



DOCUMENT TITLE

NYSE Liffe Guardian User Guide for Members

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Preface

This document details the functionality that is available to a principal user.

Target Audience

This document is aimed at members using NYSE Liffe Guardian.

The general approach and technical complexity of this document should allow for this readership.

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1. Introduction

The NYSE Liffe Guardian application for NYSE Liffe U.S. is used to support the physical delivery of commodities on the NYSE Liffe U.S. exchange. The application is used by Members, Depositories and the NYSE Liffe U.S. Registrar.

The main functions are:

- Dematerialisation of vault receipts into electronic vault receipts
- Management of electronic vault receipts - transfer and withdrawal
- Management of Deliveries – submitting intentions to deliver and delivery allocations
- Member Invoicing – calculation of invoicing of delivery and storage fees
- Reporting – inventory and delivery enquiries.

2. Getting Started

2.1 Authorisation

There is a hierarchy of access levels. The functions that a user can access correspond to the role that the user performs. Market Operations designate one user for each member as the principal user and this principal user is able to create other users within their own group, see [User Maintenance](#).

A user will be given a username and password. The password will need to be changed at initial login. The user will also be prompted to enter a 'shared phrase' which will be used in subsequent logins.

2.2 Logging In

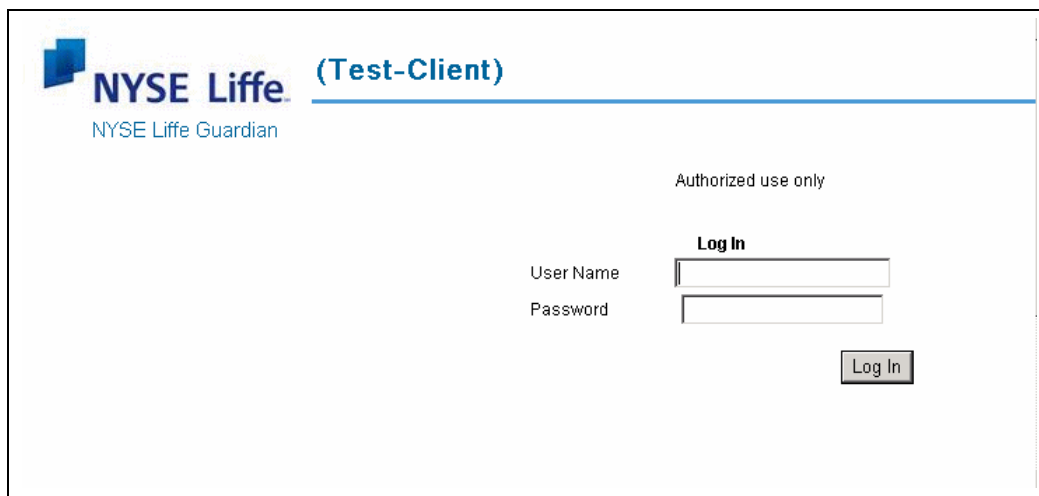
A new user will be informed of their username by their principal user or NYSE Liffe Administrator. They will receive their password via email and on initial login be required to enter a shared phrase.

Following initial login the user will be required to change their password and enter a shared phrase.

The password convention must be followed. The password is case sensitive. It must be a minimum of eight characters long and contain at least one uppercase, one lowercase, one digit and one non-alphanumeric character.

A user is allowed three collective attempts to enter their password and shared phrase, if unsuccessful the user account is locked. Contact the principal user or system administrator to unlock the account or reset the password/shared phrase if required.

1. Enter the NYSE Liffe Guardian url in your browser window.



The screenshot shows the NYSE Liffe Guardian (Test-Client) login interface. At the top left is the NYSE Liffe logo and the text 'NYSE Liffe Guardian'. To the right, it says '(Test-Client)'. Below this, there is a horizontal line and the text 'Authorized use only'. The login form consists of two input fields: 'User Name' and 'Password'. A 'Log In' button is positioned to the right of the 'User Name' field, and another 'Log In' button is positioned below the 'Password' field.

2. Enter your username.
3. Enter your password.

Note: The password and shared phrase fields are case sensitive.

4. Click **Login**.

Three numbered fields are displayed at random for the shared phrase. They represent either a character (upper or lower case) or digit within the shared phrase in the position specified by the field. The positions are generated at random.

Shared Phrase 2 7 8

For example: 2, 7 and 8 would represent the second, seventh and eighth character or digit in the shared phrase.

5. Select the corresponding character (upper or lower case) or digit in the shared phrase that corresponds with the position requested.
6. Click **Login**. The Home page is displayed.

On initial login the user will also be prompted to accept the Terms and Conditions.

2.2.1 Changing Your Password

Once a user has logged in for the first time they are prompted to change their password. A user will be automatically prompted to change their password when it is due to expire. You can change your password whenever you require using the following procedure.

1. Select **My Account**.
2. Select **Change my Password**.
3. Enter your current password.
4. Enter your new password which must adhere to the following convention:
 - Must be a minimum of 8 characters long.
 - Must contain at least one lowercase letter, one uppercase letter, one digit and one non-alphanumeric character.
5. Re-enter your new password and click **Change Password**. An error is displayed if any of the password criteria are not met.

2.2.2 Changing Your Shared Phrase

Once a user has logged in for the first time they are prompted to change their shared phrase. If you wish to subsequently change your shared phrase, use the following procedure.

1. Select **My Account**.
2. Select **Change my Shared Phrase**.
3. Enter your current shared phrase.
4. Enter your new shared phrase. This must be at least 8 characters long.

5. Re-enter your new shared phrase and click **Changed Shared Phrase**.

2.2.3 Changing Your Settings

1. Select **My Account**.
2. Select **Change my Regional Settings**.
3. Select your time zone.
4. Select your regional settings.
5. Click **Save**.

2.3 Logging Off

1. Select **Logout** or close the browser window.

2.4 Session Timeout

NYSE Liffe Guardian will automatically logout (timeout) a user session if there has not been any user activity within a defined period. The timeout period is specified by the Exchange.

3. Using NYSE Liffe Guardian

3.1 Home Page

The Home page displays notification messages which can be actioned by the Member. The notification messages on the Home page are available to all users at the member.

The screenshot shows the NYSE Liffe Guardian Home Page (Test-Client) interface. At the top, there is a navigation menu with tabs for Home, Inventory, Deliveries, View, Reports, Files, and Admin. The user is logged in as HelenaDMem (Member). The main content area displays a list of notification messages with columns for Subject, Message, and Received. The messages include Vault Receipt to WDR Conversion, Request Transfer Ownership, and Deadline Executed notifications. At the bottom, there are tabs for Current and Archived messages.

Subject	Message	Received	View	Archive
Vault Receipt to WDR Conversion	Vault Receipt(s): CBTtest RJ were converted to: WDR540 - WDR542	26 Jul 2009 08:59:24	NEW	
Request Transfer Ownership	991 Has Requested Ownership Transfer 1 Warrants.	26 Jul 2009 08:46:52	NEW	
Request Transfer Ownership	991 Has Requested Ownership Transfer 1 Warrants.	26 Jul 2009 08:44:19	NEW	
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 YI ND: 27 Jul 2009	26 Jul 2009 04:16:46		
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 ZI ND: 27 Jul 2009	26 Jul 2009 04:16:43		
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 YG ND: 27 Jul 2009	26 Jul 2009 04:16:24		
Deadline Executed - (SDN Due (Not LTD))	SDN Due (Not LTD) Executed for July 2009 ZG ND: 27 Jul 2009	26 Jul 2009 04:16:23		
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 YI ND: 24 Jul 2009	27 Jul 2009 04:22:08		
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 ZI ND: 24 Jul 2009	27 Jul 2009 04:22:08		
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 YG ND: 24 Jul 2009	27 Jul 2009 04:21:48		
Deadline Executed - (SDN Due (Not LTD))	SDN Due (Not LTD) Executed for July 2009 ZG ND: 24 Jul 2009	27 Jul 2009 04:21:30		
Member Storage Charge Invoice (through 31 Aug 2009) ...	Member Storage Charge Invoice (through 31 Aug 2009) Available To View	24 Jul 2009 09:44:21		
Member Storage Charge Invoice (through 31 Aug 2009) ...	Member Storage Charge Invoice (through 31 Aug 2009) Available To View	24 Jul 2009 08:03:57		
Deadline Executed - (SDN Due (not LTD))	SDN Due (not LTD) Executed for July 2009 YI ND: 23 Jul 2009	24 Jul 2009 02:56:37		

Change page: < > | Displaying page 1 of 4, items 1 to 200 of 724.

Current Archived

The messages are displayed on tabs, Current and Archived. The tabs are located below the message list. Current messages are displayed by default. Current and Archived messages can be viewed, see [Viewing Messages](#). Current messages can also be archived, see [Archiving Messages](#). It is recommended that once a message has been actioned, it is archived.

The menus at the top of the Home page access the following functions:

- Inventory
- Deliveries
- View
- Reports
- Files
- Admin.

The Home page can be redisplayed by clicking Home.

Links in the top right access My Account and Logout. Your user name and role are displayed beneath.

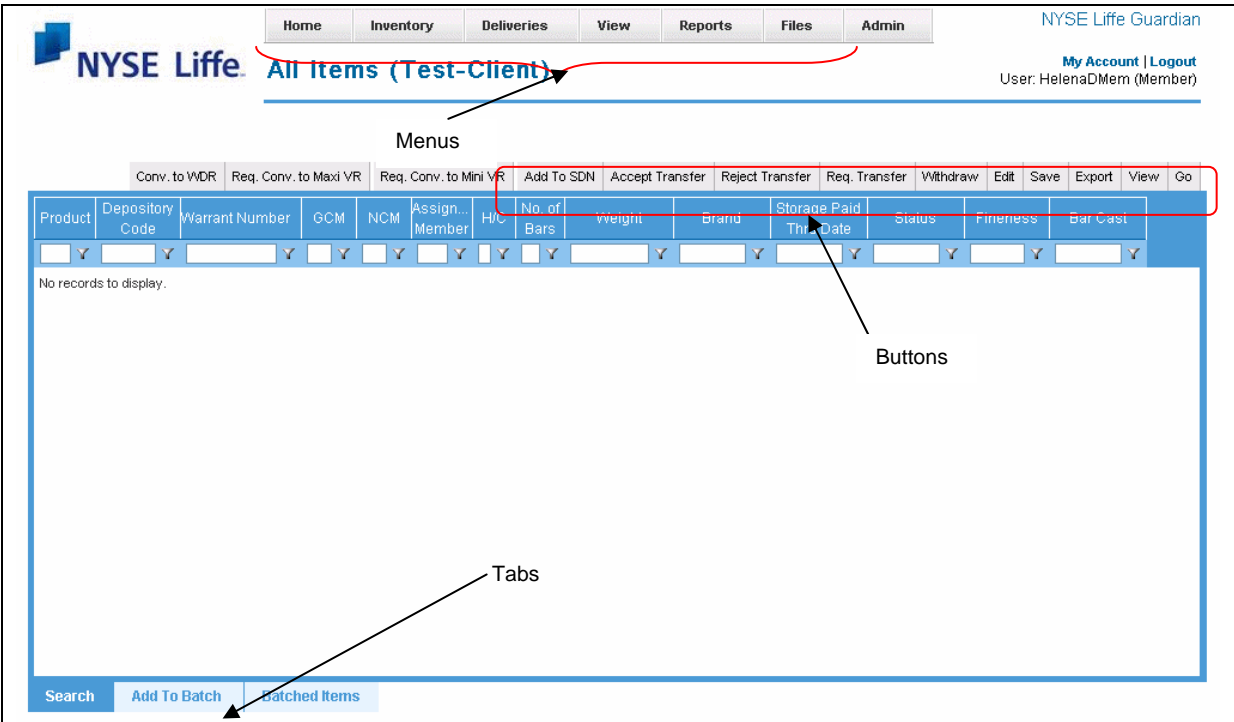
My Account allows a user change their password, shared phrase and regional settings.

3.2 Navigating Guardian Pages

The menus displayed at the top of the page access various functions.

The buttons displayed at the top of a page which are used to perform an action on selected items on the page.

Tabs are available below the list of items on a page to batch items on the page.



If an error is detected it is displayed on an Errors tab.

3.3 Viewing Messages

The Home page displays Current and Archived notification messages.

The following are examples of messages:

- Warrant Transfers Due Executed
- Sellers Delivery Notices Due Executed
- Open Positions File Due Executed
- Request Transfer Ownership.

For example, a Request for a Transfer of Ownership notification is received by a member. Selecting the notification and clicking **View** displays the warrant in the Current Inventory.

1. On the Home page, select a message on either the **Current** or **Archived** tab.
2. Click **View**. The selected message is displayed on the relevant page.

The buttons available on the page can be used to action the message appropriately.

The screenshot shows the NYSE Liffe Guardian interface. At the top, there is a navigation bar with tabs for Home, Inventory, Deliveries, View, Reports, Files, and Admin. The user is logged in as 'barcap (Member)'. The main heading is 'Issue Nomination - Select Representing Member (Test-Client)'. Below this, there is a form with a 'Member Company' dropdown menu and 'Submit' and 'Cancel' buttons.

3.3.1 Archiving Messages

Once a notification message has been actioned it can be archived from the Home page.


1. On the Home page, select **Current**.
2. Select the required message and click **Archive**. Multiple messages can be selected by holding down either the Ctrl or Shift key.
3. Click **Yes** on the confirmation message displayed.

A message is displayed that the operation was successfully completed and the selected message(s) are removed from the list of Current messages.

3.4 Searching

A search can be performed on every page where the **Go** button is present, for example, Current Inventory. Column headings with a filter field are used to enter and specify search criteria.

Clicking **Go** on a search page without entering any search criteria can return a maximum of 2000 records.

1. On the relevant page, select the required field and enter your search criteria.
2. Click  and select the filter property. The available filter properties can include some of the following:
 - No Filter
 - Contains (default)
 - Does Not Contain
 - Starts With

- Ends With
- Equal To
- Not Equal To
- Greater Than
- Less Than
- Greater Than or Equal To
- Less Than or Equal To
- Is Empty
- Not Empty
- Is Null
- Not Null.

If search criteria is entered into a field but no filter property is selected, the default filter property Contains is used.

3. Click **Go**. The results that match your search criteria are displayed.

3.4.1 Sorting and Filtering Records

On a page where it is possible to search, the results displayed can be sorted and filtered.

3.4.1.1 Sorting Records

Records are displayed in warrant number order by default.


1. Click a column heading to sort the data in that column in either descending or ascending order.

An arrow is displayed to show the sort order – up arrow for descending (alphabetical) or down arrow for ascending.

2. Click the column heading again to remove the sorting and restore the default sort order by warrant number.

3.4.1.2 Filtering Records

The filter field and properties can be used to narrow your search criteria.

1. Select the required field and enter your search criteria.
2. Click  and select the filter property.

3. Click **Go**. The results that match your search criteria are displayed.

To clear the filter on the page, select No Filter as the filter property.

3.5 Batching

Multiple changes can be performed using batches as follows:

- A temporary batch can be created on a page.
- A saved batch can be created which can be used to action warrants across many search pages.

On the pages where searches can be performed, multiple records can be selected and added to a batch. These batched items can only be used in the current page.

If a number of records are selected using either the Ctrl or Shift key and a function is selected, you have the option to save the selection. A selection can also be saved by clicking **Save**. These saved selections can be reused, see [Viewing Saved Batches](#).

3.5.1 Adding Batched Items

Records can be added to batches wherever the Batched Items tab and/or the **Save** button is available. Using Batched Items creates a temporary batch which can be used in the current function. Using **Save** creates a permanent batch, see [Saving Batches](#).

To create a temporary batch:

1. In the relevant function, enter your search criteria, see [Searching](#).
2. Select the required records using either the Ctrl or Shift key whilst selecting.

- Click the **Add to Batch** tab.
- Click the **Batched Items** tab. The selected records are displayed.

You can add records from other pages in the same function if the search criteria returns multiple pages of results.

3.5.2 Removing Batched Items

Selected records that have been added to a current batch on a page can be removed. Items saved to a permanent batch can be removed by deleting the batch, see [Deleting a Batch](#).

To remove records from a temporary batch:

- Click the **Batched Items** tab.
- Select the records to be removed from the batch and click **Remove**.

3.5.3 Saving Batches

On the pages where multiple selections can be made either using the Ctrl or Shift key, batches can be saved. The named batch can be retrieved and actioned as appropriate.

- On the relevant page, select multiple records.
- Click **Save**.

Alternatively, select the function to be performed on the selected records. The Save this Batch page is displayed.

- Enter the name of the batch and click **Save**.

If the batch name already exists you will be prompted to either Append or Overwrite the batch. Appending will add the new selection to the existing batch. Overwrite will save the new batch with the existing name.

3.5.4 Viewing Saved Batches

Batches that have been saved are displayed.

1. On the **View** menu, select **Batches**. The Batches page is displayed.



Reference	BatchCount	CreateDate	CreateUsername	UpdateDate	UpdateUsername
HDTest	3	03 Mar 2009	HelenaDMem		

Buttons are available to access functions to [Load Batch](#) and [Delete Batch](#).

3.5.4.1 Loading a Batch


A saved batch can be loaded and actioned using the functions on the Current Inventory.

1. On the **View** menu, select **Batches**. The Batches page is displayed.
2. Select the required batch and click **Load**. The batch is displayed on the All Items page, see [Viewing the Current Inventory](#).

3.5.4.2 Deleting a Batch

1. On the **View** menu, select **Batches**. The Batches page is displayed.
2. Select the required batch and click **Delete**. The batch is removed from the list of batches.

3.6 Using the Calendar/Date Tool

The calendar indicator  denotes a date field.

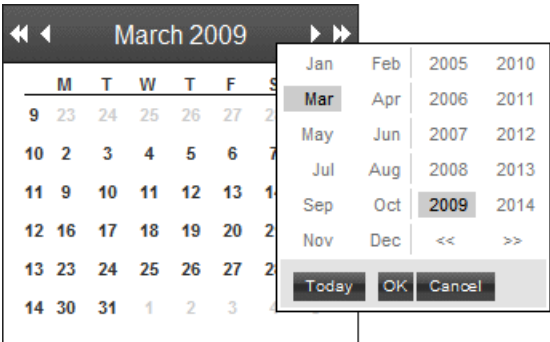
Dates can be entered manually or selected from the calendar.

If you enter “5” and press Enter or move to the next field, the system will auto-complete the date i.e. 05/07/2008. You can also enter July-05, 2008-07-05, 05-07, 05/07, 07 Jul, etc. All of these will resolve to the correct date.

Click the calendar indicator to display the calendar.



Select the date in the calendar. Use the single arrows to move forward or back by one month or use the double arrow to move by two months. Click in the month title to display an additional dialog box.



From this box you can select the month and year if dates are significantly in the future or past.

4. Inventory Management

4.1 Viewing the Current Inventory

The Current Inventory page displays all the warrants registered to a Member.

1. On the **Inventory** menu, select **Current**. The All Items page is displayed.
2. Enter your search criteria, see [Searching](#).

Alternatively, select a function and click **Go**. All the records in the inventory that meet the search criteria are displayed.

3. The records in the Current Inventory can be filtered and sorted, see [Sorting and Filtering Records](#).

Product	Depository Code	Warrant Number	GCM	NCM	Assigned Member	H/C	No. of Bars	Weight	Brand	Storage Paid Thru Date	Status	Fineness
ZI	4001	CBT0015	MemberA	MemberA	H	4	4802.20	-		31 Aug 2009	Registered	-
YI	4001	CBT0016	MemberA	MemberA	H	1	1000.00	ASARCO Incorporated		31 Aug 2009	Registered	-
YI	4001	CBT0017	MemberA	MemberA	H	1	1000.00	ASARCO Incorporated		31 Aug 2009	Registered	-
YI	4001	CBT0018	MemberA	MemberA	H	1	1000.55	ASARCO Incorporated		31 Aug 2009	Registered	-
ZI	4001	CBT0019	MemberA	MemberA	H	5	4950.00	-		31 Aug 2009	Registered	-
YG	4001	CBT00205	MemberA	MemberA	H	1	33.20	Argor, S.A.		31 Aug 2009	Registered	9950.0
ZI	4001	CBT00206	991	991	H	5	5000.00	-		31 Aug 2009	Transfer Req	-
YI	4001	CBT00207	MemberA	MemberA	H	1	1000.00	ASARCO Incorporated		31 Aug 2009	Registered	-
YG	4001	CBT0022	MemberA	MemberA	H	1	33.22	Argor, S.A.		31 Aug 2009	Registered	9960.0
ZG	4001	CBT0023	MemberA	MemberA	H	1	100.00	Argor, S.A.		31 Aug 2009	Registered	9960.0
ZI	4001	CBT0024	MemberA	MemberA	H	4	4800.00	-		31 Aug 2009	Registered	-

Buttons are available to access functions (depending on your access rights). The following buttons are available:

- **Conv. to WDR** – see [Converting to a Warrant Depository Receipt](#)
- **Req. Conv. to Maxi VR** – see [Requesting Conversion to a Maxi Vault Receipt](#)
- **Req. Conv. to Mini VR** – see [Requesting Conversion to a Mini Vault Receipt](#)
- **Add to SDN** – see [Adding Deliverable Warrants to a Seller's Delivery Notice](#)
- **Accept Transfer** - see [Accepting Representation](#)

- **Reject Transfer** - see [Rejecting Representation](#)
- **Req. Transfer** – see [Transferring Ownership](#)
- **Withdraw** – see [Withdrawing a Warrant](#)
- **Edit** – see [Updating a Warrant](#)
- **Save** - see [Saving Batches](#)
- **Export** – see [Exporting Data](#)
- **View** – see [Viewing a Warrant](#).

4.2 Viewing a Warrant

For a selected record, the details of the warrant are displayed.

1. On the **Inventory** menu, select **Current**. The All Items page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select the required record and click **View**. The View Warrant page is displayed for the selected record.

NYSE Liffe Guardian

Member: MemberA - MemberA
 NCM: MemberA
 GCM: MemberA
 Product: Y1 - Mini Silver Futures (1,000 oz)
 Depository Code: 4001
 Storage Paid Thru Date: 28 Feb 2009
 Registration Date: 21 Jan 2009

Brand:	ASAT - ASARCO Incorporated	Bar Cast: 1100	Weight: 1000.55
--------	----------------------------	----------------	-----------------

Total Weight: 1000.55
 Receipt Number: CBT0018

[Back](#)

4.3 Accepting Representation

1. On the **Inventory** menu, select **Accept/Reject Representation**. The Accept Representation page is displayed.

Alternatively on the Home page, select a Request for Member Representation message and click **View**.

2. Enter your search criteria, see [Searching](#).
3. Select a warrant or warrants and click **Accept Transfer**. The Accept Representation page is displayed.

Nominations can also be accepted on the Current Inventory see [Viewing the Current Inventory](#).

4. Click **Accept** on the confirmation message. A message is displayed that the operation succeeded.

4.4 Rejecting Representation

1. On the **Inventory** menu, select **Accept/Reject Nomination**. The Accept Nomination page is displayed.

Alternatively on the Home page, select a Request for Member Representation message and click **View**.

2. Enter your search criteria, see [Searching](#).
3. Select a warrant or warrants and click **Reject Transfer**. The Reject Representation page is displayed.

Nominations can also be rejected on the Current Inventory, see [Viewing the Current Inventory](#).

4. Click **Reject** on the confirmation message. A message is displayed that the operation succeeded.

4.5 Transferring Ownership

A member can nominate another member if they have transferred stock off market or the owner wishes the stock to be represented by another member.

1. On the **Inventory** menu, select **Current**. The All Items page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select a warrant or warrants and click **Req. Transfer**. The Issue Nomination page is displayed.
4. Select the required member and click **Submit**. A message is displayed that the operation succeeded.

4.6 Updating a Warrant

The Account Code for a warrant defaults to House (H) when the warrant is registered. This can be changed to Client (C) by updating the warrant. If the warrant is transferred either via delivery or Member to Member transfer it will revert back to the House (H) account.

1. On the **Inventory** menu, select **Current**. The All Items page is displayed.
2. Enter your search criteria, see [Searching](#).

NYSE Liffe Guardian
My Account | Logout
User: HelenaDMem (Member)

Home Inventory Deliveries View Reports Files Admin

NYSE Liffe Update Warrant (Test-Client)

Member: MemberA - MemberA
 NCM: MemberA
 GCM: MemberA
 Product: YI - 1000 oz Silver
 Depository Code: 4001
 Storage Paid Thru Date: 31/08/2009
 Registration Date: 21/01/2009

Brand: ASAT - ASARCO Incorporated Bar Cast: 1100 Weight: 1000.55

Total Weight: 1000.55
 Receipt Number: CBT 0018 Account Code: H

Save Cancel

3. Select the required warrant and click **Edit**. The Update Warrant page is displayed.
4. Change the account code to Client (C) and click **Save**.

4.7 Withdrawing a Warrant

A warrant can be withdrawn if it is not on a Seller's Delivery Notice, allocated or requested for transfer. The Storage paid thru date cannot be earlier than the current date.

1. On the **Inventory** menu, select **Current**. The All Items page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select a warrant or warrants and click **Withdraw**.
4. Click **Yes** on the confirmation message. A message is displayed that the operation succeeded. The warrant is removed from the Current Inventory.

4.8 Viewing Warrant Depository Receipts (WDR) to Convert to Vault Receipts

1. On the **Inventory** menu, select **View WDR(s) to Convert**. The View WDRs to Convert page is displayed.

NYSE Liffe Guardian													
NYSE Liffe View WDRs to Convert (Test-Client)													
My Account Logout User: barcap (Member)													
Req. Conv. to Maxi VR Req. Conv. to Mini VR Go													
Product	Depository Code	Warrant Number	GCM	NCM	Assigned Member	H/C	No. of Bars	Weight	Brand	Storage Paid Thru Date	Status	Fineness	
YG	8888	WDR492	709	709		C	1	33.51	Registrar's Office	31 Aug 2009	Registered	9950.0	
YG	8888	WDR493	709	709		H	1	33.48	Registrar's Office	31 Aug 2009	Registered	9950.0	
YG	8888	WDR494	709	709		H	1	33.48	Registrar's Office	31 Aug 2009	Registered	9950.0	
YG	8888	WDR495	709	709		H	1	33.48	Registrar's Office	31 Aug 2009	Registered	9950.0	
YG	8888	WDR519	709	709		H	1	33.33	Registrar's Office	31 Jul 2009	Registered	9950.0	
YG	8888	WDR520	709	709		H	1	33.33	Registrar's Office	31 Jul 2009	Registered	9950.0	
YG	8888	WDR521	709	709		H	1	33.34	Registrar's Office	31 Jul 2009	Registered	9950.0	
YI	8888	WDR91	709	709		H	1	960.00	Registrar's Office	31 Aug 2009	Registered	-	

2. Enter your search criteria, see [Searching](#). The registered WDRs that can be converted are displayed.

Buttons are available to access functions to [Request Conversion to a Maxi Vault Receipt](#) and [Request Conversion to a Mini Vault Receipt](#).

4.8.1 Requesting Conversion to a Maxi Vault Receipt

Gold WDRs must be selected in multiples of three and only Registered warrants can be converted to Vault Receipts. Silver WDRs must be selected in multiples of five.

A conversion request must be accepted by the Registrar.

1. On the **Inventory** menu, select **View WDR(s) to Convert**. The View WDRs to Convert page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select the appropriate number of WDRs for the conversion either multiples of three for Gold or multiples of five for Silver.
4. Click **Req. Conv. to Maxi VR**. A message is displayed that the conversion request was successful. The Registrar must accept or reject the request, see [Accepting the Conversion](#).
5. A conversion can also be requested on the Current Inventory, see [Viewing the Current Inventory](#).

4.8.2 Requesting Conversion to a Mini Vault Receipt

This function is not available for Gold. A single Silver WDR can be converted to a Mini Vault Receipt.

A conversion request must be accepted by the Registrar.

1. On the **Inventory** menu, select **View WDR(s) to Convert**. The View WDRs to Convert page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select a Silver WDR and click **Req. Conv. to Mini VR**. A message is displayed that the conversion request was successful. The Registrar must accept or reject the request.

A conversion can also be requested on the Current Inventory, see [Viewing the Current Inventory](#).

4.8.2.1 Accepting the Conversion

A notification is received on the Home page when the Registrar has accepted the conversion request.

1. On the Home page, select the conversion acceptance message and click **View**. The Accept/Reject Conversion Result is displayed.


Product	Depository Code	Warrant Number	GCM	NCM	Assigned Member	H/C	No. of Bars	Weight	Brand	Storage Paid Thru Date	Status	Fineness
ZG	4001	CBT0069	991	991		H	1	100.00	Argor, S.A.	31 Aug 2009	Transfer Req Conv	9950.0

Buttons are available to access functions to **Accept All** or **Reject All**.

2. Click **Accept All**. Once accepted, invoices are created, see [Viewing Documents](#).

4.9 Viewing Warrants to Convert to WDRs

1. On the **Inventory** menu, select **View Warrant(s) to Convert**. The View Warrants to Convert page is displayed.



NYSE Liffe View Warrants to Convert (Test-Client)

NYSE Liffe Guardian

[My Account](#) | [Logout](#)
User: barcap (Member)

Home Inventory Deliveries View Reports Files Admin

Conv. to WDR Go

Product	Depository Code	Warrant Number	GCM	NCM	Assigned Member	H/C	No. of Bars	Weight	Brand	Storage Paid Thru Date	Status	Fineness
ZG	4001	AJS1014	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4001	AJS1015	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4001	AJS1016	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4001	AJS1017	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4001	AJS1018	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4001	AJS1019	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4001	AJS1020	709	709		H	1	100.44	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZI	4001	AJS1043	709	709		H	4	4796.88	-	31 Aug 2009	Registered	-
ZG	4008	AJS2006	709	709		H	1	100.55	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4008	AJS2007	709	709		H	1	100.55	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4008	AJS2009	709	709		H	1	100.55	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4008	AJS2010	709	709		H	1	100.55	Argor, S.A.	31 Aug 2009	Registered	9950.0
ZG	4008	AJS2011	709	709		H	1	100.55	Argor, S.A.	31 Aug 2009	Registered	9950.0

Search Add To Batch Batched Items

- Enter your search criteria, see [Searching](#). The registered warrants that can be converted are displayed.

A button is available to access the function to [Convert to a Warrant Depository Receipt](#).

4.9.1 Converting to a Warrant Depository Receipt

- On the **Inventory** menu, select **View Warrant(s) to Convert**. The View Warrants to Convert page is displayed.
- Enter your search criteria, see [Searching](#).
- Select the warrants to be converted. For Gold, select multiples of three and for Silver, multiples of five. The warrants should all have the same account code.
- Click **Convert to WDR**. The Confirm Conversion to WDRs page is displayed.
- Click **Confirm**. A message is displayed that the warrants were successfully converted.

A WDR can also be converted on the Current Inventory, see [Viewing the Current Inventory](#).

A notification is displayed on the Home page and an invoice is created in the Document List, see [Viewing Documents](#).

5. Delivery Management

5.1 Viewing the Delivery List

The Delivery List shows all tenderable contracts for a delivery period.

1. On the **Deliveries** menu, select **Delivery List**. The Delivery List page is displayed.

Product	Notice Day	Delivery Day
ZG	05 Feb 2009	09 Feb 2009
ZG	06 Feb 2009	10 Feb 2009
ZG	09 Feb 2009	11 Feb 2009
ZG	10 Feb 2009	12 Feb 2009
ZG	11 Feb 2009	13 Feb 2009
ZG	13 Feb 2009	18 Feb 2009
ZG	17 Feb 2009	19 Feb 2009
ZG	19 Feb 2009	23 Feb 2009
ZG	20 Feb 2009	24 Feb 2009
ZG	23 Feb 2009	25 Feb 2009

2. Select the delivery period.
3. Enter your search criteria, see [Searching](#).

Buttons are available to access functions to [View](#) and [Delete a Seller's Delivery Notice](#).

5.1.1 Viewing a Seller's Delivery Notice

1. On the **Deliveries** menu, select **Delivery List**. The Delivery List page is displayed.
2. Select the delivery period.
3. Enter your search criteria, see [Searching](#).
4. Select the required tenderable contract and click **View/Delete SDN**.

5.2 Viewing Deliverable Warrants

The deliverable warrants that can be added to Seller's Delivery Notices are displayed.

1. On the **Deliveries** menu, select **Deliverable Warrants**. The Deliverable Warrants page is displayed.

Product	Depository Code	Warrant Number	GCM	NCM	Assigned Member	No. of Bars	Weight	Brand	Storage Paid Thru Date	Status	Fineness
ZI	4001	CBT0015	MemberA	MemberA		4	4802.20	-	28 Feb 2009	Registered	
YI	4001	CBT0018	MemberA	MemberA		1	1000.55	ASARCO Incorporated	28 Feb 2009	Registered	
ZI	4001	CBT0019	MemberA	MemberA		5	4950.00	-	28 Feb 2009	Registered	
YG	4001	CBT00205	MemberA	MemberA		1	33.20	Argor, S.A.	28 Feb 2009	Registered	9950.
ZI	4001	CBT00206	MemberA	MemberA		5	5000.00	-	28 Feb 2009	Registered	
YI	4001	CBT00207	MemberA	MemberA		1	1000.00	ASARCO Incorporated	28 Feb 2009	Registered	
YG	4001	CBT0022	MemberA	MemberA		1	33.22	Argor, S.A.	31 Jan 2009	Registered	9960.
ZG	4001	CBT0023	MemberA	MemberA		1	100.00	Argor, S.A.	31 Jan 2009	Registered	9960.
ZI	4001	CBT0024	MemberA	MemberA		4	4800.00	-	31 Jan 2009	Registered	
ZG	4001	CBT0025	MemberA	MemberA		1	100.00	Argor, S.A.	31 Jan 2009	Registered	9950.
ZG	4001	CBT0041	MemberA	MemberA		1	100.00	Argor, S.A.	31 Jan 2009	Registered	9940.
ZG	4001	CBT0050	MemberA	MemberA		1	100.00	Argor, S.A.	31 Jan 2009	Registered	9950.

2. Enter your search criteria, see [Searching](#).

Buttons are available to access functions to [Add to Seller's Delivery Notice](#) and [View Warrant](#).

5.2.1 Adding Deliverable Warrants to a Seller's Delivery Notice

A seller's delivery notice can only be added before the relevant deadline for the contract.

1. On the **Deliveries** menu, select **Deliverable Warrants**. The Deliverable Warrants page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select the required warrants, see [Batching](#).
4. Click **Add to SDN**. The Add Sellers Delivery Notice page is displayed.

NYSE Liffe Guardian

Home Inventory Deliveries View Reports Admin

NYSE Liffe Add Sellers Delivery Notice (Test-Client)

My Account | Logout
User: HelenaDMem (Member)

Notice Day (Delivery Day) *

Delivery Month:

Product ZI

Origin *

Sellers Reference

Submitted Date 04 Mar 2009

Save Cancel

Deliverable warrants can also be added to a Seller's Delivery Notice from the Current Inventory, see [Viewing the Current Inventory](#).

5. Complete the fields and click **Save**.

5.2.2 Deleting a Seller's Delivery Notice

A seller's delivery notice can only be deleted before the relevant deadline for the contract.

If a delivery notice is deleted, the warrant is removed and will not be delivered.

1. On the **Deliveries** menu, select **Deliveries List**. The Delivery List page is displayed.
2. Enter your search criteria, see [Searching](#).
3. Select the required tenderable contract and click **View/Delete SDN**. The Sellers Delivery Notice List page is displayed.
4. Select the required seller's delivery notice and click **Delete Sellers Delivery Notice**.
5. Click **OK** on the confirmation message.

6. Reports

6.1 Viewing Documents

Any files or reports generated are listed and can be viewed. All are in PDF format.

The following are examples of documents:

- Seller Delivery Invoice
- Buyer Delivery Invoice
- Monthly Storage Charge Invoice
- Conversion Invoice.

1. On the **Reports** menu, select **Documents List**. The Documents List page is displayed.

NYSE Liffe Guardian

Created: Today | Delivery: All | Report Type: All

Date/Time	Report Type	Title	Contract	Notice/Tender Day	Size	Document Type
04 Mar 2009 07:18	Sellers Account Sale	Seller Delivery Invoice	ZG	04 Mar 2009	90 KB	
04 Mar 2009 07:18	Sellers Account Sale	Seller Delivery Invoice	ZG	04 Mar 2009	91 KB	
04 Mar 2009 07:18	Buyers Invoice	Buyer Delivery Invoice	ZG	04 Mar 2009	91 KB	

2. Select when the document was created and the document type.
3. Enter or select your search criteria, see [Searching](#).
4. Select the required document and click **Open**.

7. Files and Data

7.1 Exporting Delivery Invoices

1. On the Files menu, select Export Delivery Invoices. The Export Delivery Invoices page is displayed.

2. Select the required Product, Delivery Period and Notice Day.
3. Click **Export**. The File Download dialog is displayed.
4. Select whether to open or save the csv file.

7.2 Exporting Data

Data can be exported from a number of pages where the Export button is displayed, for example, the Current Inventory. Data is exported in CSV format.

All the records available on the page will be exported, for example if no filter is applied an unlimited number of records can be exported. Filter the records prior to exporting the data, see [Filtering Records](#).

1. On the relevant page, enter your search criteria, see [Searching](#).
2. Click **Export**.
3. Select whether to Open or Save the data.

8. Admin

8.1 Viewing Users

Users with the status of principal user are able to add and maintain other users for the same member.

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.

NYSE Liffe Guardian

Home Inventory Deliveries View Reports Admin

NYSE Liffe **User Maintenance (Test-Client)** [My Account](#) | [Logout](#)
User: HelenaDMem (Member)

Add user Edit user Delete user Unlock user Lock user Reset password Go

Company	User name	First name	Last name	Base Role	Last activity	Locked out
MemberA	adamspencermembera	james	adamson	Member	11/02/2009 10:57:29	<input type="checkbox"/>
MemberA	HelenaDMem	Helena	Duzniak	Member	02/03/2009 12:00:08	<input type="checkbox"/>
MemberA	MemberA.RJ	Richard	Jennings	Member	23/02/2009 23:34:26	<input type="checkbox"/>
MemberA	MemberADT	Dan	Tate	Member	02/03/2009 10:39:20	<input type="checkbox"/>

Buttons are available to [Add User](#), [Edit User](#), [Delete User](#), [Unlock User](#), [Lock User](#) and [Reset Password](#).

8.1.1 Adding a User

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.
2. Click **Add User**. The User Edit page is displayed.

NYSE Liffe **User Edit (Test-Client)** My Account | Logout
User: HelenaDMem (Member)

NYSE Liffe Guardian

User Name:

First Name:

Last Name:

Email:

Comment:

3. Complete the fields. All but the Comment field must be completed.
4. Click **Save**.

A password is automatically generated and emailed to the users registered email address. The username will be provided by the system administrator directly.

A user needs to be assigned a role in order to access functions.

8.1.2 Editing a User

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.
2. Select the required user and click **Edit User**. With the exception of the User Name, all the fields can be modified.
3. Add or change the role(s) assigned to a user as appropriate.

Role name	Role description
MemberRole	MemberRole
Member - Principal	Template Role

Select the role assigned to the user and click **Remove Role**.

4. Click **Save**.

8.1.3 Deleting a User

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.
2. Select the required user and click **Delete User**. A confirmation message is displayed.

8.1.4 Locking a User

If a user is locked out of their account they cannot logon. A user can be locked out by the principal user or another user with the appropriate permissions to do so. A user can also be locked out if they have three failed login attempts.

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.
2. Select the required user and click **Lock User**.
3. Click **OK** on the confirmation message.

8.1.5 Unlocking a User

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.
2. Select the user which has been locked and click **Unlock User**.
3. Click **OK** on the confirmation message.

8.1.6 Resetting a User's Password

If a user forgets their password, their existing password can be reset by another user with the appropriate permissions to do so.

A new password is automatically generated and sent to the email address held with the user details. The user will be prompted to change the new password when they first log in. A user cannot have his password reset if the account is locked.

1. On the **Admin** menu, select **User Maintenance**. The User Maintenance page is displayed.
2. Select the required user and click **Reset Password**.
3. Click **OK** on the confirmation message.

8.2 Viewing Roles

Users are assigned roles which allow them access to specific functions. The functions associated with a role can be maintained.

1. On the **Admin** menu, select **Roles Maintenance**. The Roles Maintenance page is displayed.

NYSE Liffe Guardian

NYSE Liffe Roles Maintenance (Test-Client)

My Account | Logout
User: HelenaDMem (Member)

Add New Role Edit Permissions Go

Role name	Company	Role description
adamtest2	MemberA	test2
MemberRole	MemberA	MemberRole

Buttons are available to [Add New Role](#) and [Edit Permissions](#).

8.2.1 Adding a New Role

A principal user can create roles which have a subset of the functions available to the principal user.

1. On the **Admin** menu, select **Roles Maintenance**. The Roles Maintenance page is displayed.

NYSE Liffe Guardian

NYSE Liffe Role Edit (Test-Client)

My Account | Logout
User: HelenaDMem (Member)

Role Name:


Description:

Save Cancel

2. Click **Add New Role**. The Role Edit page is displayed.
3. Enter a name for the role and provide a description.
4. Click **Save**. The list of functions is displayed.
5. Select the checkboxes adjacent to a function to allow the user to view, add, edit and delete.
6. Click **Save**.

8.2.2 Editing the Permissions Associated with a Role

1. On the **Admin** menu, select **Roles Maintenance**. The Roles Maintenance page is displayed.
2. Select the required role and click **Edit Permissions**.



NYSE Liffe

NYSE Liffe Guardian

Home
Inventory
Deliveries
View
Reports
Admin

Role Edit (Test-Client)

[My Account](#) | [Logout](#)
User: HelenaDMem (Member)

Role Name:

Description:

Permissions to the features

Feature	Access	Add	Edit	Delete
About Guardian	<input type="checkbox"/>			
Accept/Reject Transfer	<input type="checkbox"/>	<input type="checkbox"/>		
Batches	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Current Inventory	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
Delivery Deadline Change Approval/Rejection.	<input type="checkbox"/>		<input type="checkbox"/>	
Delivery Deadline Change Proposal.	<input type="checkbox"/>		<input type="checkbox"/>	
Delivery Deadlines	<input type="checkbox"/>			
Deliveries	<input type="checkbox"/>			
Delivery History	<input type="checkbox"/>			
Delivery Periods	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Documents List	<input type="checkbox"/>			
Home	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Import Warrants	<input type="checkbox"/>			

3. Modify access to functions as appropriate and click **Save**.