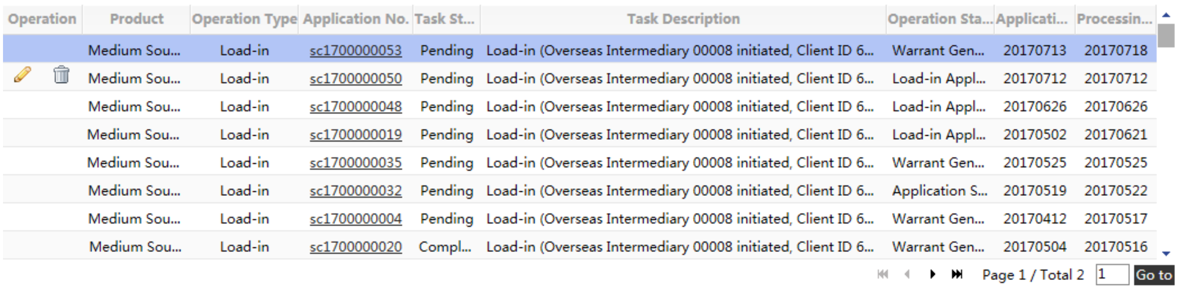
(2) Search results are usually displayed in the form format. If you want to perform relevant operation in the search results, you may view, delete or cancel a specific record in the form. See the next section, the "Form", for more details.

Form

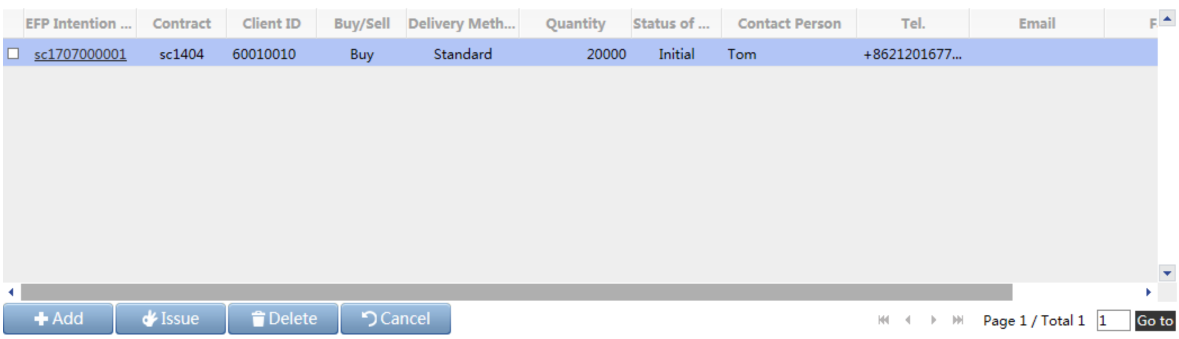
This System frequently uses the form to display the data containing the same fields orderly. Users may view the data in a form, or in some cases, perform relevant operation in a certain record of a form, such as modification, deletion or cancellation.

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

One is the form containing an operation column.



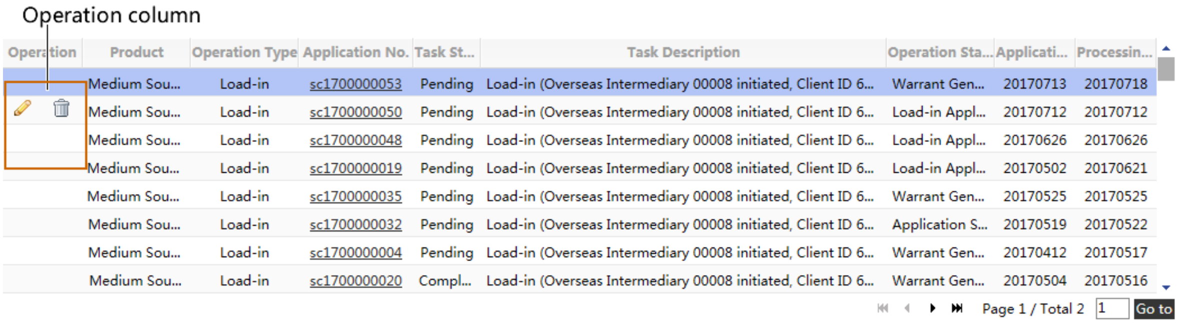
The other is the form with operation buttons at the bottom.



Operation column

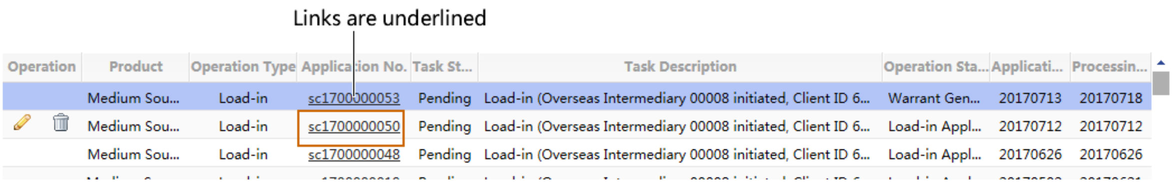
Some forms in the System contain an operation column. The operation column of each record corresponds to a group of buttons. You may perform relevant operation in a record, such as cancellation or modification, by clicking one button in the operation column of the same record.

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.



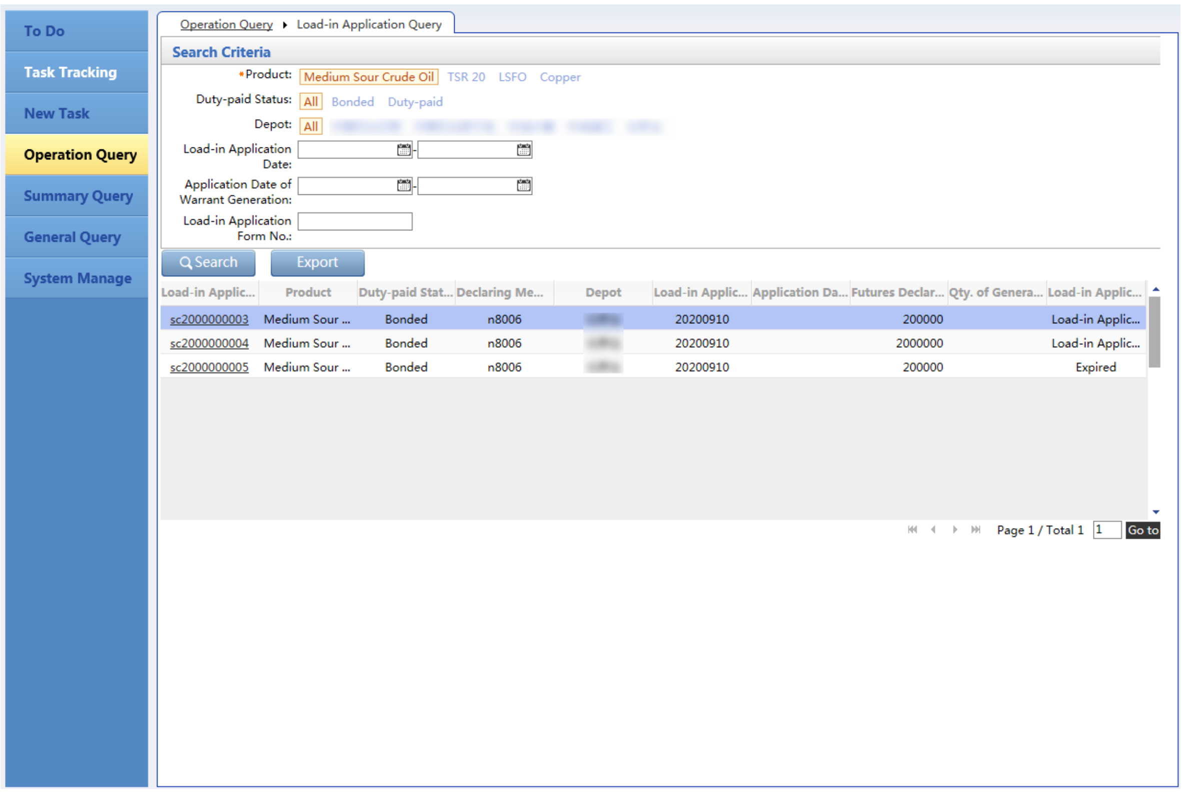
Link

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.



Export

Export is commonly used in this system. Just click the “Export” button and follow the prompts to save the query results to a local disk in the popup box at lower part of interface.



Print

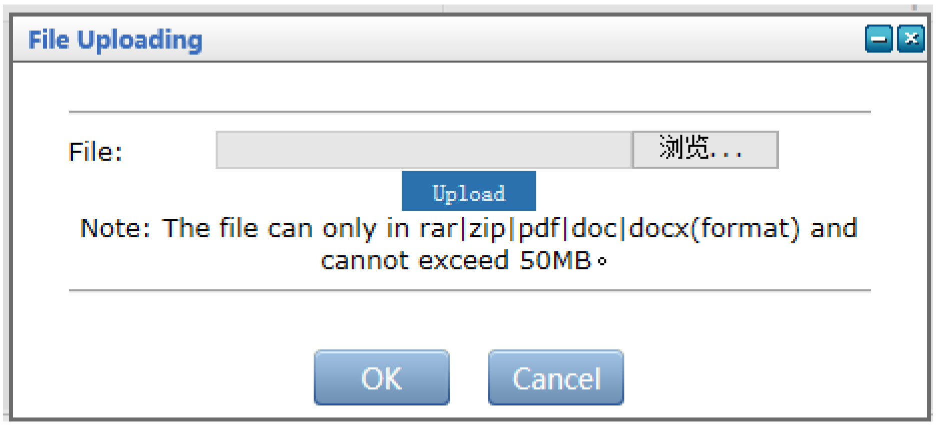
Print is commonly used in the System, such as the data forms and vouchers. Just click the "Print" button and follow the prompts to compete the printing.

Attachment

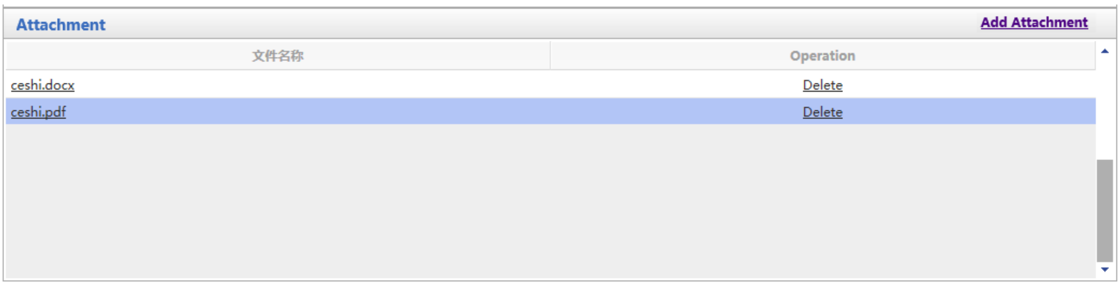
User can add attachments to several forms in the System;

Add Attachment:

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



- 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;

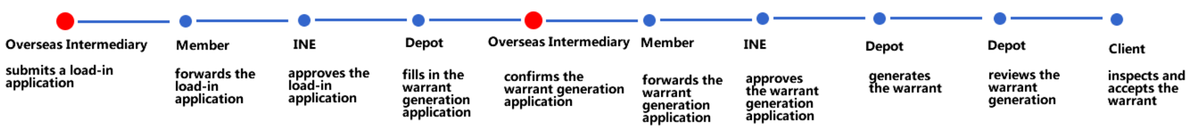


Delete attachment: click Delete in the Operation column to remove the added attachment.

Process nodes diagram

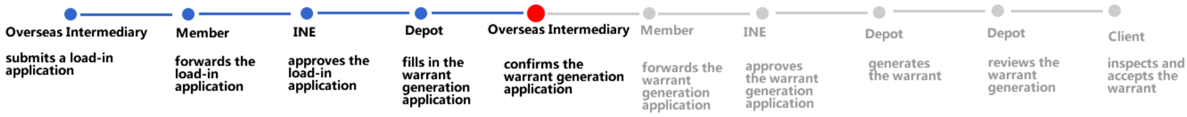
This Guide exhibits the process of relevant business in the form of process nodes diagram, which is divided into the following two types:

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



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

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



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

Chapter 3 Business Operation

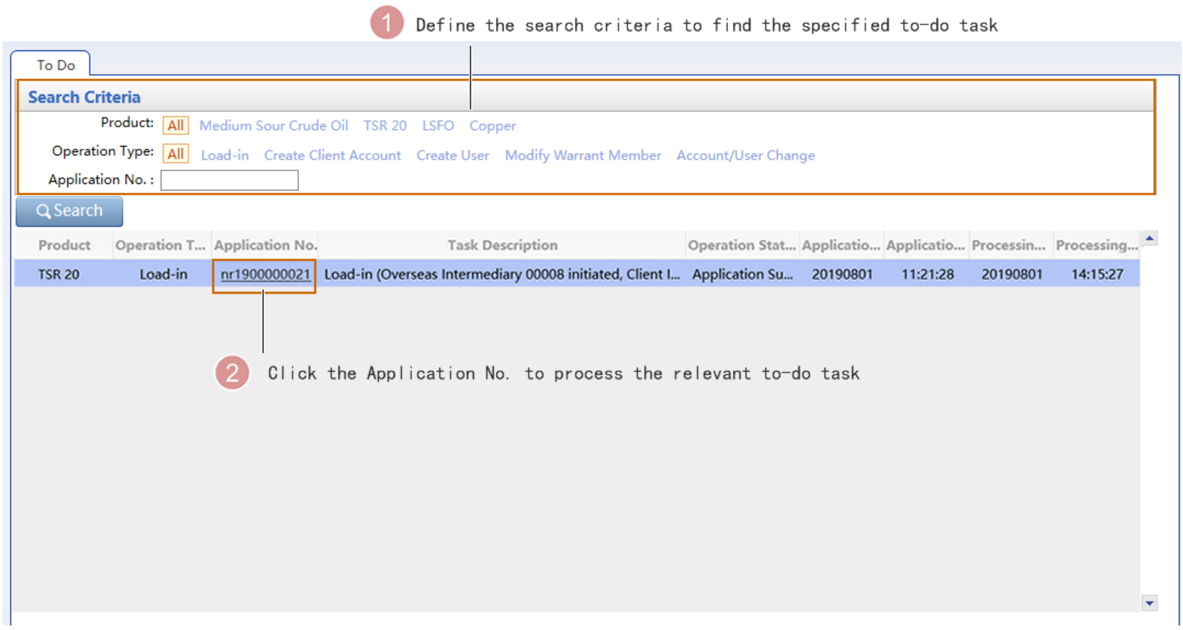
The business operations are mainly conducted through the three sections in the navigation menu, including "To-do", "Task Tracking" and "New Task".

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

To-do

The page of “To-do” is the default home page when an Overseas Intermediary logs in the System, which shows all to-do tasks by an Overseas Intermediary as below:

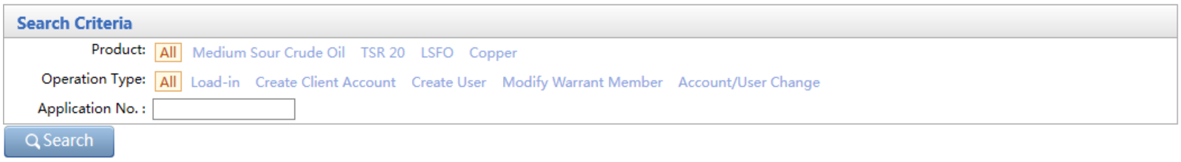
- Matters to be processed by the Overseas Intermediary, such as confirmation of a previous process; and
- Matters that have been rejected in a subsequent step and now require modification or resubmission by the Overseas Intermediary.



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.

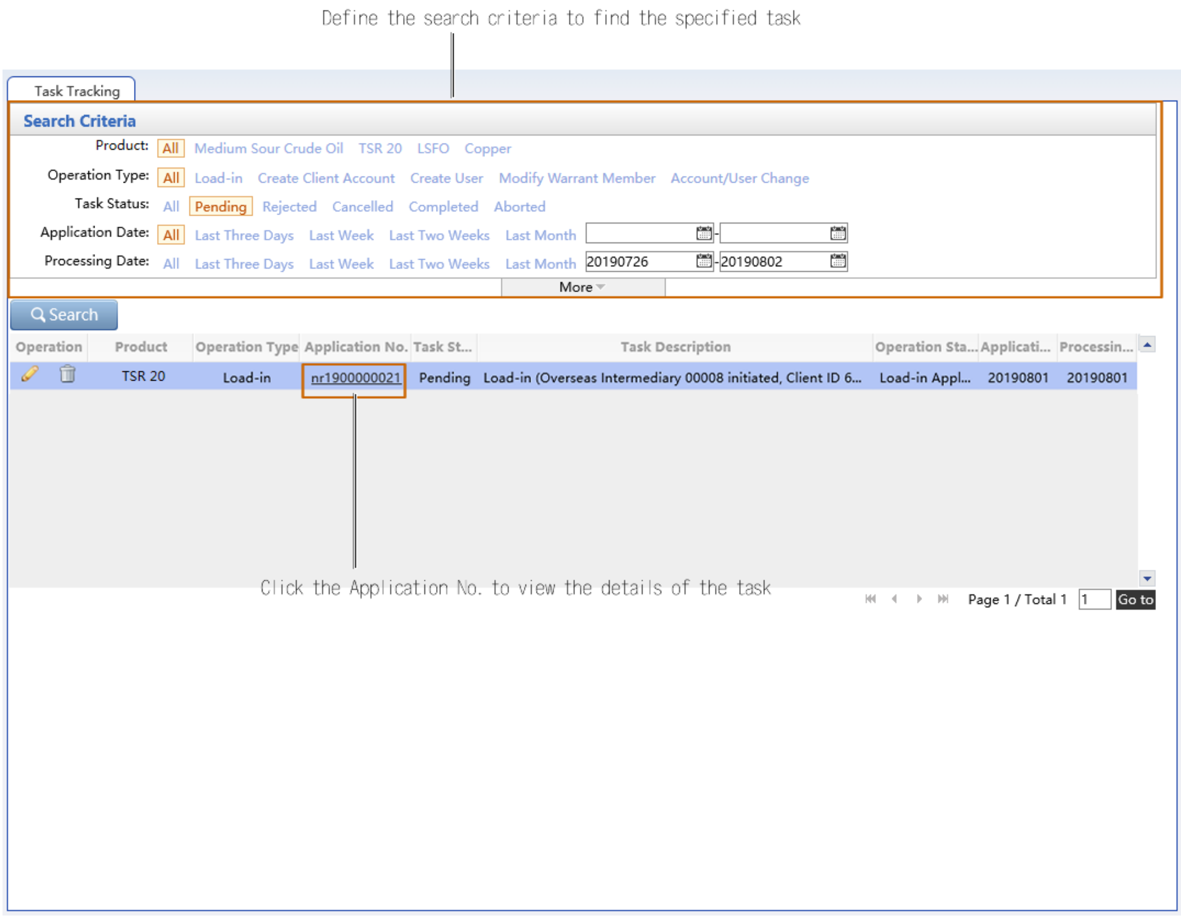
After the search criteria are defined, click the “Search” button to perform the search.



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 handle the corresponding to-do tasks.

Task Tracking

Overseas Intermediaries may view the status of tasks initiated by themselves as well as of 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.

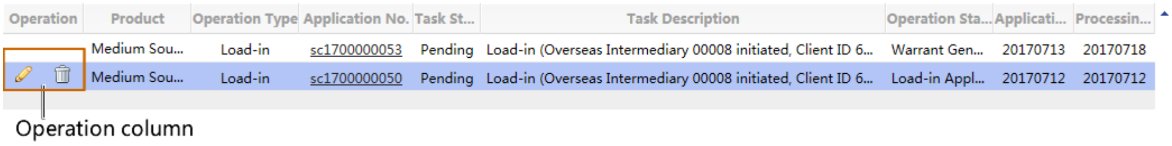


“Task Tracking” works in much the same way as “To-do”. First, define the search criteria at the top of the page:

- 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.

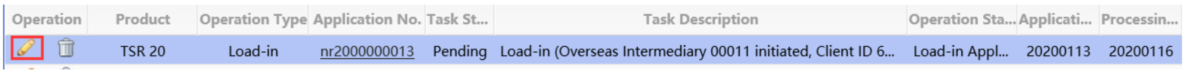
The first column under “Task Tracking” is “Operation”. Clicking on a button next to a record of interest will perform the corresponding action, such as **cancellation** or **modification**, for that record. Some records do not display any button; this means the current user is not permitted to perform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



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Load-in	sc1700000053	Pending	Load-in (Overseas Intermediary 00008 initiated, Client ID 6...	Warrant Gen...	20170713	20170718
	Medium Sou...	Load-in	sc1700000050	Pending	Load-in (Overseas Intermediary 00008 initiated, Client ID 6...	Load-in Appl...	20170712	20170712

Modify

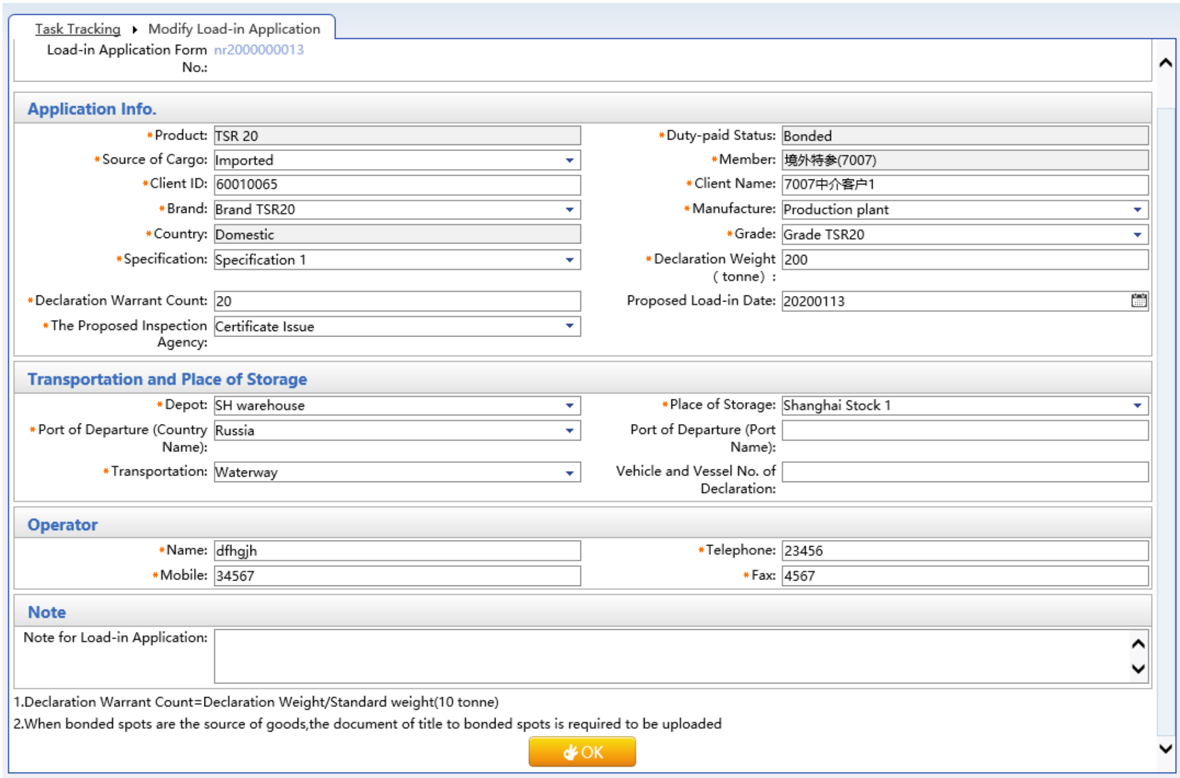
Click the “Modify” button ( ) of a record to edit the application submitted by a user but not yet processed by the user in the next process node.



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Load-in	nr2000000013	Pending	Load-in (Overseas Intermediary 00011 initiated, Client ID 6...	Load-in Appl...	20200113	20200116

(1)

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



Task Tracking ▸ Modify Load-in Application

Load-in Application Form No.: nr2000000013

Application Info.

*Product:	TSR 20	*Duty-paid Status:	Bonded
*Source of Cargo:	Imported	*Member:	境外特参(7007)
*Client ID:	60010065	*Client Name:	7007中介客户1
*Brand:	Brand TSR20	*Manufacture:	Production plant
*Country:	Domestic	*Grade:	Grade TSR20
*Specification:	Specification 1	*Declaration Weight (tonne) :	200
*Declaration Warrant Count:	20	Proposed Load-in Date:	20200113
*The Proposed Inspection Agency:	Certificate Issue		

Transportation and Place of Storage

*Depot:	SH warehouse	*Place of Storage:	Shanghai Stock 1
*Port of Departure (Country Name):	Russia	Port of Departure (Port Name):	
*Transportation:	Waterway	Vehicle and Vessel No. of Declaration:	

Operator

*Name:	dfhgjh	*Telephone:	23456
*Mobile:	34567	*Fax:	4567

Note

Note for Load-in Application:

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

2.When bonded spots are the source of goods,the document of title to bonded spots is required to be uploaded

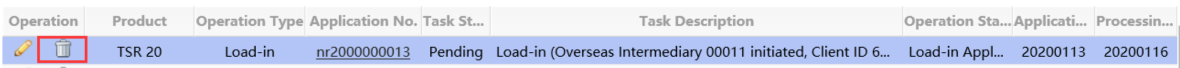
OK

(2)

Click the “OK” button to submit the modification.

Cancel/Withdraw

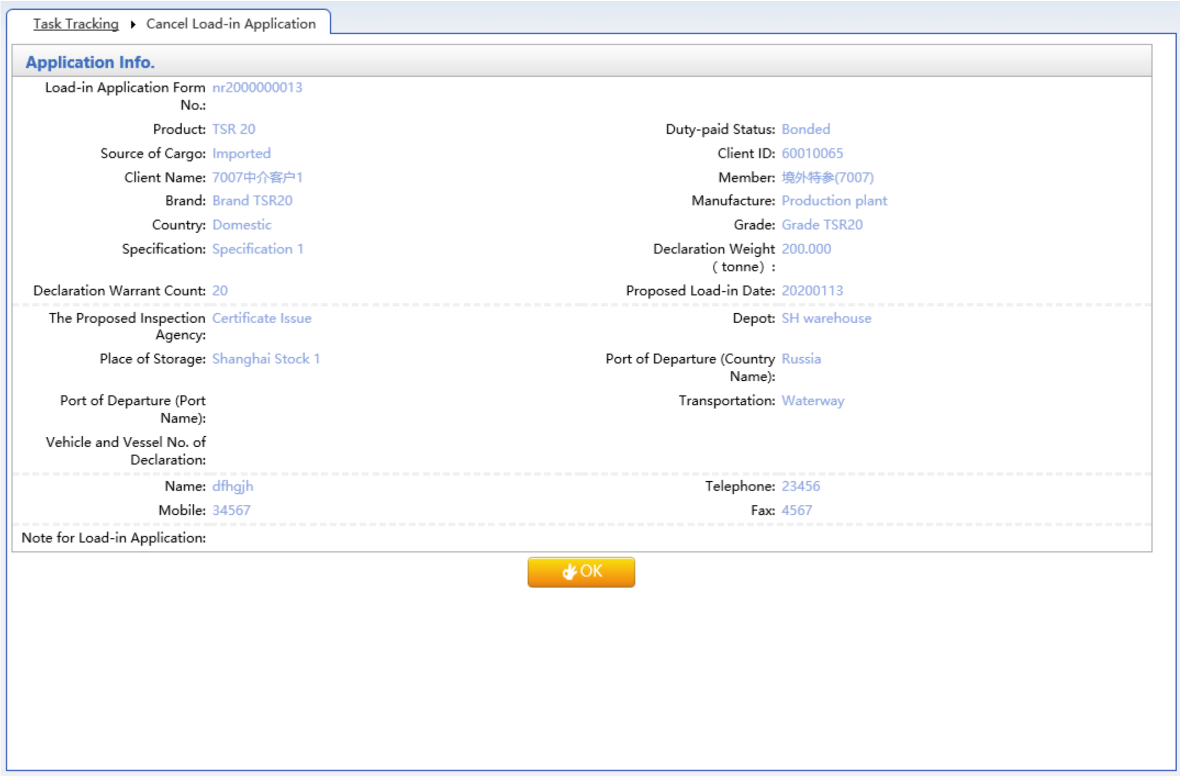
Click the “Cancel” button ( ) of a record to withdraw the application submitted by a user but not yet processed by the user in the next process node.



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Load-in	nr2000000013	Pending	Load-in (Overseas Intermediary 00011 initiated, Client ID 6...	Load-in Appl...	20200113	20200116

(1)

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

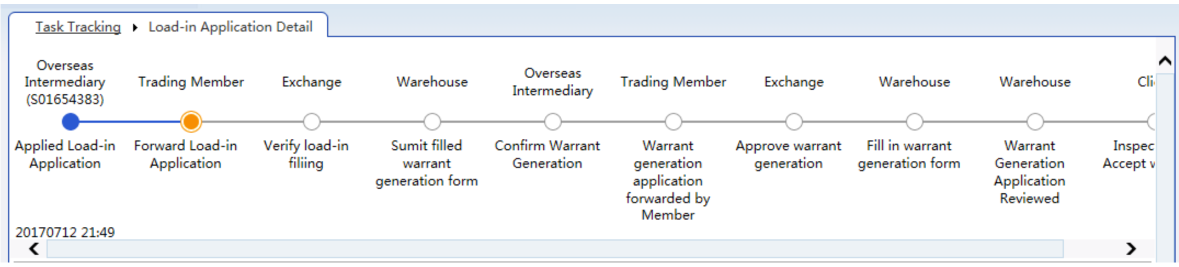


(2)

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:



: Blue circle indicates the task at this node has been finished;

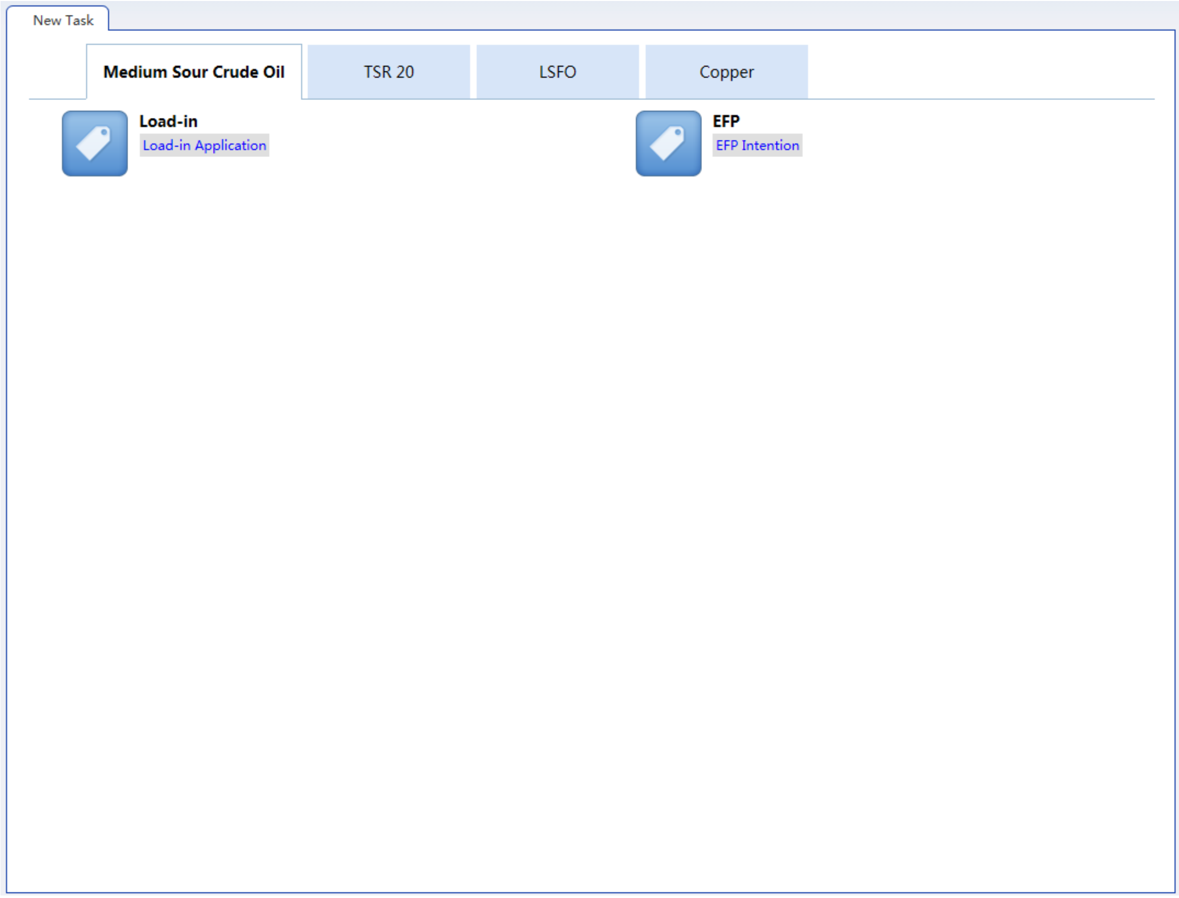
: Orange circle indicates the progress is at the node;

: White circle indicates the task at this node has not been finished yet.

: The process has ended after being rejected.

New Task

All new tasks that can be initiated by Overseas Intermediaries 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 load-in application task if you select the “Load-in Application”.



Chapter 4 Load-in

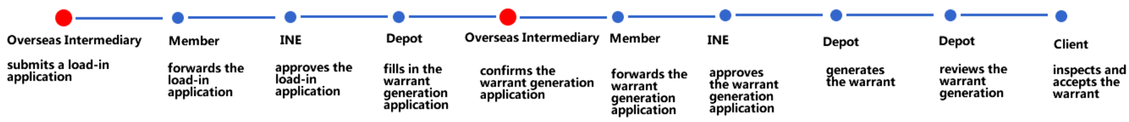
This Chapter describes the load-in operation by Overseas Intermediaries.

In the System, an Overseas Intermediary may submit the load-in application to initiate the load-in process. After the load-in application is approved by the Trading System and the depot, the Overseas Intermediary is also required to confirm the warrant generation application in the To-do Tasks of the System.

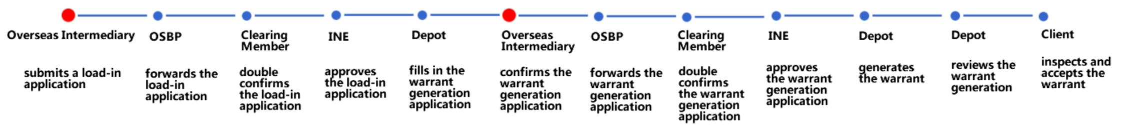
Note:

Overseas Intermediaries may open accounts with an FF Member or an OSBP. Since the OSBP cannot directly conduct clearing, it is required to authorize its Clearing Member to make the confirmation. Therefore, the process shall be supplemented with a double confirmation by a Clearing Member.

- The following illustrates the load-in process initiated by an Overseas Intermediary that opens an account with an FF Member:



- The following illustrates the load-in process initiated by an Overseas Intermediary that opens an account with an OSBP:



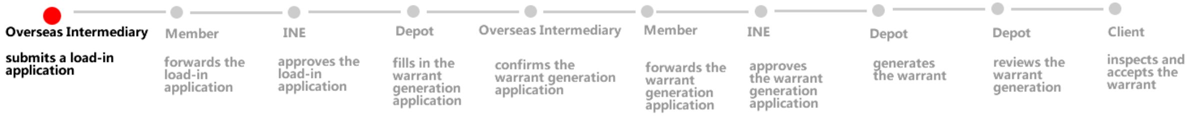
Product: Medium Sour Crude Oil

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

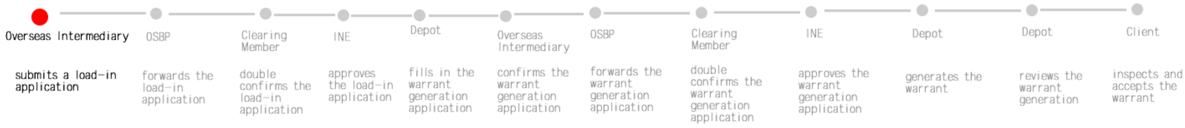
Submit a Load-in Application

First, the Overseas Intermediary submits a load-in application to initiate the process.

The load-in process initiated by an Overseas intermediary that opens the account with an FF.

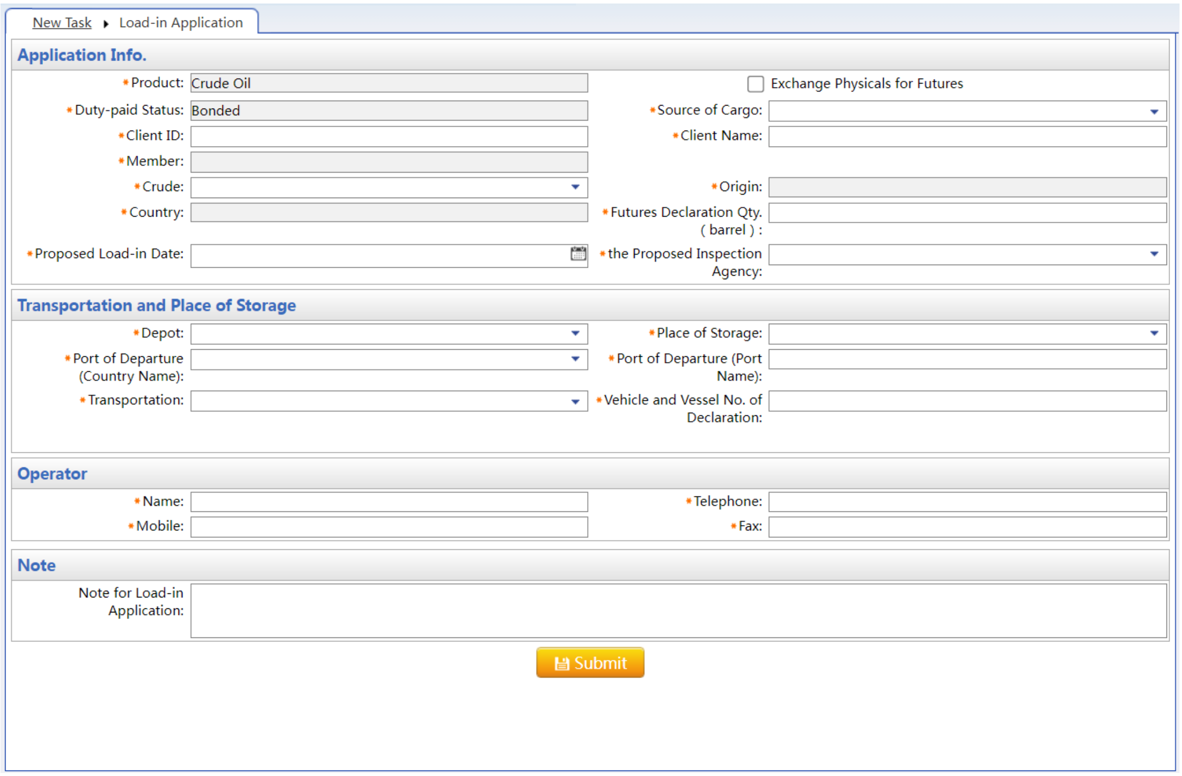


The load-in process initiated by an Overseas intermediary that opens the account with an OSBP is as shown below:



(1) The Overseas Intermediary may initiate the load-in application in “New Task”. First, enter the page of “New Task” through the navigation menu, and select the product (e.g. Medium & Sour Crude Oil) to submit the Load-in Application for Medium & Sour Crude Oil.

(2) The Overseas Intermediary may Submit a Load-in Application when the commodities are about to arrive at the depot, as shown below.

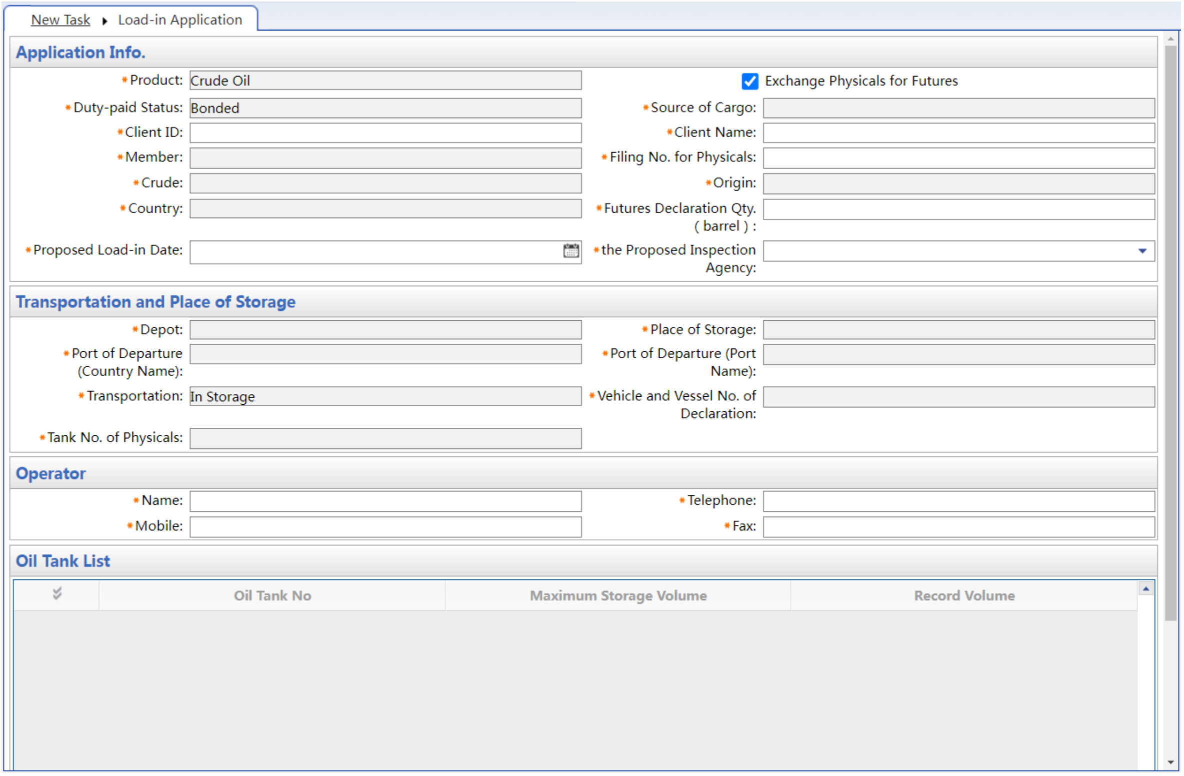


The Form of the Load-in Application consists of 3 sections. Please fill in all the sections in sequence as follows:

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

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

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



- **Application Information:** Fill in the information relating to the application. You need to input the "Physicals Filing No.", leave the details on the "Transport and Place of Storage" in blank and the "Transportation" will show "Stock-in" in default.

  Note: A Physicals Filing No. that has been cancelled can be reused here.

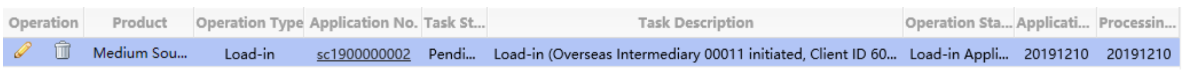
- **Transportation and Place of Storage:** it is not editable, Information that has been entered in Physicals Filing.
- **Operator**.
- **Oil Tank List:** Select the oil tanks indicated in the corresponding physicals filing to complete this load-in application.

Note:

A textbox with a grey background means that it is not editable.

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

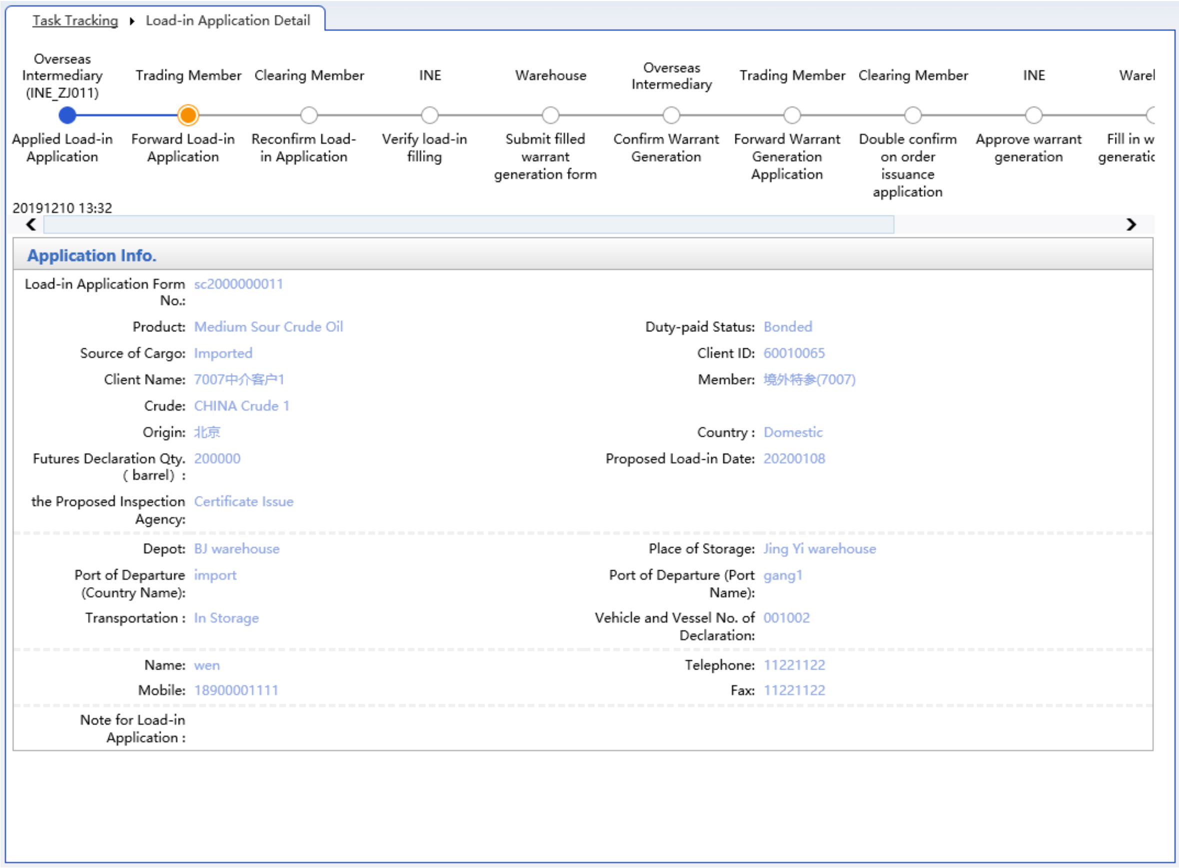
(3)



Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	Medium Sou...	Load-in	sc1900000002	Pendi...	Load-in (Overseas Intermediary 00011 initiated, Client ID 60...	Load-in Appli...	20191210	20191210

The Overseas Intermediary may track the load-in application in "Task Tracking". Before the Member or the OSBP forwards the application, the Overseas Intermediary may modify or cancel the application by clicking the icons in the operation column, or click the "Application No." to view the progress of the task.

Click the "Application No." to view the details on the load-in application.

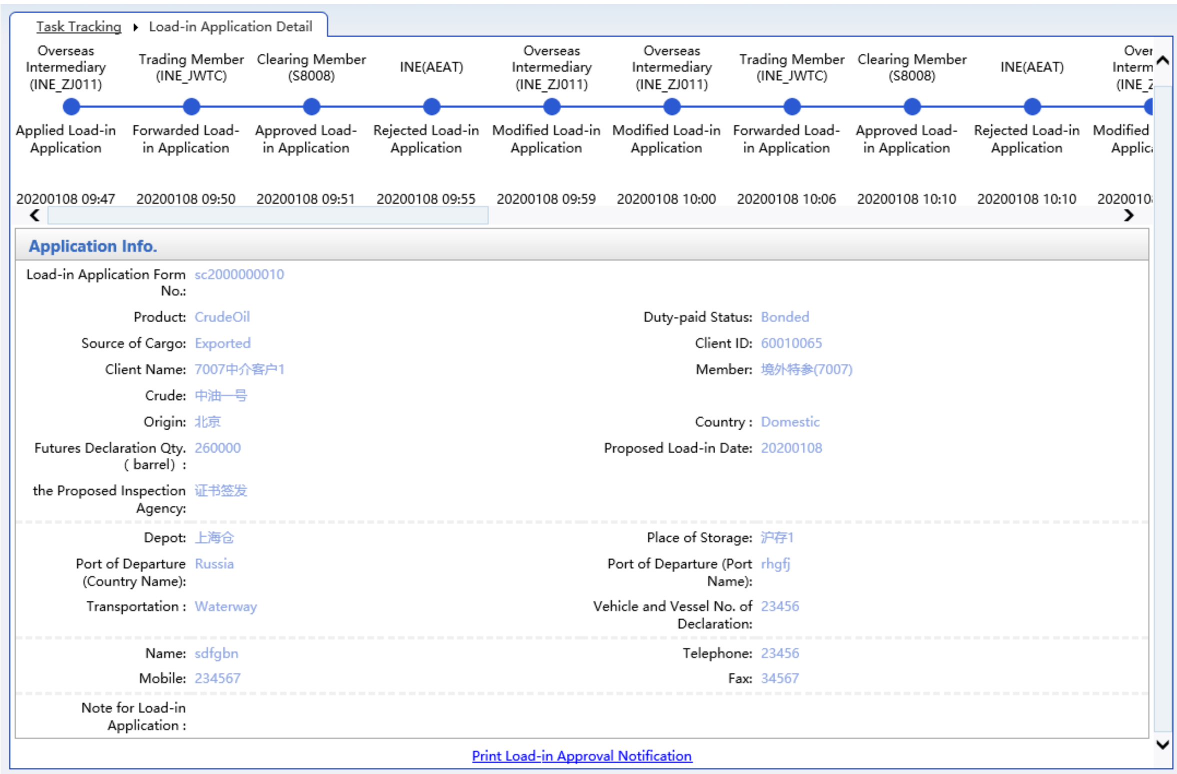


Print the Load-in Approval Notification

After the load-in application submitted by an Overseas Intermediary is approved by the Exchange, the Overseas Intermediary may print out the Load-in Approval Notification through "Task Tracking" or "Load-in Application Query".

(1) Define the search criteria accordingly in "Task Tracking" or "Load-in Application Query" to locate the task.

(2) Click the "Application No." for this task to enter the "Load-in Application Detail" page:



(3) Click “Print Load-in Approval Notification” at the bottom of the page to enter the “Load-in Application/Approval Notice” preview page:

Page1/2 FirstPage PrevPage NextPage LastPage SaveAsExcel SaveAsPDF Print

Shanghai International Energy Exchange

Load-in Application/Approval Notice for CrudeOil

Designated Delivery Storage Facility:上海物流仓库 Load-in Filing No.:sc2000000010

Customs Clearance Status	Bonded	Source of Cargo	Exported
Member ID	8008	Member Name	8008
OSP ID	7007	OSP Name	境外特参
Overseas Intermediary ID	00011	Overseas Internediary Name	中介LD1
Client ID	60010065	Client Name	7007中介客户1
Grade of Crude	中油一号	Origin	北京
Declared Futures Qty (barrel)	260000	Declared Physical Qty (barrel)	0
Transportaion	Waterway	Country	Domestic
Port of Departure	Russia-rhgfj	Vehicle& Vessel No.	23456
Proposed Load-in Date	20200108	Proposed Inspection Agency	证书签发
Operator	sdfgbn	Tel.	23456
Mobile	234567	Fax	34567
Load-in Deposit (Yuan)	1,800,000.00		
Remarks			

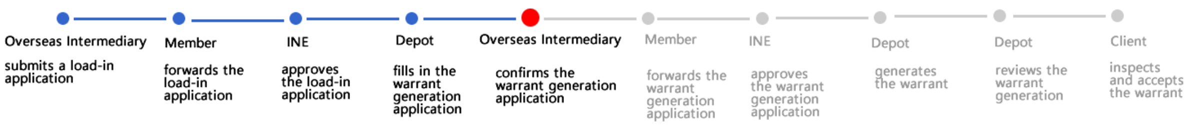
Notes:

Page1/2 FirstPage PrevPage NextPage LastPage SaveAsExcel SaveAsPDF Print

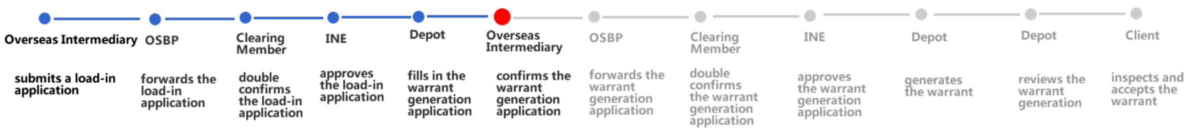
Click the “Print” button and follow the instructions to finish printing.

Confirm a Warrant Generation Application

After the load-in application submitted by the Overseas Intermediary, forwarded by the Member and approved by the Exchange, the depot will fill in a warrant generation application that needs to be confirmed by the Overseas Intermediary.



Note: As for the Overseas Intermediary that opens the account with an OSBP, the process is required to be supplemented with the double confirmation by a Clearing Member (since the OSBP is not allowed to conduct the clearing at the Exchange), as shown below:

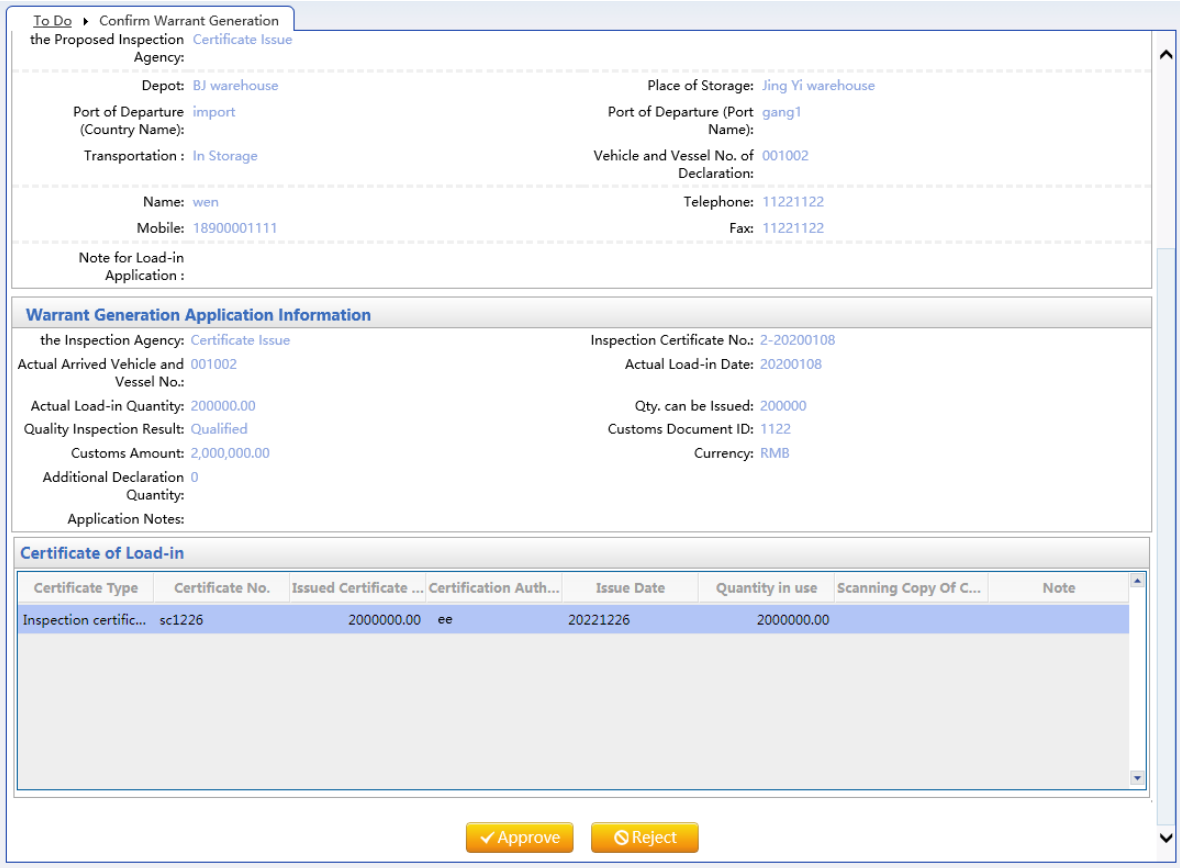


(1) The Overseas Intermediary may confirm the warrant generation application in the To-do Tasks.

Product	Operation T...	Application No.	Task Description	Operation Stat...	Applicatio...	Applicatio...	Processin...	Processing...
Medium So...	Load-in	sc2000000011	Load-in (Overseas Intermediary 00011 initiated, Client I...	Application S...	20200108	13:33:49	20200108	15:50:29

In the page of To-do Tasks, set the "Operation type" as "Load-in" and find the records with operation status as "Warrant Generation Application Submitted". Click the "Application No." to enter the page for confirmation.

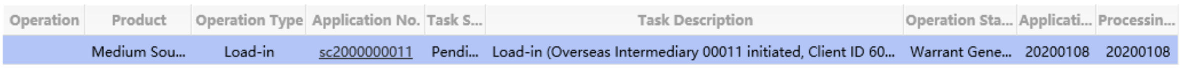
(2)



Perform the following steps at the lower part of the page of the confirm warrant generation application:

- **Approve**: the Overseas Intermediary approves the warrant generation application and proceeds to the next step where the Exchange reviews and approves the Warrant Generation Application.
- **Reject**: Fill in the reason for the rejection and send the application back to the depot. The depot may re-submit the application after modification.

(3) After the warrant generation application is approved/confirmed, you can track the load-in application in "Task Tracking". Click the Application No. to view the progress details.



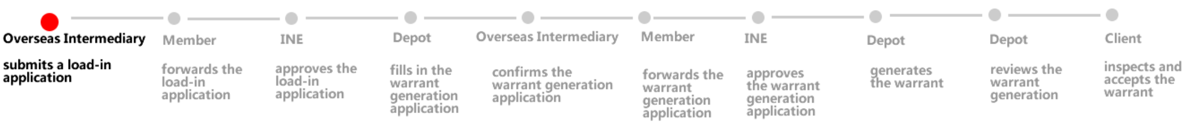
Product: TSR 20, Copper

This section uses TSR 20 to illustrate the specific operations to be taken by an Overseas Intermediary at each process node for the load-in of TSR 20 and Copper.

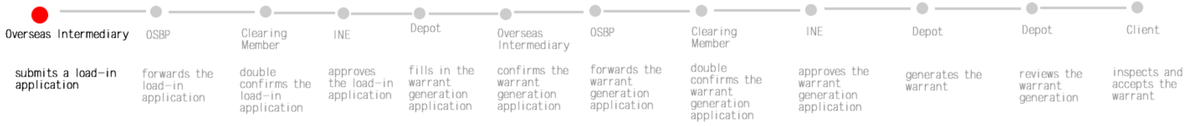
Submit a Load-in Application

The Overseas Intermediary initiates the process by filling out a load-in application.

The following diagram illustrates the load-in process initiated by an Overseas Intermediary that has opened an account with an FF Member:

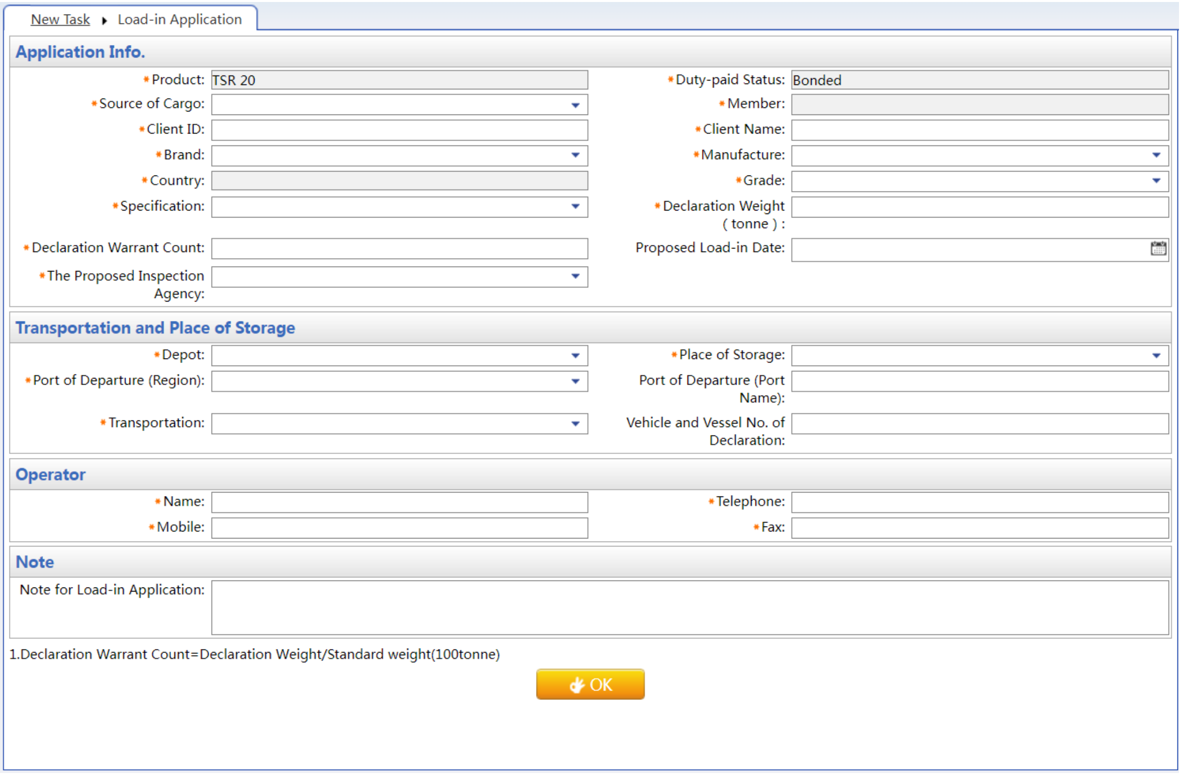


The following diagram illustrates the load-in process initiated by an Overseas Intermediary that has opened an account with an OSBP:



(1) From the navigation menu, select “New Task” --> “TSR 20” --> “Load-in Application” to enter the load-in application page for TSR 20.

(2) The Overseas Intermediary may directly submit a load-in application when the physicals are about to arrive at the depot, as shown below.



New Task ▸ Load-in Application

Application Info.

•Product:	TSR 20	•Duty-paid Status:	Bonded
•Source of Cargo:		•Member:	
•Client ID:		•Client Name:	
•Brand:		•Manufacture:	
•Country:		•Grade:	
•Specification:		•Declaration Weight (tonne) :	
•Declaration Warrant Count:		Proposed Load-in Date:	
•The Proposed Inspection Agency:			

Transportation and Place of Storage

•Depot:		•Place of Storage:	
•Port of Departure (Region):		Port of Departure (Port Name):	
•Transportation:		Vehicle and Vessel No. of Declaration:	

Operator

•Name:		•Telephone:	
•Mobile:		•Fax:	

Note

Note for Load-in Application:

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

OK

The Load-in Application page consists of 4 sections. Please fill out all sections in sequence:

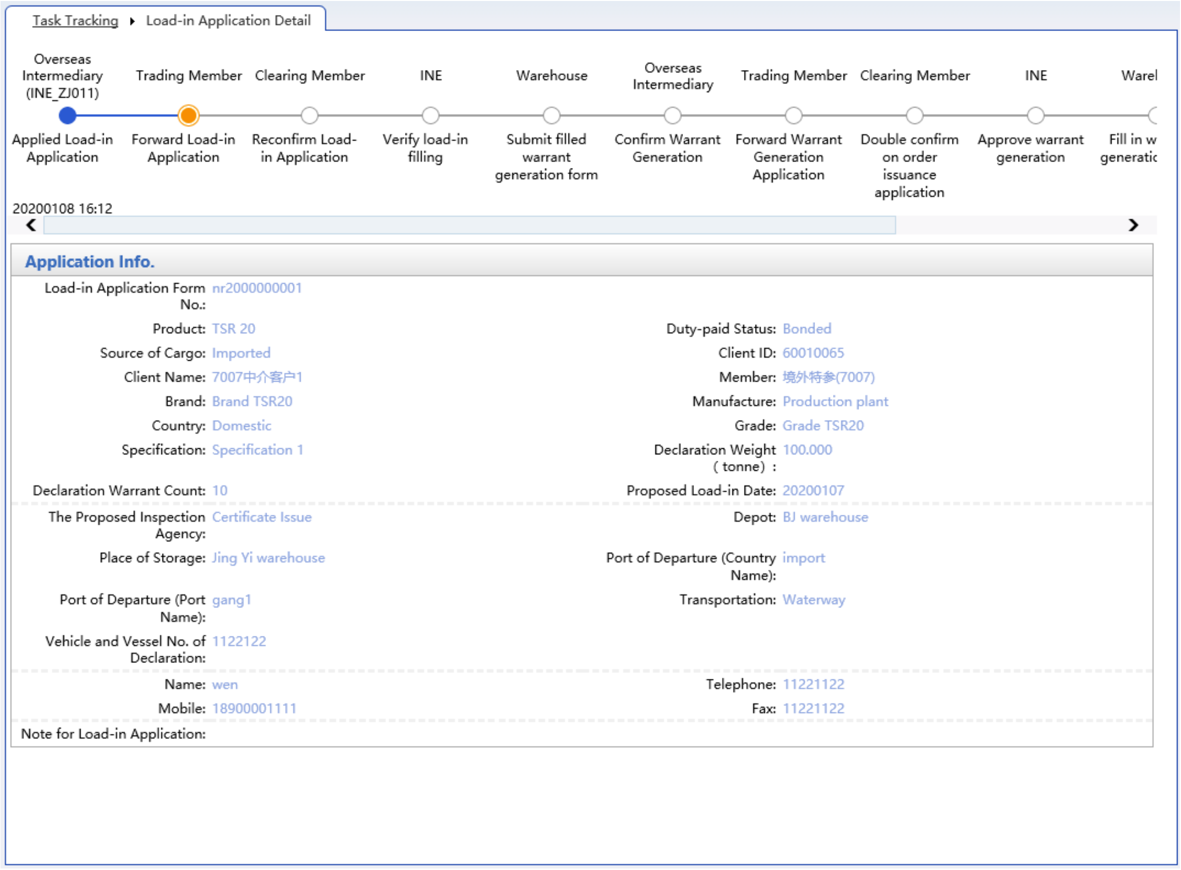
- **Application Information:** Enter the information for this application. Greyed-out textboxes are not editable. The Declaration Warrant Count must be equal to the Declaration Weight divided by the standard weight.
- **Transportation and Place of Storage**
- **Operator**
- **Note**

Note: Please note the instructions at the bottom of the textboxes when completing this form.

(3) Following submission, the load-in application can be found in “Task Tracking”. Before the application is forwarded by the relevant Member or OSBP, the Overseas Intermediary may click the icons in the Operation column to modify or cancel it, or click the “Application No.” to view the progress of the task.

Operation	Product	Operation Type	Application No.	Task St...	Task Description	Operation Sta...	Applicati...	Processin...
	TSR 20	Load-in	nr2000000001	Pendi...	Load-in (Overseas Intermediary 00011 initiated, Client ID 60...	Load-in Appli...	20200108	20200108

Click the “Application No.” to view the details of this load-in application.

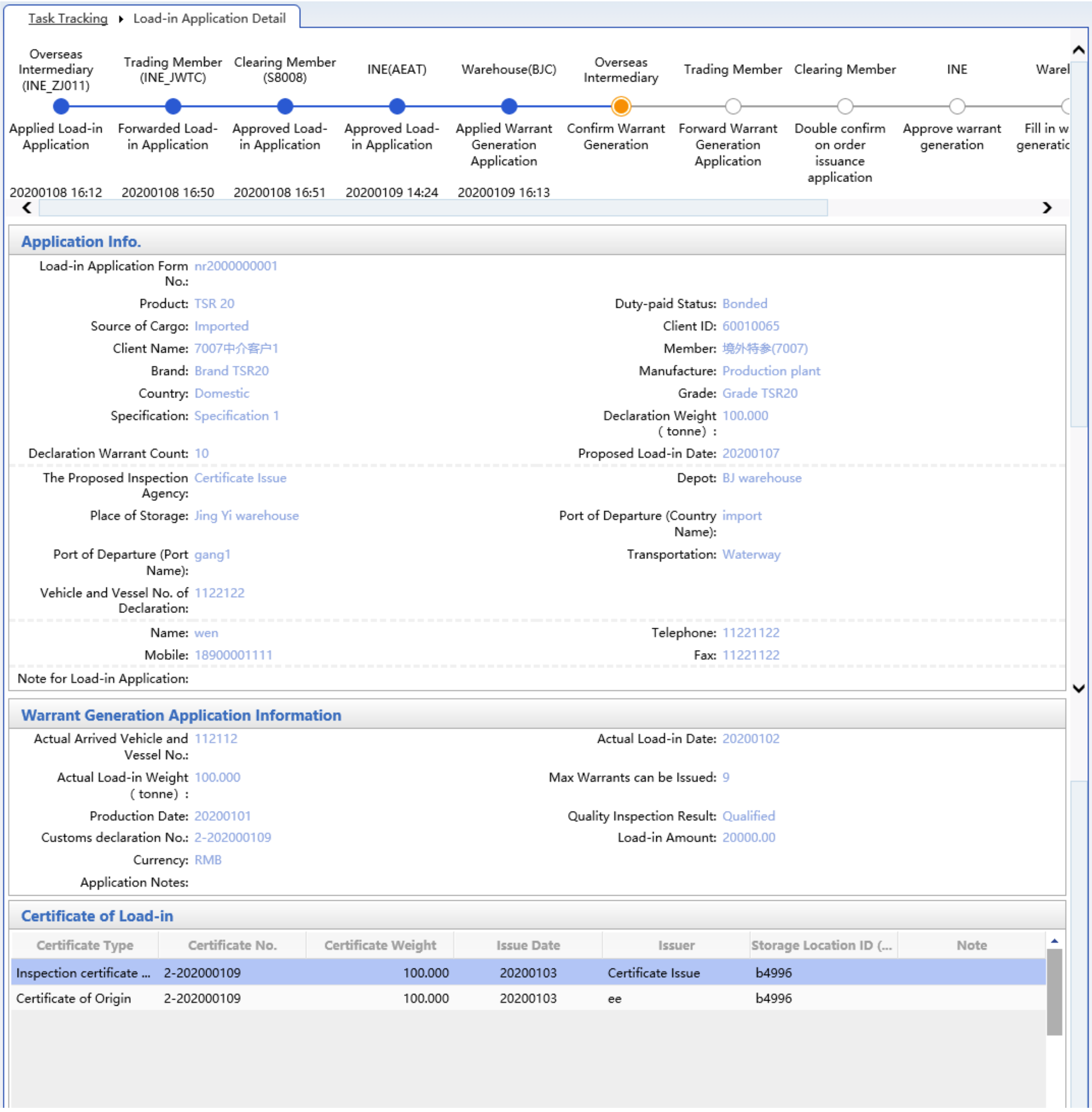


Print the Load-in Approval Notification

After the load-in application submitted by an Overseas Intermediary is approved by the Exchange, the Overseas Intermediary may print out the Load-in Approval Notification through “Task Tracking” or “Load-in Application Query”.

(1) Define the search criteria accordingly in “Task Tracking” or “Load-in Application Query” to locate the task.

(2) Click the “Application No.” for this task to enter the “Load-in Application Detail” page:


Task Tracking ▸ Load-in Application Detail

Overseas Intermediary (INE_ZJ011)	Trading Member (INE_JWTC)	Clearing Member (S8008)	INE(AEAT)	Warehouse(BJC)	Overseas Intermediary	Trading Member	Clearing Member	INE	Warel
Applied Load-in Application	Forwarded Load-in Application	Approved Load-in Application	Approved Load-in Application	Applied Warrant Generation Application	Confirm Warrant Generation	Forward Warrant Generation Application	Double confirm on order issuance application	Approve warrant generation	Fill in w generatic
20200108 16:12	20200108 16:50	20200108 16:51	20200109 14:24	20200109 16:13					

Application Info.

Load-in Application Form No.: nr2000000001

Product: TSR 20 — Duty-paid Status: Bonded

Source of Cargo: Imported — Client ID: 60010065

Client Name: 7007中介客户1 — Member: 境外特参(7007)

Brand: Brand TSR20 — Manufacture: Production plant

Country: Domestic — Grade: Grade TSR20

Specification: Specification 1 — Declaration Weight (tonne) : 100.000

Declaration Warrant Count: 10 — Proposed Load-in Date: 20200107

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: Waterway

Vehicle and Vessel No. of Declaration: 1122122

Name: wen — Telephone: 11221122

Mobile: 18900001111 — Fax: 11221122

Note for Load-in Application:

Warrant Generation Application Information

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

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

Production Date: 20200101 — Quality Inspection Result: Qualified

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

Currency: RMB

Application Notes:

Certificate of Load-in

Certificate Type	Certificate No.	Certificate Weight	Issue Date	Issuer	Storage Location ID (...	Note
Inspection certificate ...	2-202000109	100.000	20200103	Certificate Issue	b4996	
Certificate of Origin	2-202000109	100.000	20200103	ee	b4996	

(3) Click “Print Load-in Approval Notification” at the bottom of the page to enter the “Load-in Application/Approval Notice” preview page:

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Shanghai International Energy Exchange

Load-in Application/Approval Notice for TSR 20

Load-in Filing No.:nr2000000001

Customs Clearance Status	Bonded	Source of Cargo	Imported
Member ID	8008	Member Name	8008
OSP ID	7007	OSP Name	境外特参
Overseas Intermediary ID	00011	Overseas Intermediary Name	中介LD1
Client ID	60010065	Client Name	7007中介客户1
Designated Delivery Storage Facility	BJ warehouse	Place of Storage	Jing Yi warehouse
Grade/Spec	Grade TSR20/ Specification 1	Mfg	Production plant
Brand	Brand TSR20		
Declaration Volume	10	Declaration Weight (tonne)	100
Transportation	Waterway	Country	Domestic
Port of Departure	import	Vehicle And Vessel No. of Declaration	1122122
Proposed Load-in Date	20200107	Proposed Inspection Agency	Certificate Issue
Operator	wen	Tel.	11221122
Mobile	18900001111	Fax	11221122
Remarks			

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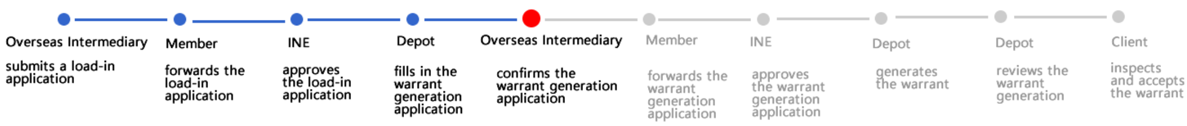
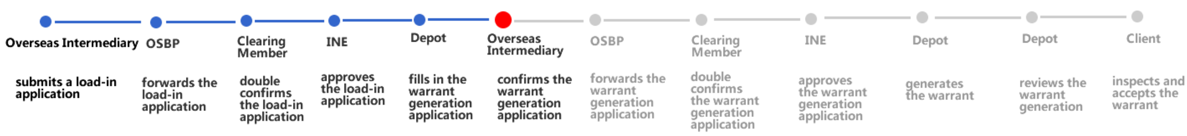
Click the “Print” button and follow the instructions to finish printing.

Confirm Warrant Generation Application

After the load-in application from the Overseas Intermediary is forwarded by the Member and approved by the Exchange, the depot will fill out a warrant generation/creation application that needs to be confirmed by the Overseas Intermediary.



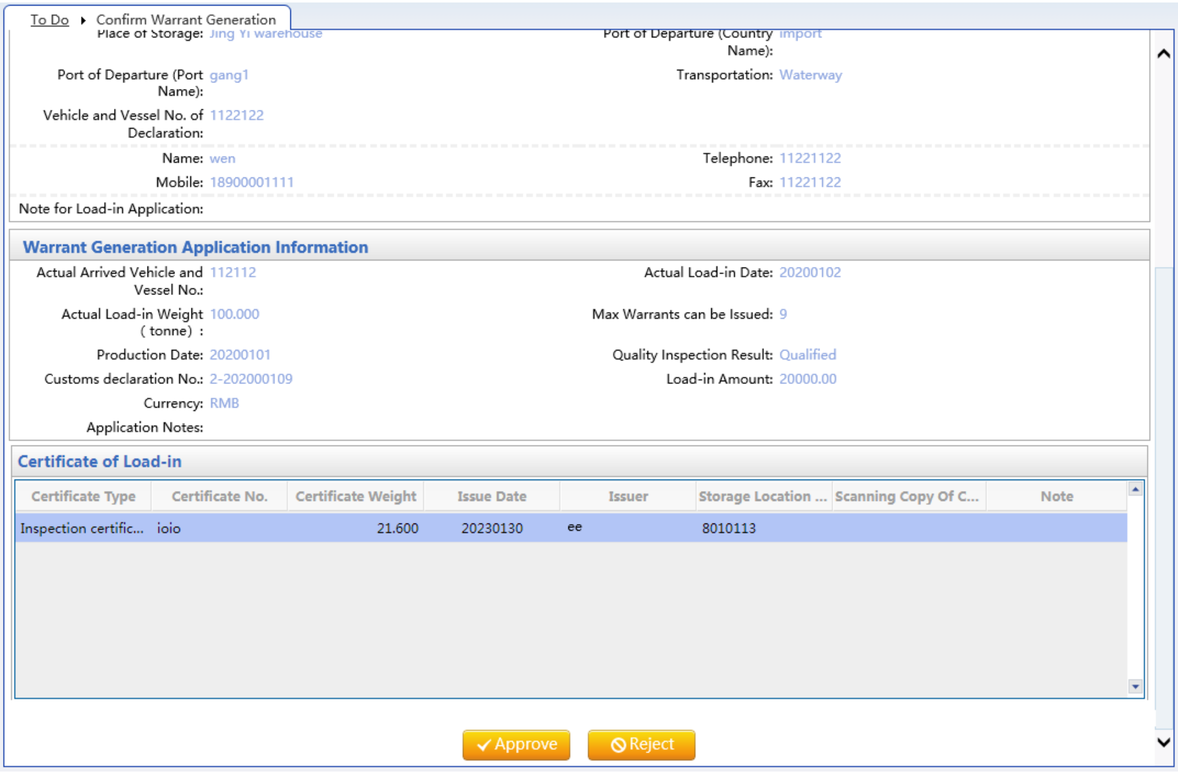
Note: If the Overseas Intermediary is carried by an OSBP, confirmation by the relevant Clearing Member is needed in addition (because the OSBP is not permitted to clear trades at the Exchange), as shown below:



(1) The Overseas Intermediary may confirm the warrant generation application in “To do”. In “To-do”, define the search criteria accordingly to locate the task.

Product	Operation T...	Application No.	Task Description	Operation Sta...	Applicatio...	Applicatio...	Processin...	Processing...
TSR 20	Load-in	nr2000000001	Load-in (Overseas Intermediary 00011 initiated, Client I...	Application S...	20200108	16:12:56	20200109	16:13:43

(2) Click the “Application No.” to enter the Confirm Warrant Generation page.

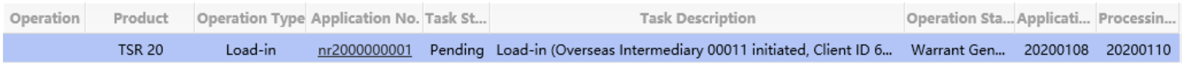


The following actions may be taken at the bottom of the page:

- **Approve**: The Overseas Intermediary approves the warrant generation application and the process enters the next stage where the application is to be reviewed and approved by the Exchange.

- **Reject**: Fill in the reason for the rejection and send the application back to the depot. The depot may modify and re-submit the application.

(3) After the warrant generation application is confirmed, track the load-in application in “Task Tracking”. Click the “Application No.” to view the progress details.



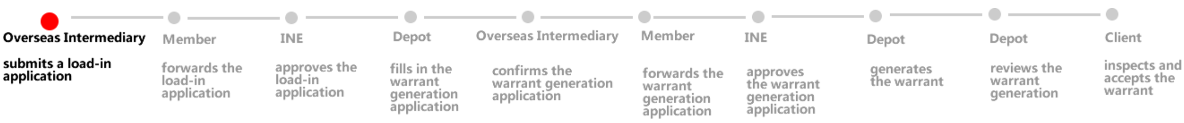
Product: LSFO

This section describes the specific operations to be taken by an Overseas Intermediary at each process node for the load-in of LSFO.

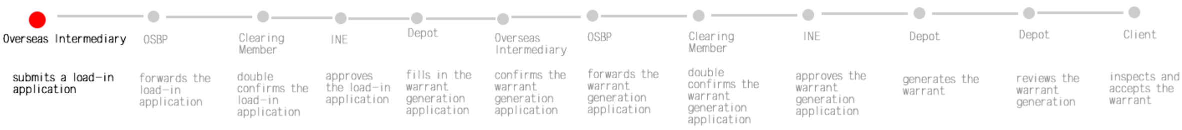
Submit a Load-in Application

The Overseas Intermediary initiates the process by filling out a load-in application.

The following diagram illustrates the load-in process initiated by an Overseas Intermediary that has opened an account with an FF Member:

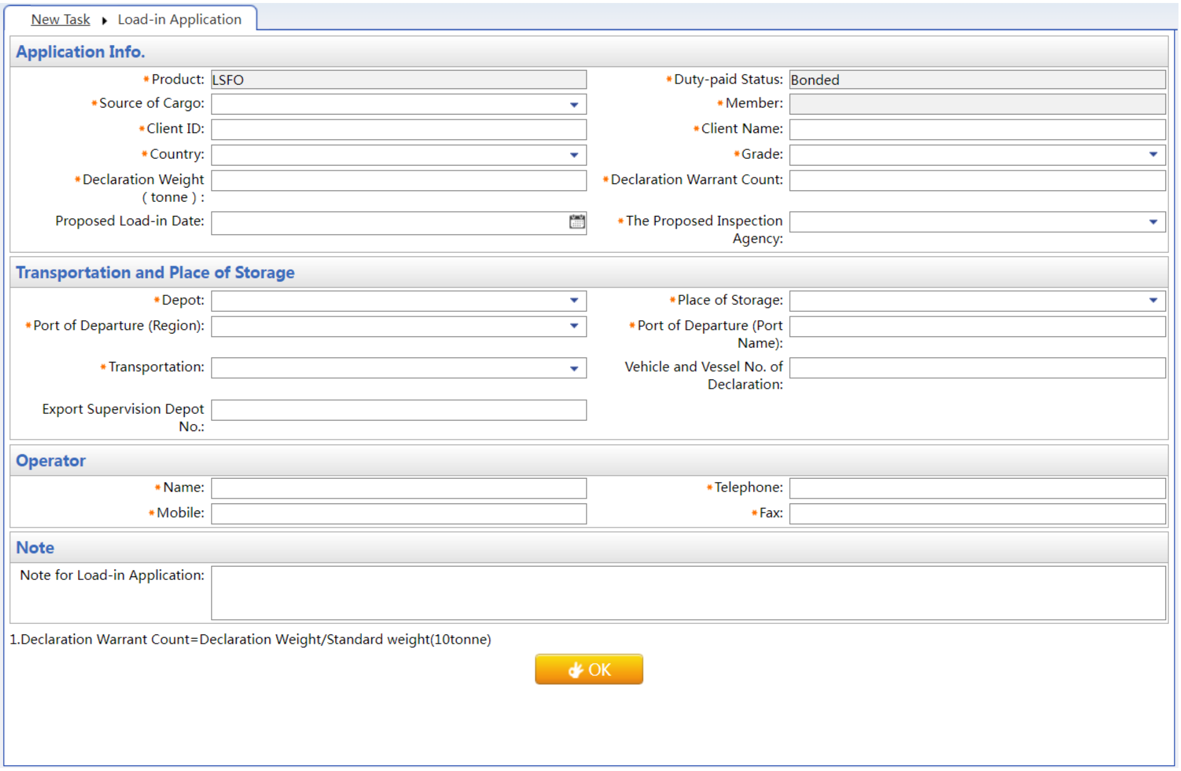


The following diagram illustrates the load-in process initiated by an Overseas Intermediary that has opened an account with an OSBP:



(1) From the navigation menu, select “New Task” --> “LSFO” --> “Load-in Application” to enter the load-in application page for LSFO.

(2) The Overseas Intermediary may directly submit a load-in application when the physicals are about to arrive at the depot, as shown below.

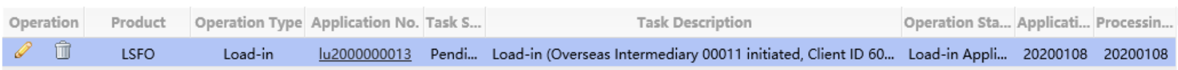


The Load-in Application page consists of 4 sections. Please fill out all sections in sequence:

- **Application Information:** Enter the information for this application. Greyed-out textboxes are not editable. The Declaration Warrant Count must be equal to the Declaration Weight divided by the standard weight.
- **Transportation and Place of Storage**
- **Operator**
- **Note**

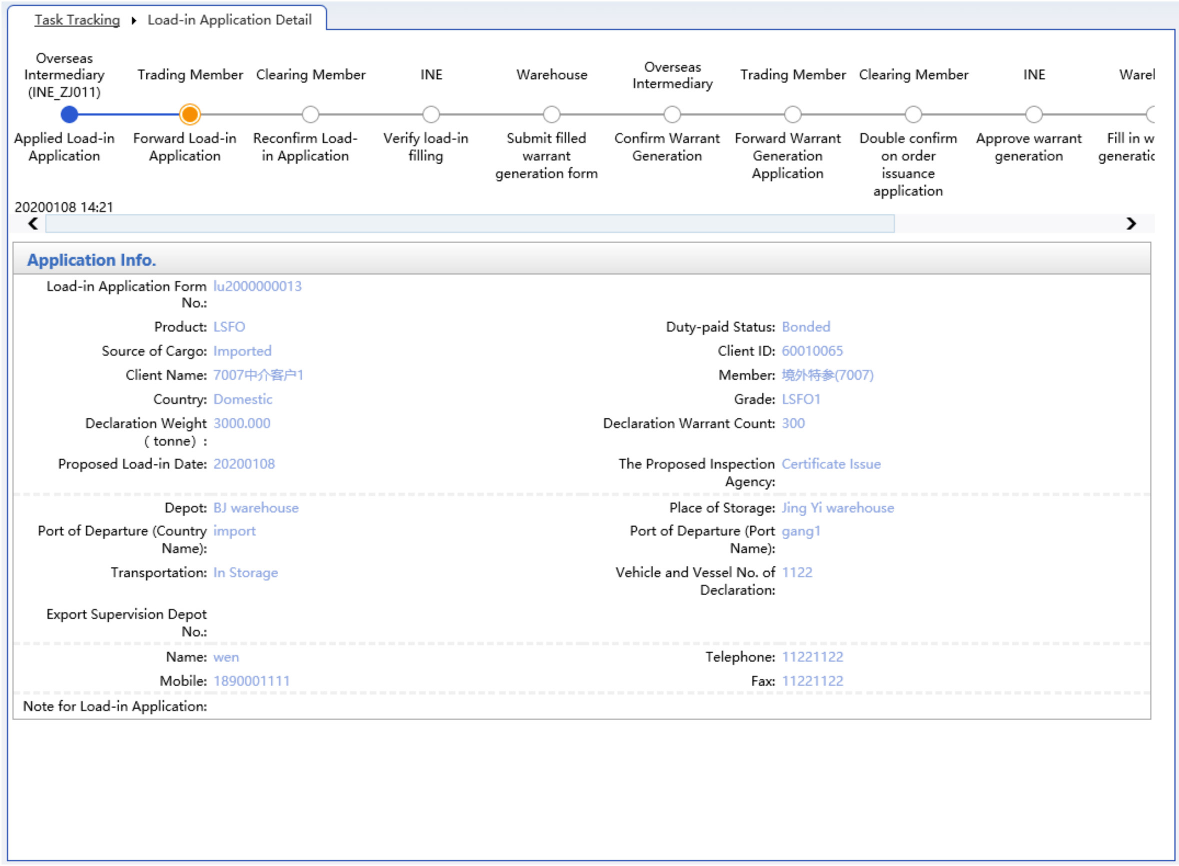
Note: Please note the instructions at the bottom of the textboxes when completing this form.

(3) Following submission, the load-in application can be found in “Task Tracking”. Before the application is forwarded by the relevant Member or OSBP, the Overseas Intermediary may click the icons in the Operation column to modify or cancel it, or click the “Application No.” to view the progress of the task.



Operation	Product	Operation Type	Application No.	Task S...	Task Description	Operation Sta...	Applicati...	Processin...
	LSFO	Load-in	lu2000000013	Pendi...	Load-in (Overseas Intermediary 00011 initiated, Client ID 60...	Load-in Appli...	20200108	20200108

Click the “Application No.” to view the details of this load-in application.



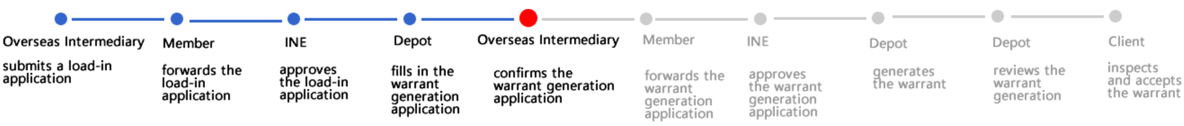
Print the Load-in Approval Notification

After the load-in application submitted by an Overseas Intermediary is approved by the Exchange, the Overseas Intermediary may print out the Load-in Approval Notification through "Task Tracking" or "Load-in Application Query".

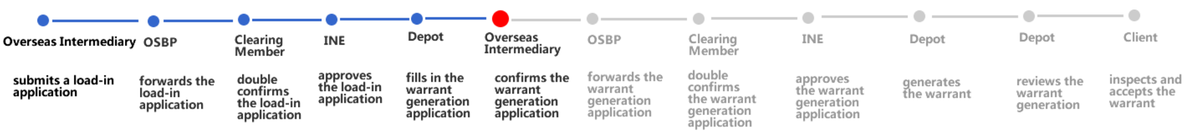
Please see the corresponding section for TSR 20 for the specific steps.

Confirm a Warrant Generation Application

After the load-in application from the Overseas Intermediary is forwarded by the Member and approved by the Exchange, the depot will fill out a warrant generation/creation application that needs to be confirmed by the Overseas Intermediary.



Note: If the Overseas Intermediary is carried by an OSBP, confirmation by the relevant Clearing Member is needed in addition (because the OSBP is not permitted to clear trades at the Exchange), as shown below:



Please see the corresponding section for TSR 20 for the specific steps.

Chapter 5 EFP

Overseas Intermediaries 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. Meanwhile, Overseas Intermediaries may query all their EFP intentions.

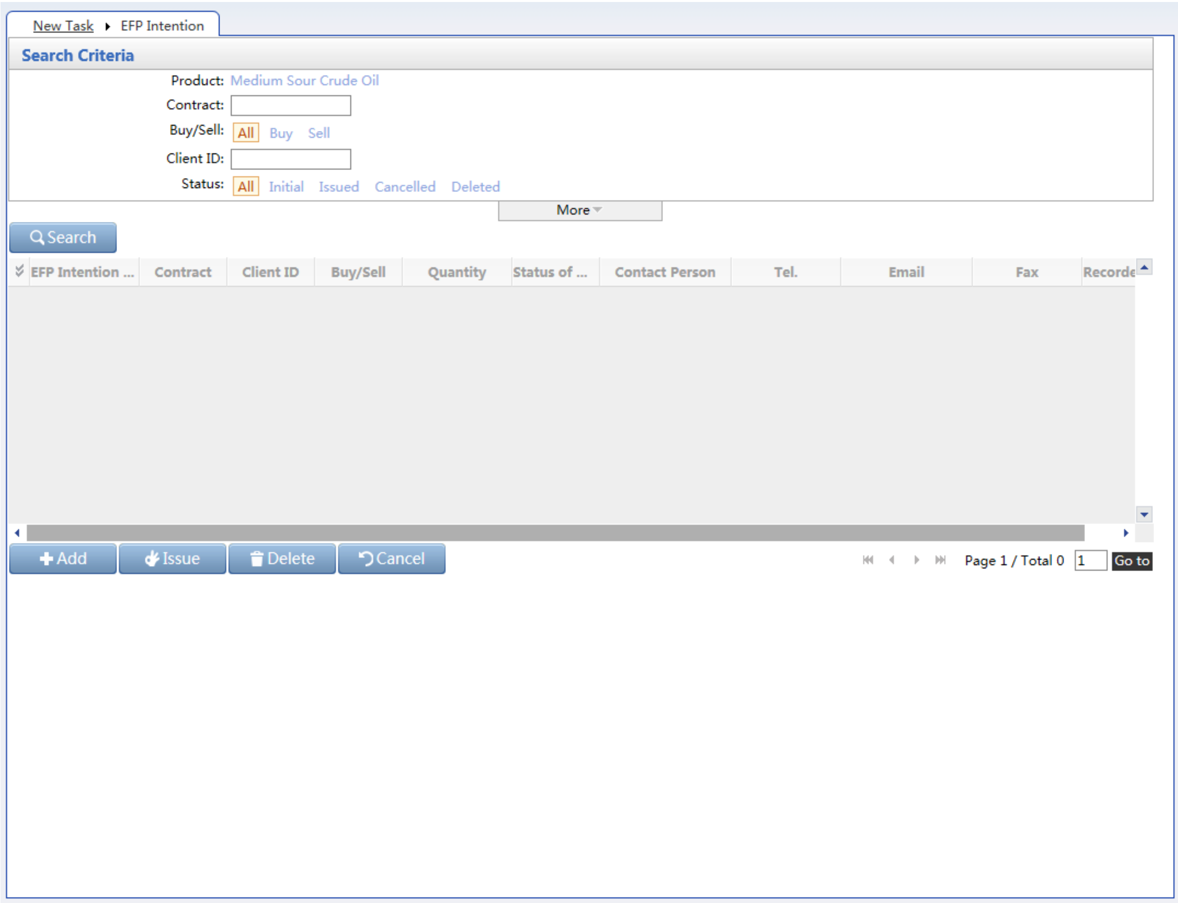
Product: Medium Sour Crude Oil

This section describes the specific operations to be taken by an Overseas Intermediary at each process node for the EFP of Medium Sour Crude Oil.

EFP Intention

(1) From the navigation menu, select “New Task” --> “Medium Sour Crude Oil” --> “EFP Intention” to enter the page for creating an EFP intention for Medium Sour Crude Oil.

(2)

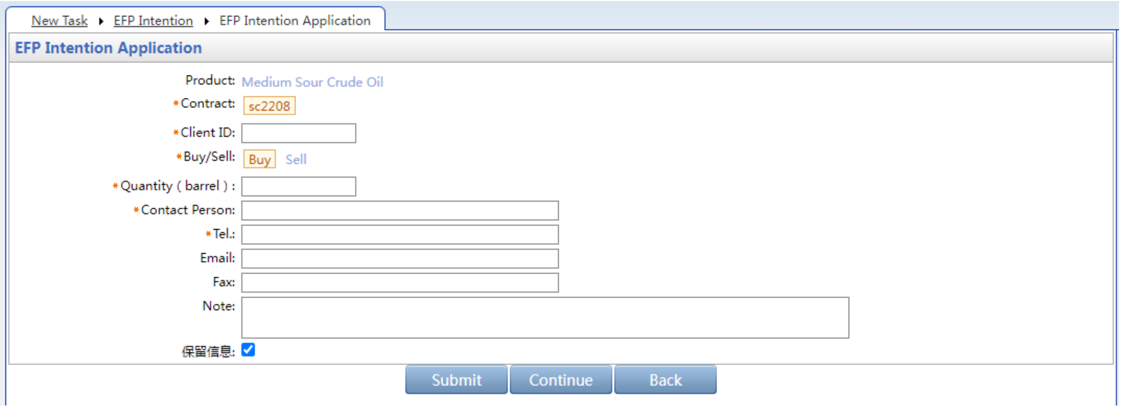


The page will display all existing EFP intentions. You can perform the following actions at the bottom of the page:

- **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.



- **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:** Select an EFP intention with the status of “Initial” and click the “Delete” button. The System will ask you to confirm the deletion. Click “OK” to confirm.
- **Issue:** Select an EFP intention with the status of “Initial” and click the “Issue” button. The System will ask you to confirm the issuance. Click “OK” to confirm and the status will change to “Posted”.
- **Cancel:** Select an EFP intention with the status of “Posted” and click the “Cancel” button to withdraw an issued intention.

(3) You may view all of your EFP intentions through General Query. See "General Query" → "EFP Intention Query" for details.

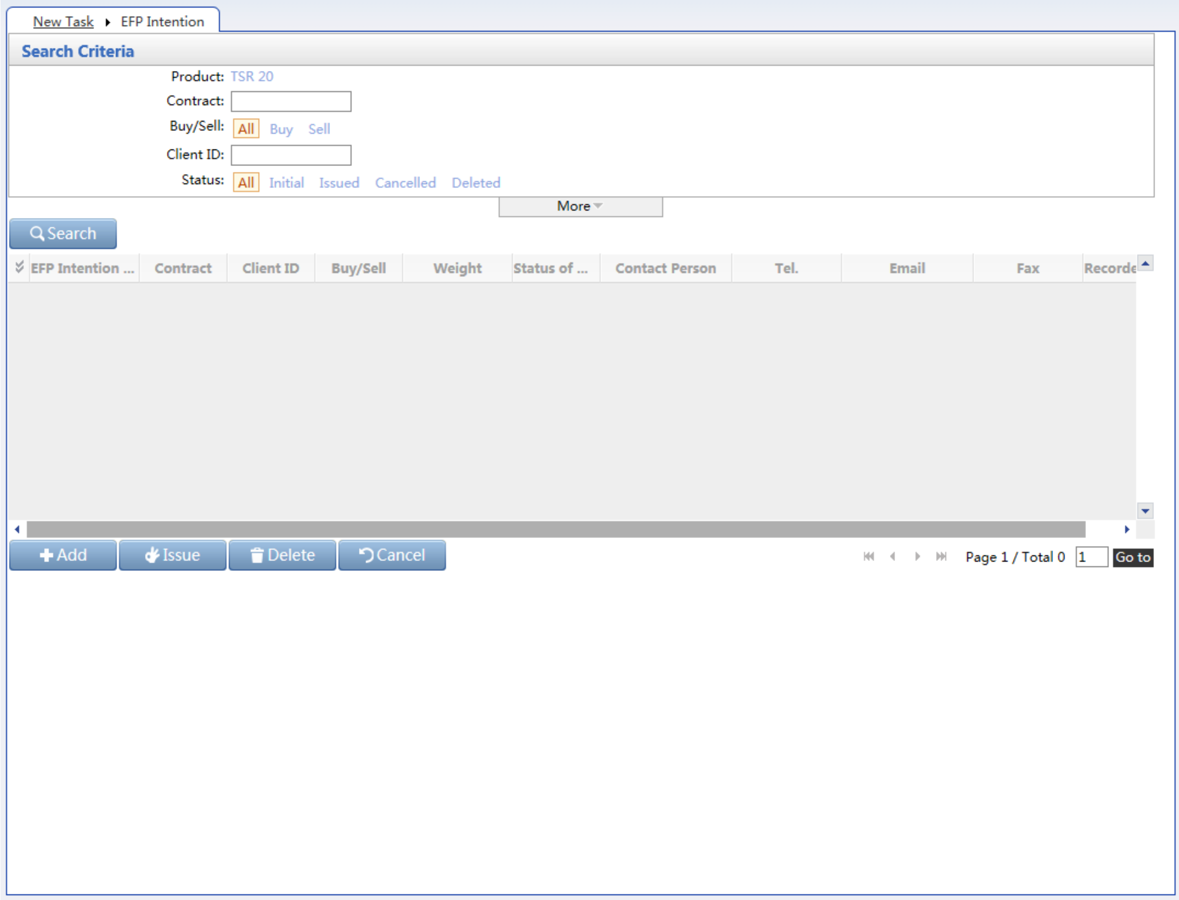
Product: TSR 20, LSFO, Copper

This section uses TSR 20 to illustrate the specific operations to be taken by an Overseas Intermediary at each process node for the EFP of TSR 20, LSFO, and Copper.

EFP Intention

(1) From the navigation menu, select “New Task” --> “TSR 20” --> “EFP Intention” to enter the page for creating an EFP intention for TSR 20.

(2)

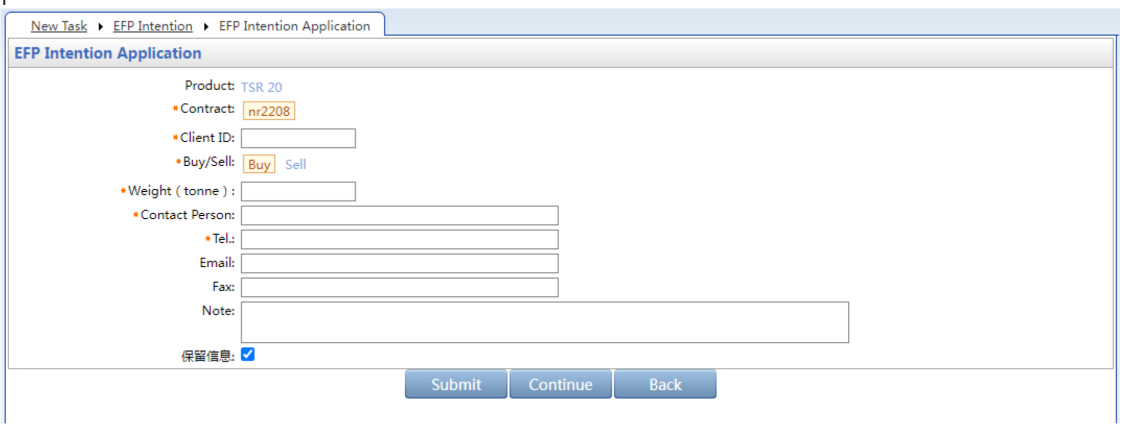


The page will display all existing EFP intentions. You can perform the following actions at the bottom of the page:

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



- **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:** Select an EFP intention with the status of “Initial” and click the “Delete” button. The System will ask you to confirm the deletion. Click “OK” to confirm.
- **Issue:** Select an EFP intention with the status of “Initial” and click the “Issue” button. The System will ask you to confirm the issuance. Click “OK” to confirm and the status will change to “Posted”.

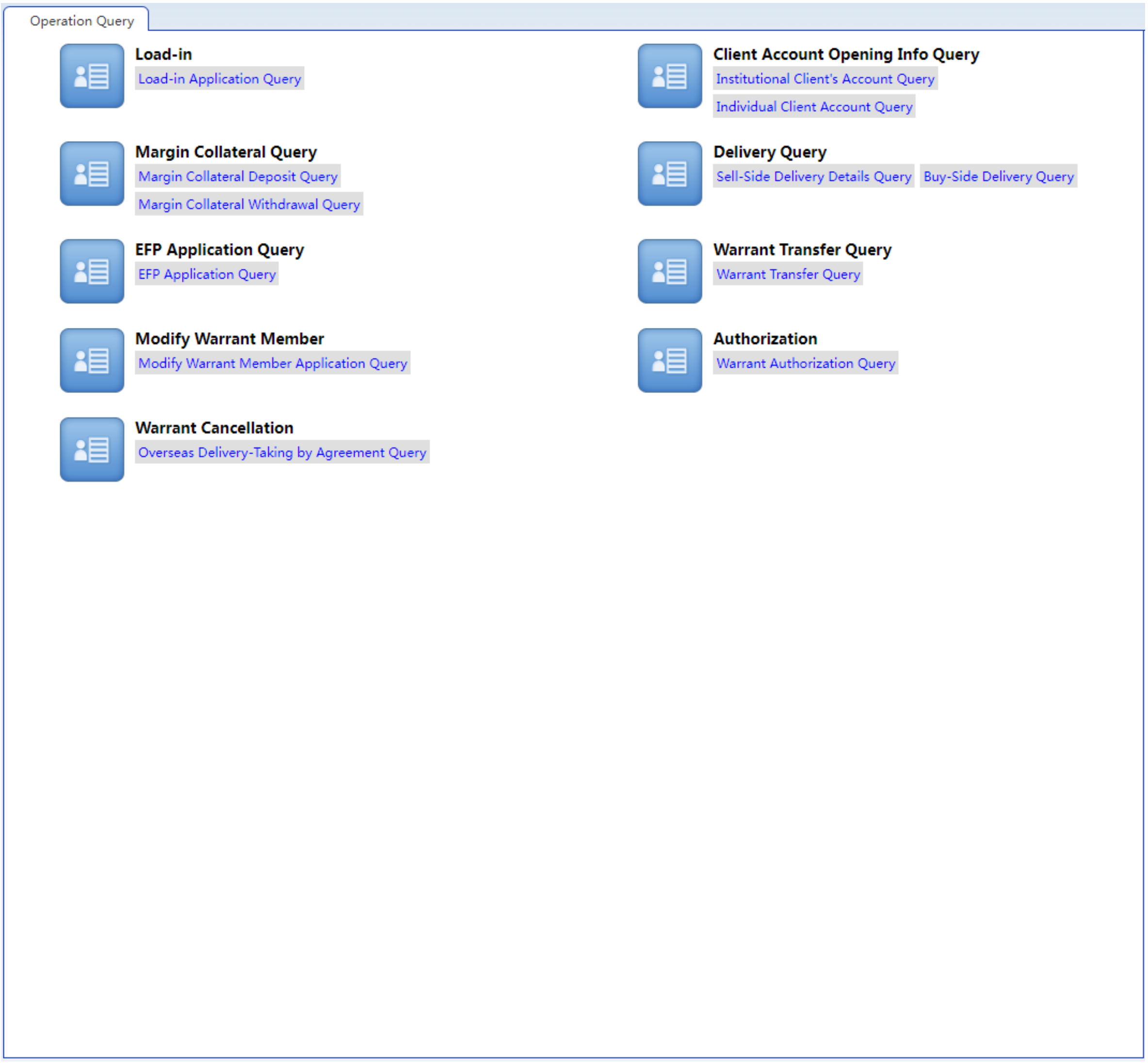
- **Cancel:** Select an EFP intention with the status of “Posted” and click the “Cancel” button to withdraw an issued intention.

(3) You may view all of your EFP intentions through General Query. See "General Query" → "EFP Intention Query" for details.

Chapter 6 Query

Operation query

Through the navigation menu, Overseas Intermediaries may inquire about detailed operation information in the page of Operation Query.

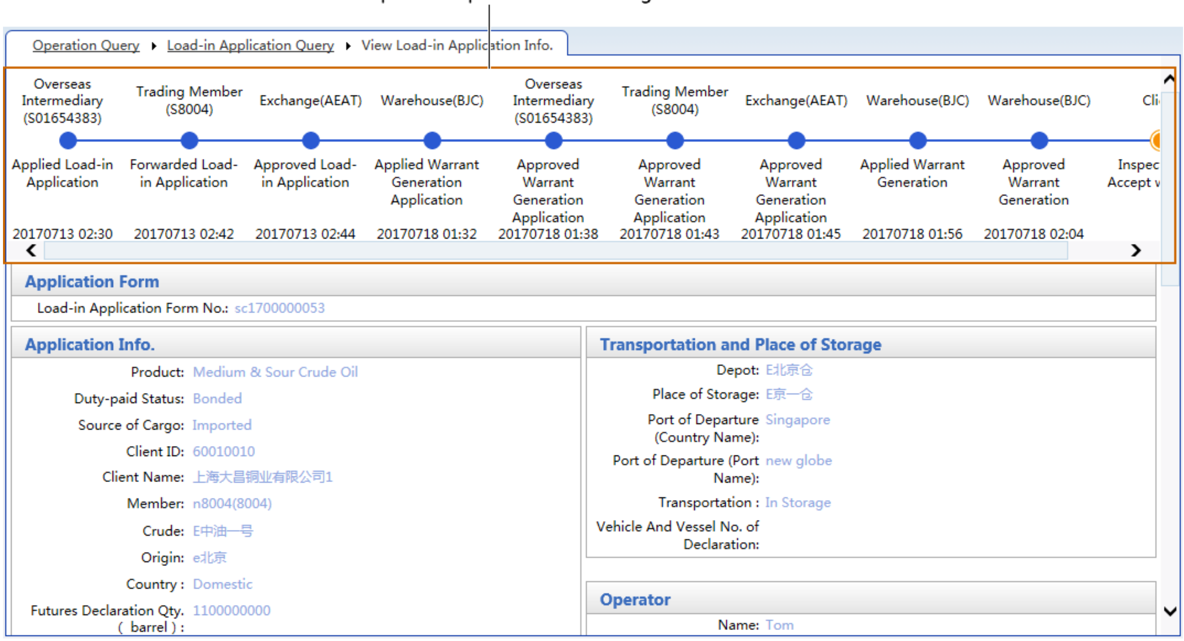


Load-in Application Query

Please refer to the "Query" in General Functions for details.

Note: A process node diagram will be displayed on the page of Operation Query. As shown below, the orange node indicates that the operation is at this node; the blue node indicates that the operation at this node has already finished; the white nodes indicate that the operation has not reached this node yet; and the red cross indicates that the operation has ended after being rejected.

Operation process nodes diagram



Institutional Client's Account Query

Please refer to the "Query" in General Functions for details.

Institutional Client's Account Query

Please refer to the "Query" in General Functions for details.

Margin Collateral Deposit Query

Please refer to the "Query" in General Functions for details.

Margin Collateral Withdrawal Query

Please refer to the "Query" in General Functions for details.

Sell-Side Delivery Details Query

Please refer to the "Query" in General Functions for details.

Buy-Side Delivery Query

Please refer to the "Query" in General Functions for details.

EFP Application Query

Please refer to the "Query" in General Functions for details.

Warrant Transfer Query

Please refer to the "Query" in General Functions for details.

Modify Warrant Member Application Query

Please refer to the "Query" in General Functions for details.

Warrant Authorization Query

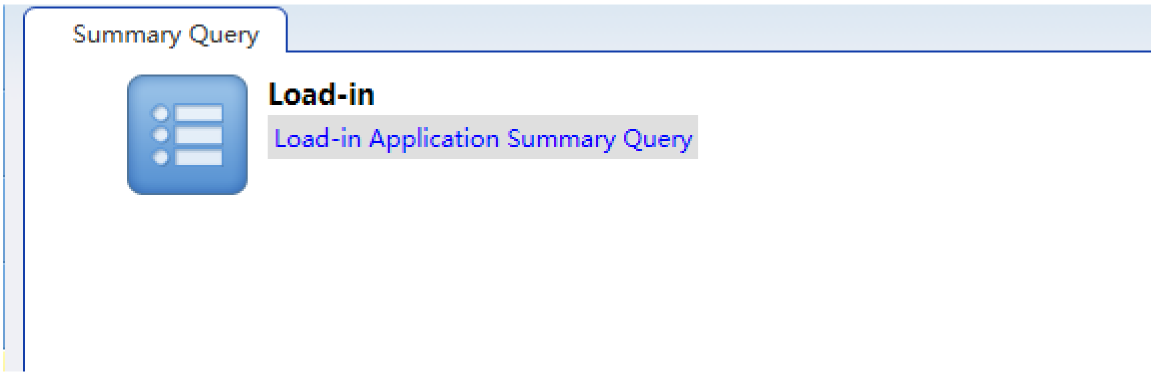
Please refer to the "Query" in General Functions for details.

Overseas Delivery-Taking by Agreement Query

Please refer to the "Query" in General Functions for details.

Summary Query

As for the users, Summary Query offers all kinds of operation summaries in different dimensions and exhibits summarized data from different perspectives. Overseas Intermediaries may inquire about the load-in application summary through Summary Query.

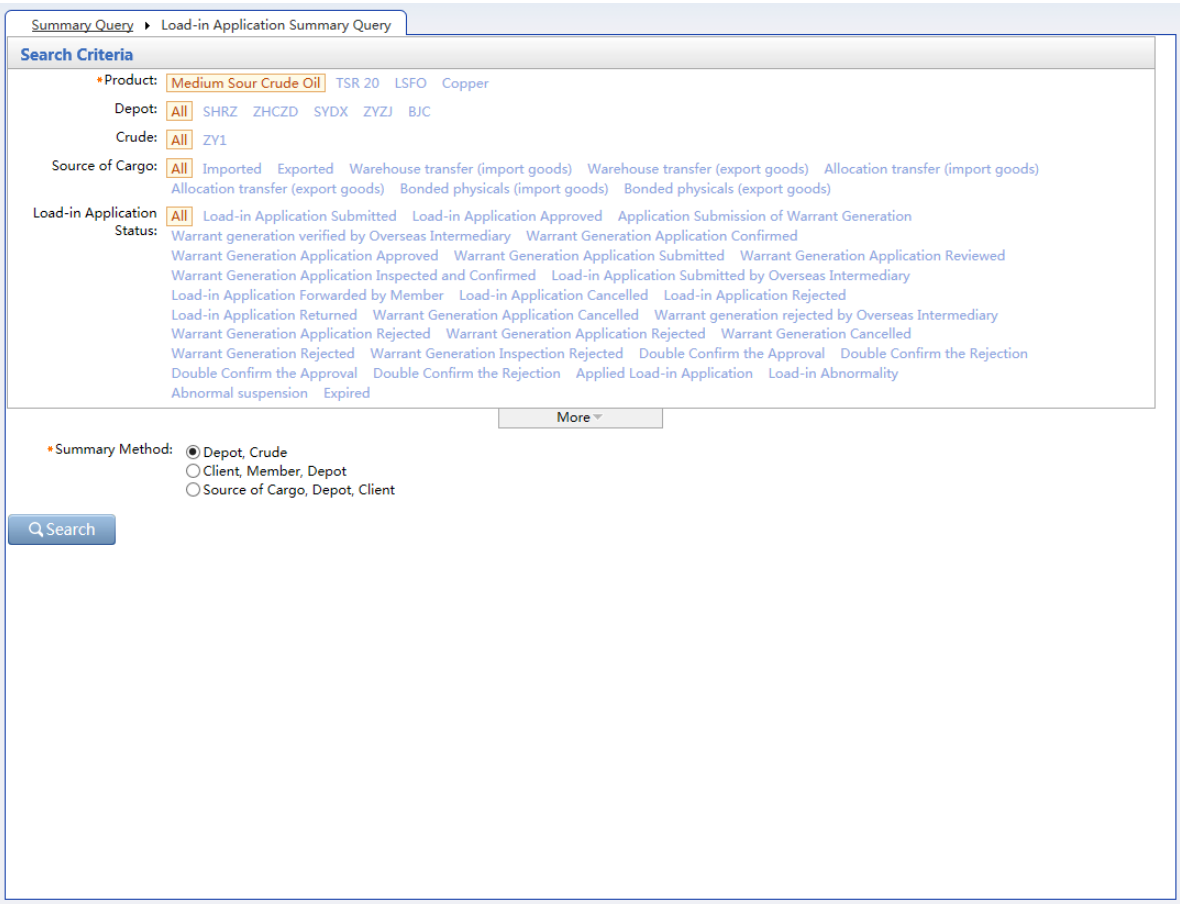


Load-in Application Summary Query

Summarize the effective commodities information under the Normal Commodity Account, Occupied Commodity Account and Processing Commodity Account as per the rollup field.

(1) In the page of "Summary Query", click the "Load-in Application Summary Query" under the title of "Load-in" to enter the page of the summary query.

(2)



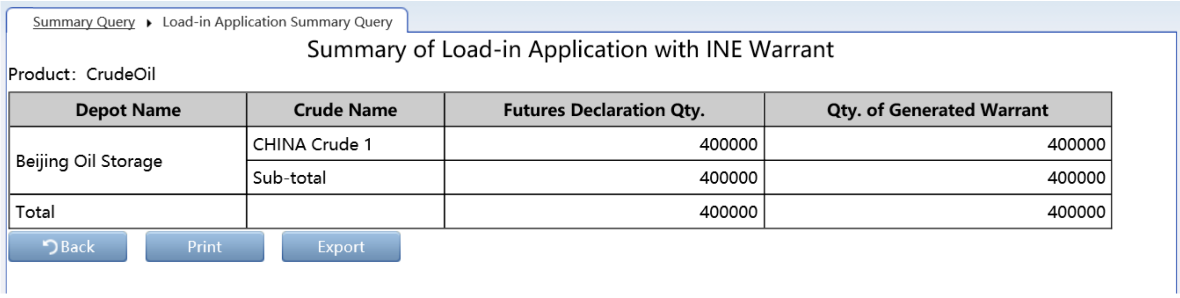
In the page of the load-in application summary query, perform the following steps:

Step 1: set the search criteria;

Step 2: select the rollup fields, such as "Depot" and "Crude";

Step 3: click the "Search" button to start the query.

(3)


Summary Query ▸ Load-in Application Summary Query

Summary of Load-in Application with INE Warrant

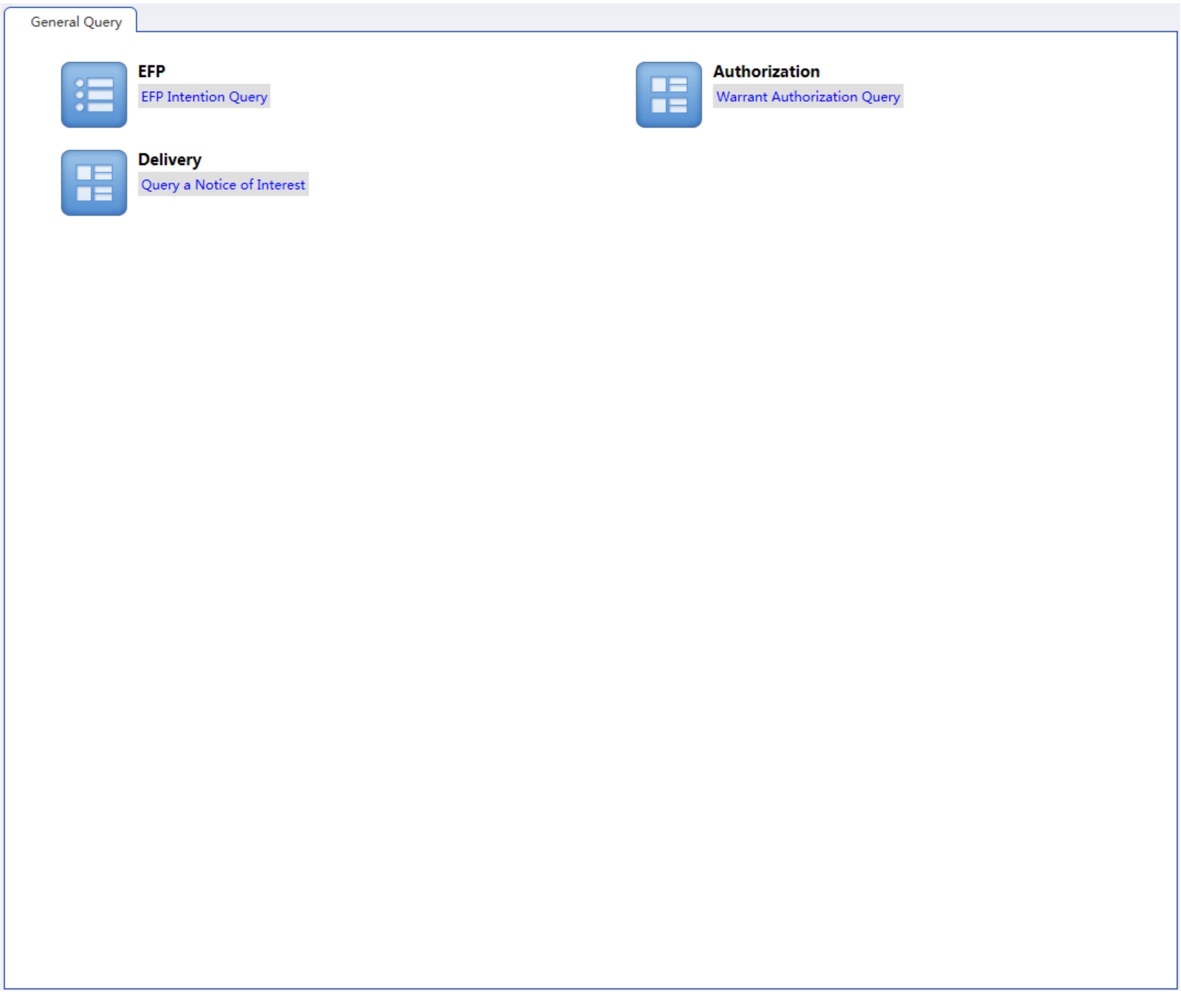
Product: CrudeOil

Depot Name	Crude Name	Futures Declaration Qty.	Qty. of Generated Warrant
Beijing Oil Storage	CHINA Crude 1	400000	400000
	Sub-total	400000	400000
Total		400000	400000

The above figure shows the query results as per the rollup fields such as “Depot” and “Crude”. The summary table exhibits the summarized statistic data by Depot Names and Crude Names, including the effective commodities under the Normal Commodity Account, Occupied Commodities Account and Processing Commodity Account from the perspectives of Depot and Crude, respectively. Click the “Print” button under the summary table to print the summary result.

General Query

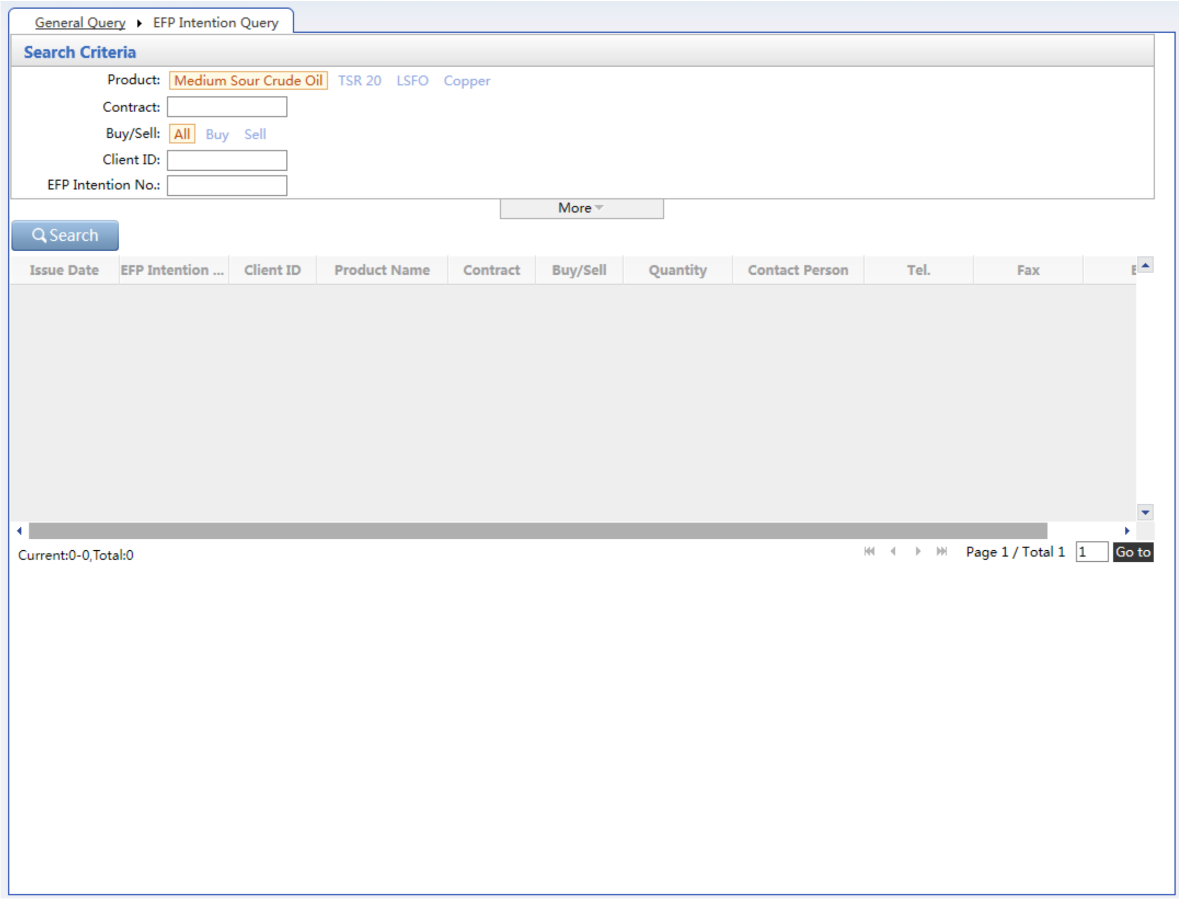
Overseas Intermediaries may inquire about the EFP intentions，Warrant Authorization, a Notice of Interest in the "General Query".



EFP Intention Query

Please refer to the "Query" in General Functions for details.

The following is a list of query results, presenting the details on the EFP Intention as per the search criteria.



Warrant Authorization Query

Please refer to the "Query" in General Functions for details.

Query a Notice of Interest

Please refer to the "Query" in General Functions for details.

Chapter 7 System Management

The Chapter describes relevant operations of System Management by Overseas Intermediaries.

In the System Management, Overseas Intermediaries may conduct the administration of different roles using the System, overseas users and client users, inquire about the circulars released by the Exchange, and manage the Client Warrant Account as well.

Overseas Intermediaries may conduct their system management in the “System Management” of the navigation menu.

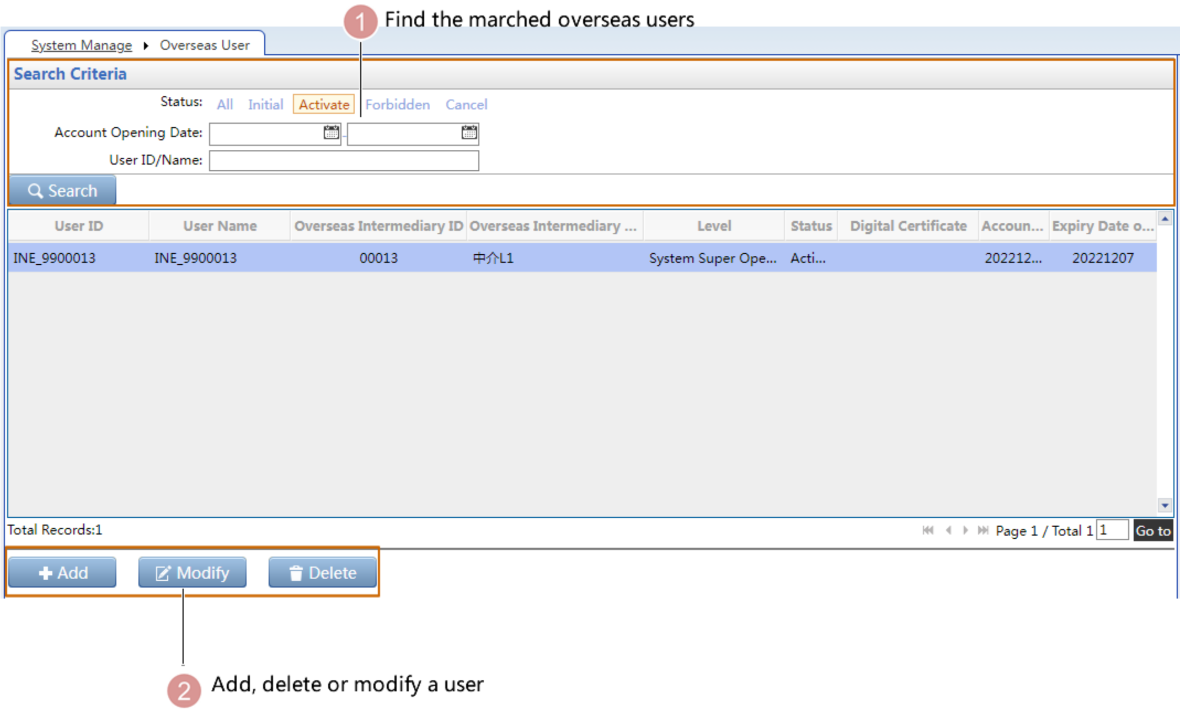
User Role

Overseas Intermediary User

Overseas Intermediaries may define relevant role permissions for overseas users in the User Management. An Overseas Intermediary may set multiple operating users and assign different role permissions to them.

(1)Select the “Overseas Intermediary Users” under the “User’s Role” in the page of “System Management”, and enter the page of Overseas Intermediary Users.

(2)



Define the search criteria at the top of the page to find all matched Overseas Intermediary Users. Select a user from the user list at the lower part of the page to modify or delete it, or add an Overseas Intermediary User.

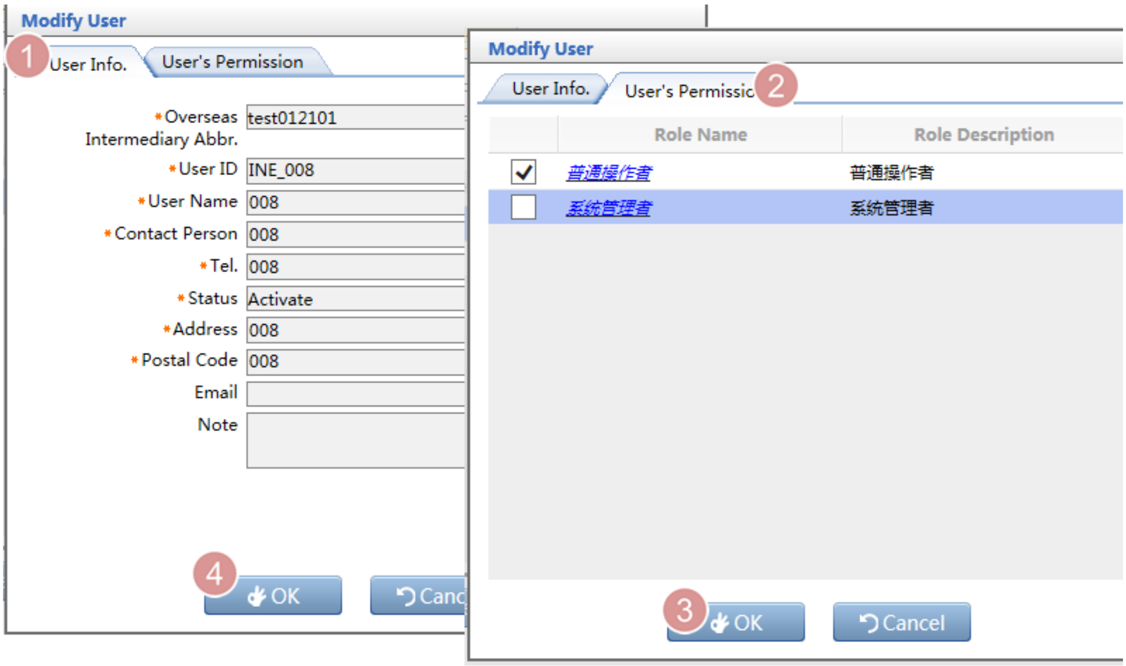
- **Add a User**: first, click the “Add” button and input information such as User ID, User Name and Contact Person in the popup window of “Add User” and also assign role permissions to the user in the tab of “User’s Permission”. Upon completion of the setup, click the “OK” button, as shown below.

  Note:

  1. User ID is required to use the prefix of "INE_", otherwise you will see an error prompt at the time of submission.
  2. After submission, a newly added user will achieve an “Initial” status and it cannot be used unless the Exchange changes its status into “Enabled”. A user with an Initial status may be deleted.

- **Modify a User:** select the to-be-modified user, and then click the "Modify" button and make relevant modifications in the popup window of "Modify User". Information under the tab of User Information cannot be modified while role permissions under the tab of User's Permission may be modified as shown below. Click the "OK" button upon completion of modification.

  Note: A user with the "Cancelled Status" cannot be modified. As for a user with the "Initial" status, information under the tab of User Information may also be modified.



- **Delete a User:** Define the search criteria at the top of the page to find the to-be-deleted Overseas Intermediary User. Click the "Delete" button at the lower part of the page, and then click the "OK" when you are prompted to confirm.

  Note: You can only delete a user with the "Initial" status.

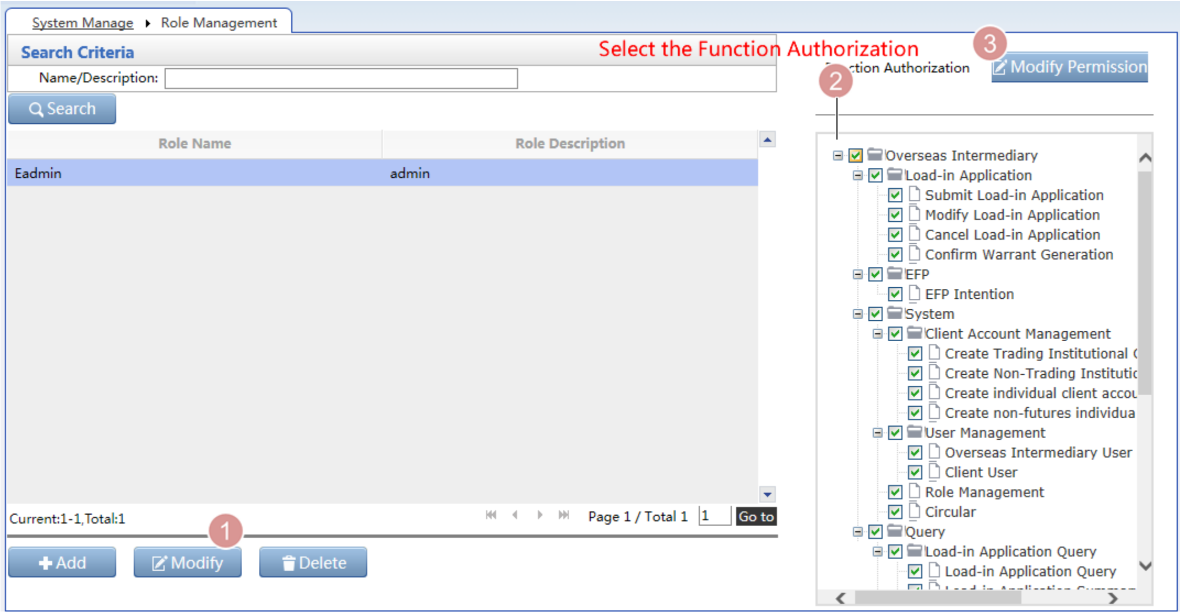
Client Users

As for Client Users, the interface and configuration are similar to those of Overseas Intermediary User.

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 Overseas Intermediary Role Management.

(2) Overseas Intermediaries may inquire about all existing roles through the column of 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 and permissions of a role.

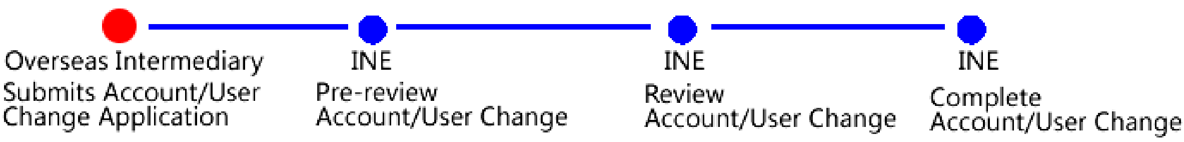


- **Add a Role**: First, click the "Add" button, input the role name and role description in the popup window of "Add a Role" and click OK. Since such a newly added role has no permissions yet, you need to tick the relevant permissions for an Overseas Intermediary in the Function Authorization at the right side of the page and click the "Modify Permissions" 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 Function Authorization at the right side of the page, and then click the "Modify Permissions" button.
- **Delete a Role**: Define 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 the "OK" when you are prompted to confirm.

Account/User Change

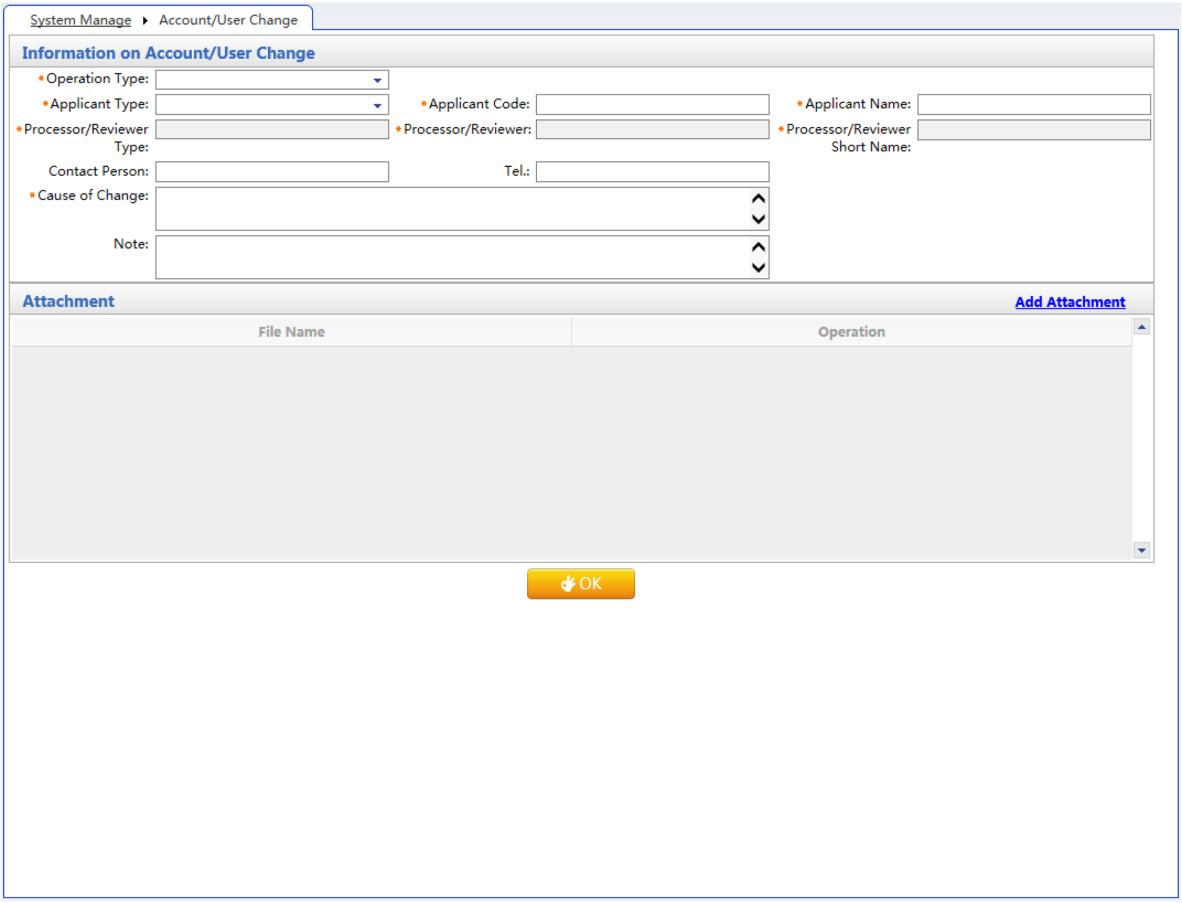
Overseas Intermediary can apply to INE for Account/User Change. INE will review and process the application.

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.



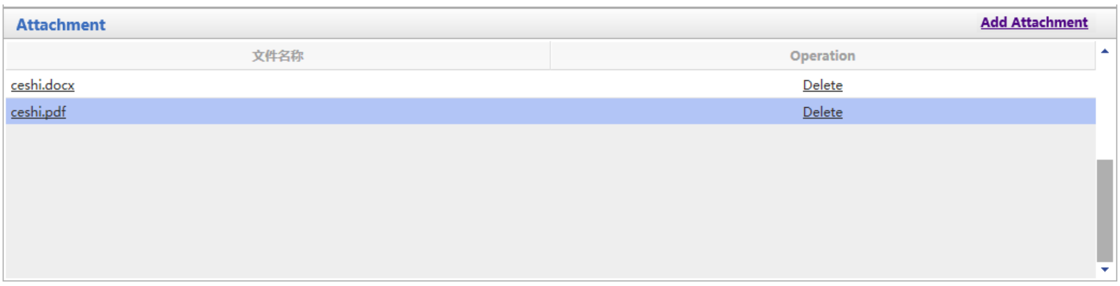
【2】

Step 1: Fill in Information on Account/User Change. Overseas Intermediary can apply for a user or account change.

- Applicant for an account change can only be Client;
- Cause of Change is mandatory: Fill in the specifics and cause of change, etc.;
- Attachment cannot be empty:

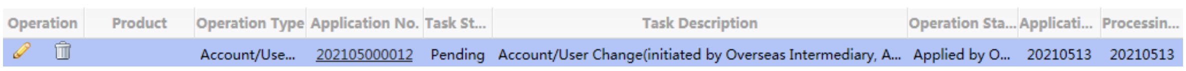
  Click Add Attachment to upload one or more attachments. Refer to “General Functions → Attachment” for instructions.

  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.



Circular

The Exchange publishes the important information to the public in the form of circular, including operation alerts, notices, investor education, etc.

When an Overseas Intermediary user logins 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.

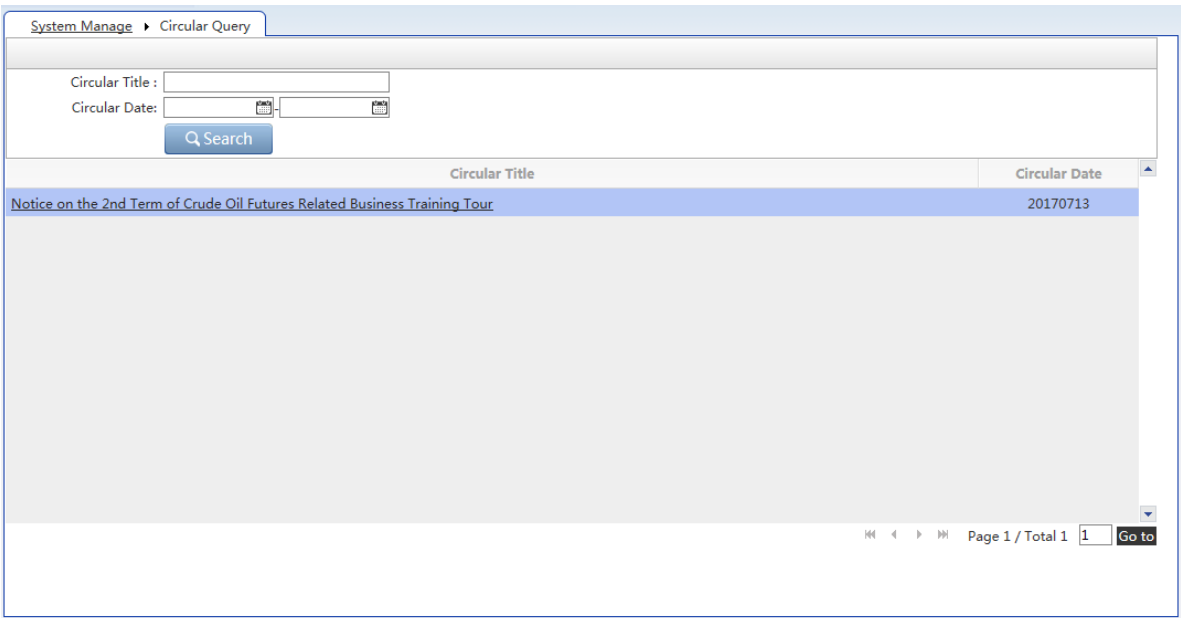
The circular information also displays in the welcome page of the System, identified by the word "***, (x) new circular(s)". The bracketed number indicates the total number of unread circulars. After clicking the number, a popup window will show a list of the latest circulars.

An Overseas Intermediary user 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, and click the "Search" button.



(3) After a list is displayed, click the circular title to open a popup window and view the details.


Circular

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

Issue Date:20170713

Circular No.:20170108

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

Ⅰ. Training Tour in Chengdu
Time : 13:30-17:30 p.m., July 11th, 2017 (Tuesday)
Venue: Chengdu Sofis Jinyuan Hotel, 22 Section 3 of Renmin Middle Road, Qingyang District, Chengdu

Client Warrant Account Management

Any institutions shall open a standard warrant account to hold standard warrants and participate in the standard warrant business.

Overseas Intermediaries may open institutional standard warrant accounts, which are classified into Trading Institutional Warrant Accounts and Non-Trading Institutional Warrant Accounts.

Each institution may only have one standard warrant account, following trading coding system.

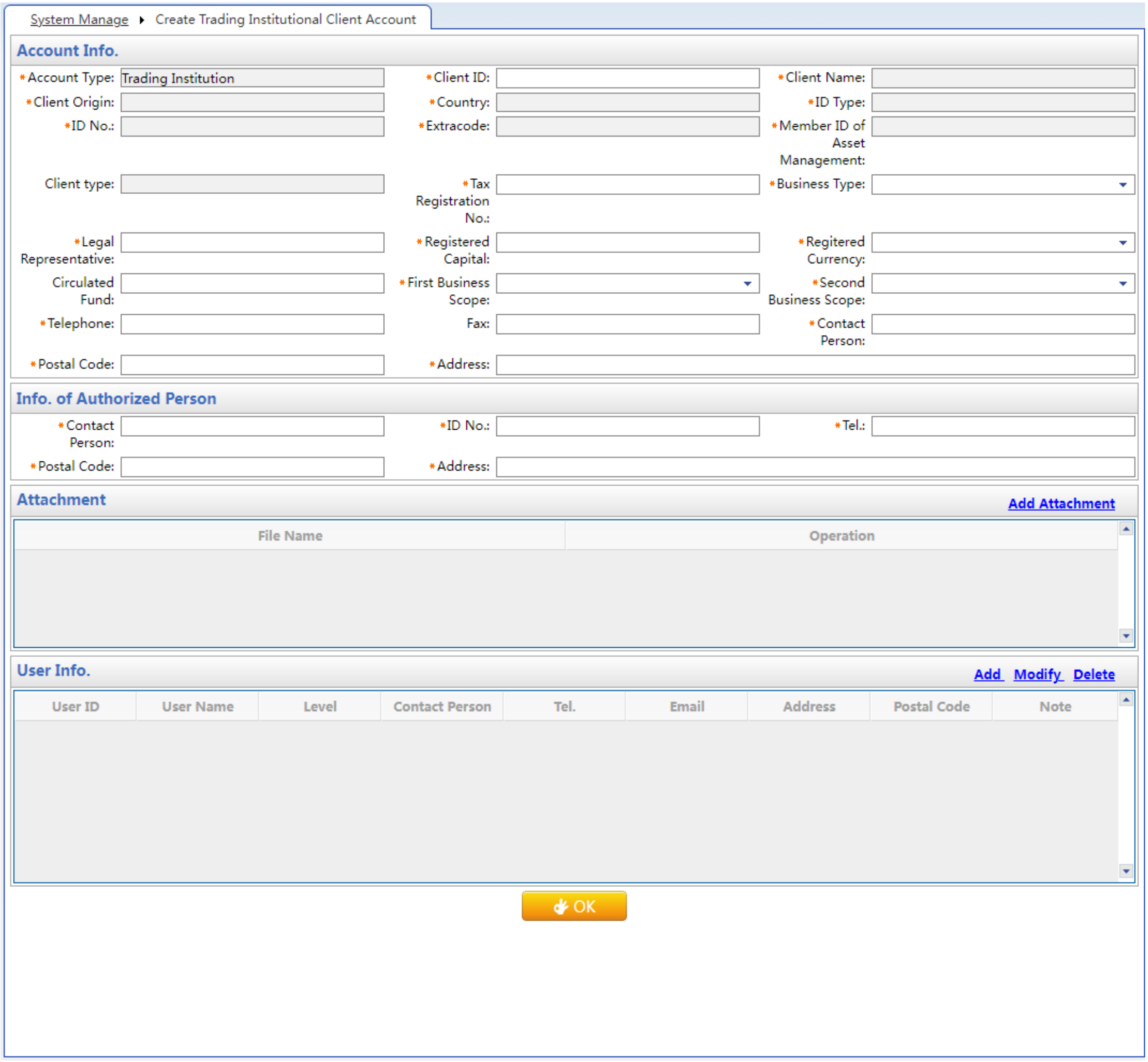
Warrant account management is on the page of "System Management".

Create Trading Institutional Client Account

(1)

Select the "Create Trading Institutional Client Account" under the "Client Warrant Account Management" on the page of "System Management" to enter the relevant page.

(2)

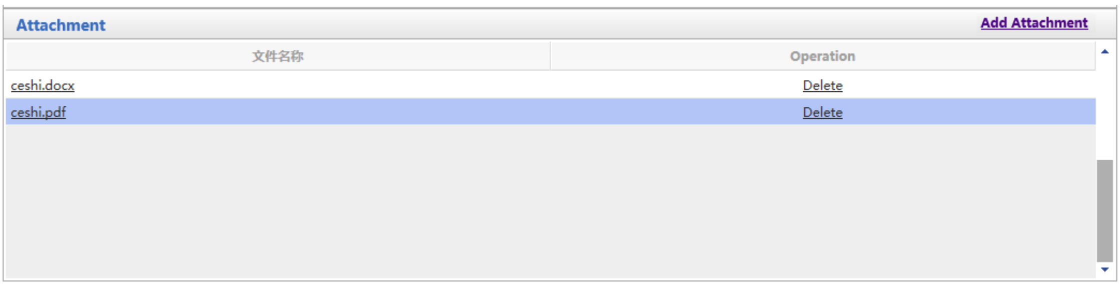


Step 1: An Overseas Intermediary shall fill in all information of the account.

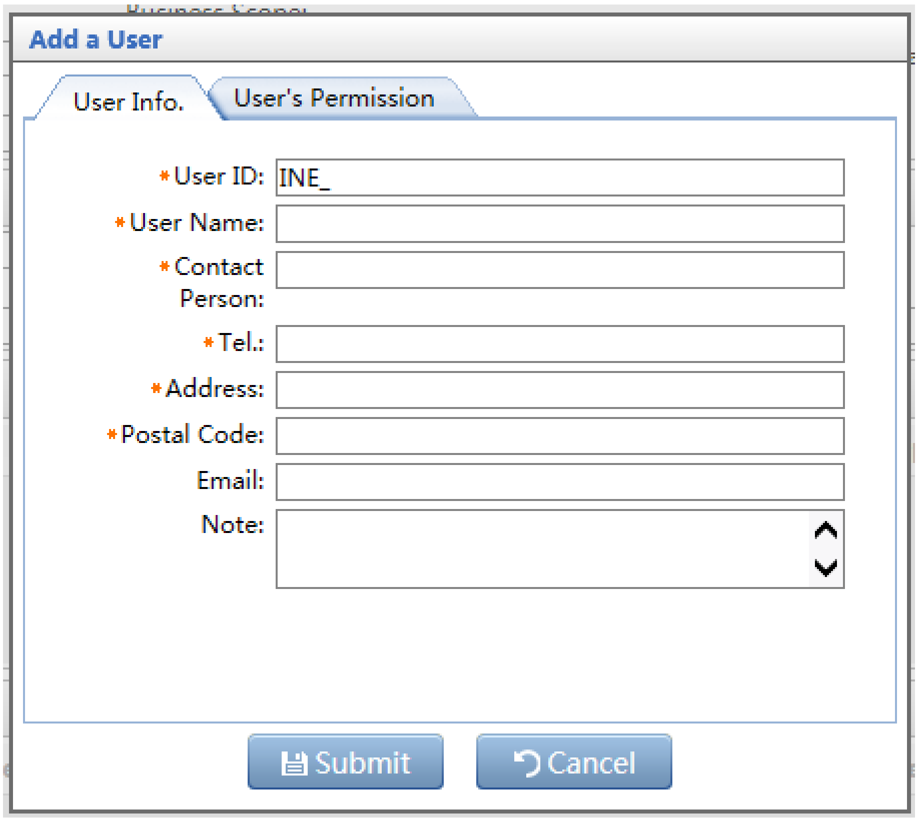
- **Account Information**：The Client ID has been provided by the Exchange at account opening. The system will automatically generate the Client Name, Client Origin, Country, ID Type, ID No., Extracode and Member ID of Asset Management after the Client ID is correctly filled.
- **Information of Authorized Person**:fill in all information of Authorized Person;
- 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.

- **User Information**:Click **Add** button in the top of "User Info." area and then the "Add a User" window will show as below.Fill the information respectively in the two tabs User Info. and User's Permission, then click **Submit** button to add a new user.If you want to modify or delete one of the current users,you can click **Modify** or **Delete** button in the top of "User Info."area.



Note:

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

(3)You may follow up the account creation application in the page of “Task Tracking”. An Overseas Intermediary may click the “Application No.” to view the progress details.

Create Non-Trading Institutional Client Account

The operation and process for creating **Trading Institutional Client Account** and **Non-Trading Institutional Client Account** are similar.Refer to “**Create Trading Institutional Client Account**” for instructions.