Financial Services Authority

Procedures for electronic submission to the UK Listing Authority

External Users

Contents

1 User roles and system terms

"ELS System"

The Electronic Submission System accessed via the internet.

"Corporate User"

External users, who can create new cases, submit documents and issue a Login ID and password to a Case User.

"Case User"

External users who can submit documents after accessing the ELS system using the Case Number and Password generated by the Corporate User.

"Document Type"

The type of document you are submitting to the UKLA (e.g.: Listing Particulars, Prospectus, Registration document, Summary document, Chapter 14 circular etc).

"Transaction Type"

The nature of the transaction detailed within the document you are submitting (e.g.: acquisition, further issue of equity, MTN Programme).

2 Logging on as a Corporate User

As a Corporate User you can login to the ELS System site via the internet, using the following address "https://www.fsa.gov.uk/els"

You will then see the page below, which asks you to input your firm's Login ID or Case Number and Password. Your Corporate User Password will previously have been provided to you by the Admin Team at the UKLA (when you originally subscribed to ELS).

Once the Login ID and Password have been entered, click on the "Login" Button below the Password box. This will bring you into the "Corporate User Home" page shown below.

This page shows all cases created by a Corporate User.

Once a document has been submitted, the UKLA will assign an ELMS RA/DC case reference to each case which includes the issuer name.

Corporate Users can also sort cases submitted to the UKLA in three ways, using the "Sort Options" drop down box. The three possible sort mechanisms are:

• Date Submitted;

• RA or DC Case reference; and

• None - the default view will show cases in descending number order (i.e. newly created cases at the top).

To sort cases, click on the arrow of the "Sort Options" drop down box, and select one of the options. You should then insert a tick in the "Save Settings" box and click on the "Search Cases" button. This will re-arrange the cases in the selected way.

As a Corporate User, you can also view individual documents that have been submitted for each case (see "Viewing Document List from Corporate User Home Page" section below).

3 Creating new cases (as a Corporate User)

A Corporate User can create cases by simply clicking on the "New Case" button on the left hand side of the Corporate User Home Page.
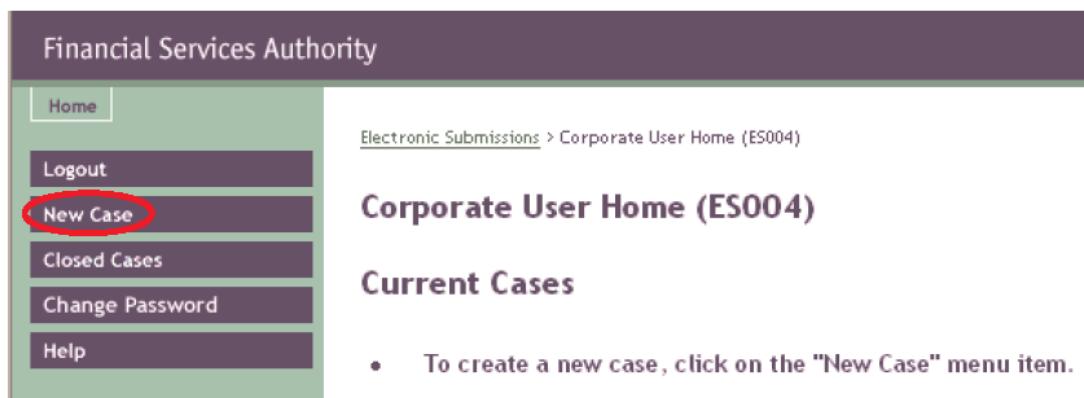
Once the "New Case" option is selected, a case reference will be automatically created by ELS and displayed in the list of cases, on the Corporate User Home page. This is a unique reference number that denotes the specific case.

The first submission date will also be automatically displayed as today's date.

The column highlighted "PWD" indicates whether a password has been created for a particular case. This field will either display "No" or "Yes" and is automatically updated once a password is created. The default "PWD" value for a new case is "No".

4 Document submission (as a Corporate User)

To submit the first document for a case, click on the case number on the 'Document List form'. The "View/Edit Case" page is then displayed as shown below. The fields marked in red are mandatory:

At the bottom of the Main Case Contact page, there is an "Attach First Submission" section.

Select the relevant document type from the drop down box, attach the file and enter a draft reference number.

To submit the attached document, click once on the "Browse" button and attach the relevant file.

Once all relevant details have been entered, click on the "Submit Document" button to submit the document to the UKLA.

Once the submission has been accepted, the "Document List" page will appear (as shown below), which summarises all the submissions for a particular case.

To submit further drafts of the **SAME** document type, click the "New Draft" button. A "Submit Document" page will appear requesting details of the next submission, and allowing you to attach a copy of the submission itself.

If you need to submit a **NEW** document type, then you should click on the "Create Submission" button on the "Document List" page.

Viewing "Document List" page from Corporate User home page

If you have already submitted at least one document for a case as a Corporate User, you can always access the Document List page for that case from the Corporate User home page.

To do this, click on the "Case Number" link for the relevant case on the list of cases shown on your Corporate User home page.

5 Creating passwords for a case (as a Corporate User)

To generate a password for a case, click on the "Password Protect" button on the "Corporate User Home" page.

Once this button has been clicked, a warning box will appear asking for confirmation of the decision to create a case password. If "OK" is clicked, a password will be produced. If you click the "Cancel" button, you will return to the Corporate User Home Page

Once a password for a case has been created the following page will appear:

Please ensure you print off and file the Case User Login ID (a case number) and the Password somewhere safe as this is the last time they will be displayed.

You can now distribute the case number login ID and password to the Case Users working on that transaction.

The "re-generating a password for a case" section below explains what you should do if the password for a case is forgotten.

Click on the "Home" button in the left hand frame of the "Case User Credentials" page to return to the "Corporate User Home" page. The "PWD" flag for that case will have changed from "N" to "Y".

Why password protect a case?

It is not mandatory to generate a password for a particular case.

A case should be password protected if you do not wish individuals submitting documents on that case to have access to the entire list of cases for which your firm is responsible and which is shown on the Corporate User home page.

Password protecting individual cases is offered as an alternative to sharing your firm's Corporate User Login ID and password with individuals who should not have access to all cases.

Re-generating passwords for a case

If a password for a case is forgotten, a Corporate User can re-generate a password at any time by clicking the "password protect" button for that case. You can then distribute the re-generated password to the Case Users working on that transaction.

6 Changing a Corporate User password

Corporate Users can change their own Corporate User password by clicking on the "Change password" button on the left hand side of the Corporate User page.

If the "Change Password" button is clicked, a "Change Password" page will appear asking for details of the old and new password.

The new password must be at least 8 characters long and contain at least 1 capital letter, 1 lower case letter and 1 number.

Once all relevant details have been entered, click on the "Change" button to preserve the change.

Requesting a replacement Corporate User password

If you forget your Corporate User password and cannot log on to ELS, please notify the UKLA helpdesk on 0207 066 8333 (choose the option for ELS System queries).

You will be asked to fax a request for a new password on headed fax paper to the Administration Team at the UKLA on 020 7066 8362. A new password will then be faxed back to you.

7 Closed Cases page

On the Corporate User Home page, the "closed case" button on the left hand frame enables a Corporate User to view a list of closed cases.
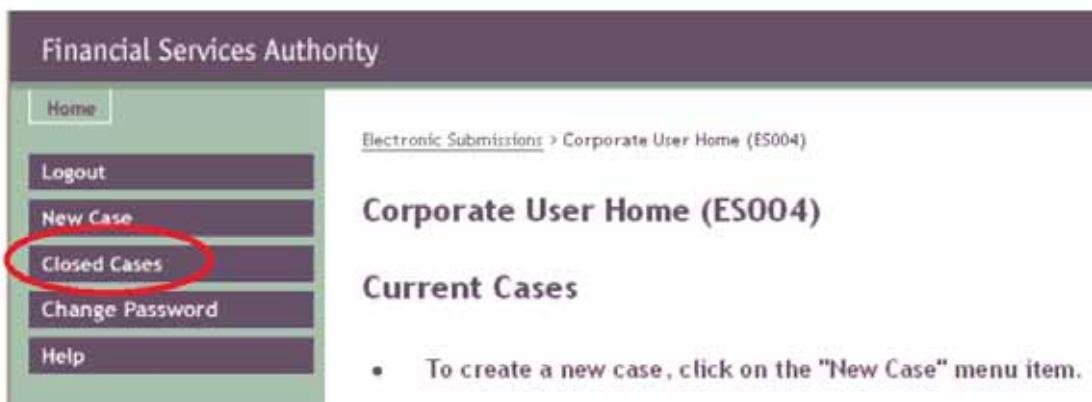
If this button is clicked, the following page will be displayed listing all of the cases created by the Corporate User that have been closed by the UKLA:

8 Logging on as a Case User

As a Case User, you should have obtained a Login ID (the case number e.g.: "1003") and Password from the Corporate User (See page 11).

Log in to the system by inputting the Login ID (case number) and password. You will be immediately asked to change the password you were given by the Corporate User to something more memorable.
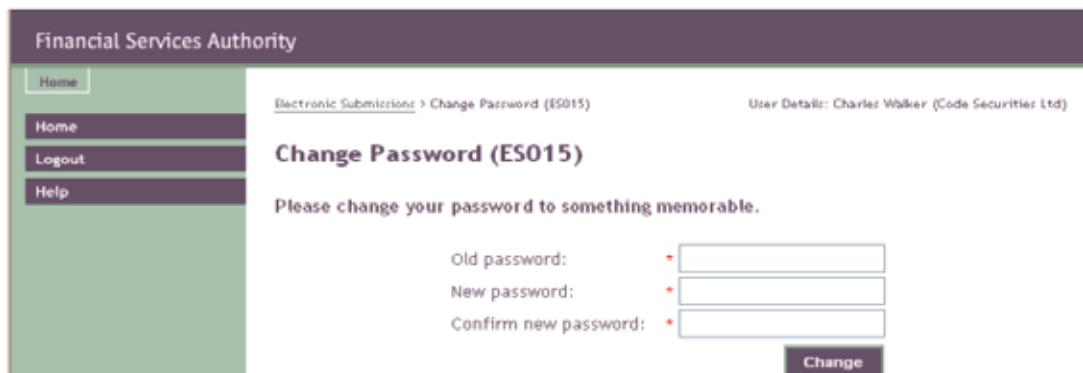
The new password must be at least 8 characters long and contain at least 1 capital letter, 1 lower case letter and 1 number.

Once you have entered a new password and confirmed it, click on the "Change" button. The "Document List" page will be displayed (see below).

Please distribute the new password to other Case Users for the case or to the Corporate User for onward distribution to other Case Users.

If the password for the case is forgotten please contact your Corporate User. A Corporate User is able to re-generate passwords for any case (see page 12).

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Home
Logout
Create Submission
Help

Electronic Submissions > Document List (ES003)

User Details: Ferenc (shg)

Document List (ES003)

- To submit a new document type, click the "Create Submission" menu item.
- To submit a new version of an existing document, click the "New Draft" button.
- To view a submitted document, click the link in the "Draft No" column.
- To view details about the case (including main case contact details) click the link for the case number below.

Submission History for Case Number: 2699 (A Test Issuer)

Document Type		Draft No	Submitter	Submitter Company	Submission Date
11.7(h) Related Party Letter	New Draft	1	A Test Contact	A Test Company	25-APR-2005

The "Document List" page displays a list of the documents that have previously been submitted for the case.

9 Updating case details

As a Case User you can alter the main details for a case that were originally entered by a Corporate User.

To edit the main details for a case click on the case number link on the Case User home page.

Insert the required information on the "View/Edit Case" page (please note that fields marked in red are mandatory).

Click "Save" to preserve you changes and return to the Case User home page.

10 Submission of a new document type by a Case User

To submit a new document type to the UKLA, click on the "Create Submission" button in the left hand frame of the "Document List" page.

The "Submit Document" page will be displayed.

If you are not the main contact for the case, enter your contact details into the fields provided on the "Submit Document" page.

Use the "Attach Document" section to submit a new document. Choose an applicable document type from the drop down list. Click on the "Browse" button and select the document you wish to submit to the UKLA. Enter a draft number for the document. Lastly, click on the "Submit" button to submit your document securely to the UKLA.

You will now be presented with the "Document List" page.

To view any document that has been submitted for the case, click on the "Draft No" shown in green text in the second column.

To submit another document type, click on the "Create Submission" button again. Complete any outstanding fields and attach the document by repeating the steps in this section.

If you do not wish to submit another document type, click on the "Logout" button.

11 Submitting further drafts of the same document type

To submit further drafts of a document type that has already been submitted to the UKLA, log-in by using the security Login ID (case number) and password. The "Document List" page is displayed.

Click on the "New Draft" button to submit further drafts of the same document type:
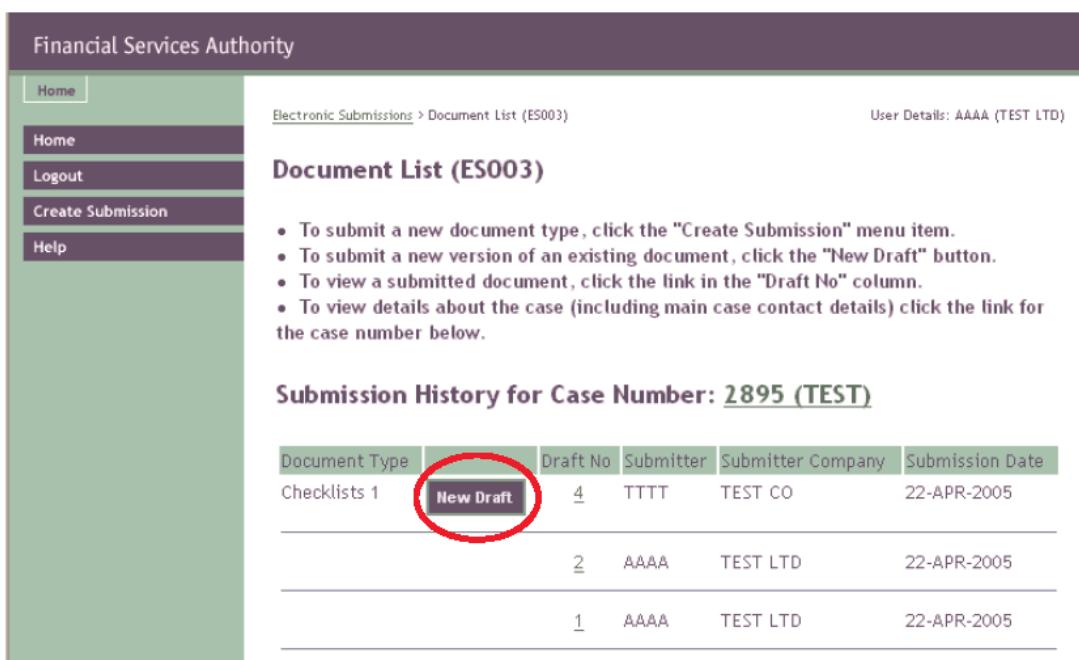
When the new draft has been attached and the new draft number inserted, click on the "Submit" button to submit the document to the UKLA. The "Document List" page will be displayed showing a summary of the documents that have been submitted for that case.

Click on the "Logout" button if you have completed all your submissions.

12 Timeout warning

To aid security, ELS is programmed to timeout if ELS is left idle for 30 minutes. This is to prevent unauthorised use of ELS whilst the legitimate Corporate User is away from his/her desk.

To pre-warn Case Users and Corporate Users of when a timeout will occur, a warning page will appear 20 minutes after ELS has been left idle and 10 minutes before the timeout occurs.
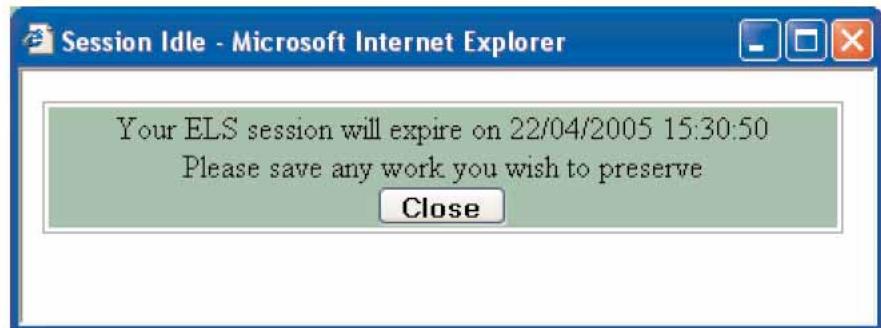
If you receive this warning, please ensure anything you have input into ELS is saved, otherwise any data input and not saved will be lost when ELS times out.