



Financial Services Authority

Procedures for electronic submission to the UK Listing Authority

External Users

June 2005

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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).



The screenshot shows the 'Welcome (ES001)' page of the FSA ELS System. The page has a dark purple header with the text 'Financial Services Authority'. Below the header, there is a green sidebar with 'Home' and 'Help' buttons. The main content area has a white background. At the top of the content area, there are three buttons: 'Electronic Submissions > Welcome (ES001)', 'User Details: N/A (N/A)', and a 'Logout' button. Below these buttons, the text 'Welcome (ES001)' is displayed in bold. A message in black text reads: 'Please enter your login (Corporate Users) or case number (Case Users) and the relevant password and then click the "Login" button.' Below the message, there are two input fields: 'Login ID or Case Number:' and 'Password:', both marked with a red asterisk to indicate they are mandatory. To the right of these fields is a dark purple 'Login' button. At the bottom of the page, a red note says: 'Items marked in red are mandatory'.

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.

Financial Services Authority

Logout
New Case
Closed Cases
Change Password
Help

Electronic Submissions > Corporate User Home (ES004)

User Details: ferenc (d16)

Corporate User Home (ES004)

Current Cases

- To create a new case, click on the "New Case" menu item.
- To create the first submission for a new case or view existing case details, click on the link in the case number column.
- If you wish to password protect a case, click on the "password protect" button for the relevant case. Please then disseminate the automatically generated password to only the case users who should have access to that case. After logging in, a case user will be able to change the automatically generated password to something more memorable.
- If a case password is forgotten, a new password can be re-generated at any time by clicking on the "password protect" button again.

Sort Options: None	Save Settings: <input type="checkbox"/>	Search Cases				
Case Number	RA/DC Case Reference	First Submitted Date	Alias Submitter	Issue	Pass.	
2701		26-APR-2005	Paul Malam	Smiths Plc	No	Password Protect
2699		25-APR-2005	A Test Contact	A Test Issuer	Yes	Password Protect

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:

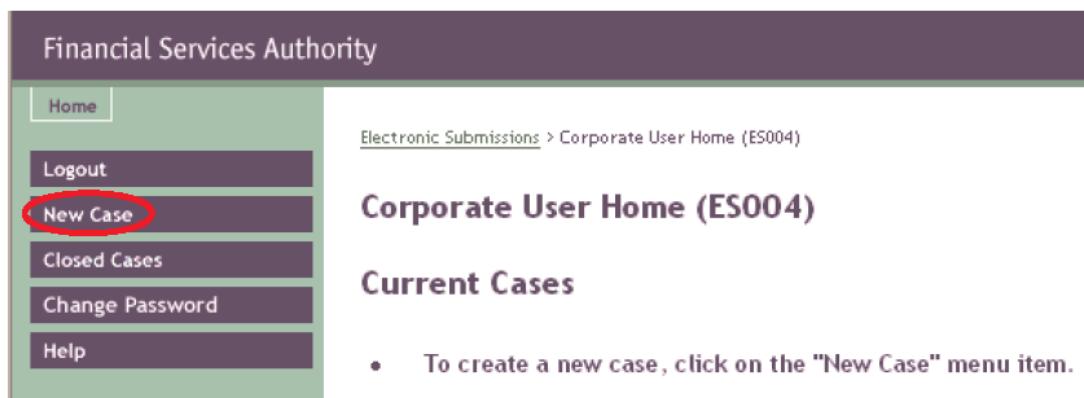
- Date Submitted;
- RA or DC Case reference; and
- None - the default view will show cases in descending number order (i.e. newly created cases at the top).

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:

The screenshot shows the 'View/Edit Case (ES009)' page. The main content is divided into several sections:

- Main Case Contact Details:** Contains fields for Company Name (red), Individual Contact, Phone Number, Fax Number, and Email Address.
- Contact Details of Submitter (If not main contact):** Contains fields for Company Name, Individual Contact, Phone Number, Fax Number, and Email Address.
- Case Information:** Contains fields for Transaction Type (red), Transaction Summary (red), Filer Name, Code Name, RA/ or DCF/ Case Reference, and a large text area for Transaction Summary.
- Attach First Submission:** Contains fields for Document Type (red), File (red), and Draft No. (red). It includes a 'Browse...' button and a 'Submit Document' button.

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.

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Home | Electronic Submissions > Document List (ES003) | User Details: Charles Walker (Code Securities Ltd)

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: 2895 (TEST)

Document Type	Draft No	Submitter	Submitter Company	Submission Date
Checklists 1	1	AAAA	TEST LTD	22-APR-2005

New Draft

Page last updated 16/01/2002 | Legal information | © Financial Services Authority

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.

Electronic Submissions > Submit Document (ES012) User Details: Charles Walker (Code Securities Ltd)

Submit Document (ES012)

Contact Details of Submitter (If not main contact)

Company Name:	
Individual Contact:	
Phone Number:	
Fax Number:	
Email Address:	

Attach Document

Document Type:	Checklists 1
File:	<input type="button" value="Browse..."/>
Draft No:	

Submit Document

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

Financial Services Authority

Electronic Submissions > Document List (ES003)

Document List (ES003)

Create Submission

- 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.

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.



The screenshot shows the 'Corporate User Home (ES004)' page. The left sidebar has menu items: Home, Logout, New Case, Closed Cases, Change Password, and Help. The main content area is titled 'Corporate User Home (ES004)' and 'Current Cases'. It contains a table with the following data:

Case Number	RA/ or DCF Case Reference	First Submission Date	Main Submitter	Issuer	Pwd	Actions
2701		26-APR-2005	Paul Malam	Smiths Plc	No	Password Protect
2699		25-APR-2005	A Test Contact	A Test Issuer	Yes	Password Protect

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.

Case Number	PA/ or DC/ Case Reference	First Submission Date	Main Submitter	Issuer	Pwd.	
<u>2700</u>		25-APR-2005	fe	dddd	No	Password Protect
<u>2699</u>		25-APR-2005	ferenc	123dew	No	Password Protect

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:

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Home

Home

Logout

Help

Electronic Submissions > Case User Credentials (ES005)

User Details: Charles Walker (Code Securities Ltd)

Case User Credentials (ES005)

Case Number/Username: 2895

New Password: L6zjQE71 **NOTE: This password will not be displayed again**

Page last updated 16/01/2002 | Legal information | © Financial Services Authority

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.



The screenshot shows the 'Corporate User Home (ES004)' page. At the top, there is a navigation bar with 'Home' and 'Logout' buttons. Below this is a sidebar with 'New Case', 'Closed Cases', and 'Change Password' buttons. The 'Change Password' button is circled in red. The main content area displays the title 'Corporate User Home (ES004)' and a section titled 'Current Cases' with a bullet point: 'To create a new case, click on the "New Case" menu item.'

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



The screenshot shows the 'Change Password (ES015)' page. At the top, there is a navigation bar with 'Home', 'Logout', and 'Help' buttons. The main content area displays the title 'Change Password (ES015)' and a message: 'Please change your password to something memorable.' Below this are three input fields: 'Old password', 'New password', and 'Confirm new password', each preceded by a red asterisk. A 'Change' button is located at the bottom right of the form.

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.

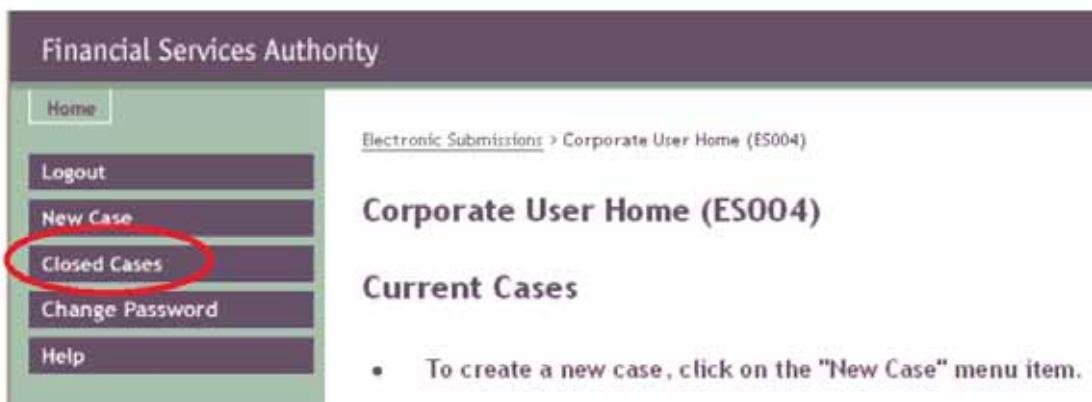
Requesting a replacement Corporate User password

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.



The screenshot shows the 'Corporate User Home (ES004)' page. On the left, a vertical menu bar lists 'Logout', 'New Case', 'Closed Cases' (which is circled in red), 'Change Password', and 'Help'. The main content area displays the title 'Corporate User Home (ES004)' and 'Current Cases'. A bullet point states: 'To create a new case, click on the "New Case" menu item.'

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:



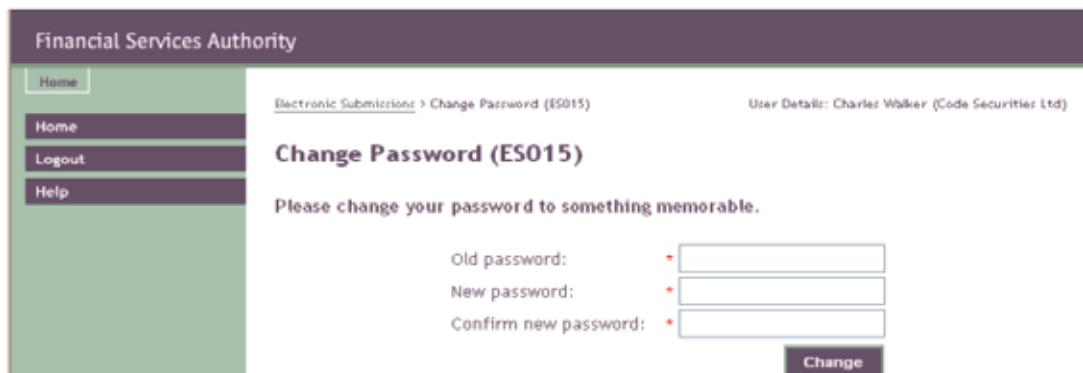
The screenshot shows the 'Closed Cases (ES014)' page. The left menu bar is identical to the previous page. The main content area displays the title 'Closed Cases (ES014)'. A table lists one case entry:

Case Number	RA/ or DC/ Case Reference	First Submission Date	Main Submitter	Issuer
2700	RA/A Test Case/00001	25-APR-2005	fe	dddd

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 screenshot shows a web page titled "Change Password (ES015)" from the Financial Services Authority. The page includes a sidebar with "Home", "Logout", and "Help" links. The main content area shows the URL "Electronic Submissions > Change Password (ES015)" and "User Details: Charles Walker (Code Securities Ltd)". It displays a form with three input fields: "Old password", "New password", and "Confirm new password", each marked with a red asterisk. A "Change" button is at the bottom right. The page has a dark header and a light green sidebar.

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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Electronic Submissions > Document List (ES003) User Details: Ferenc (sys)

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	1	A Test Contact	A Test Company	25-APR-2005

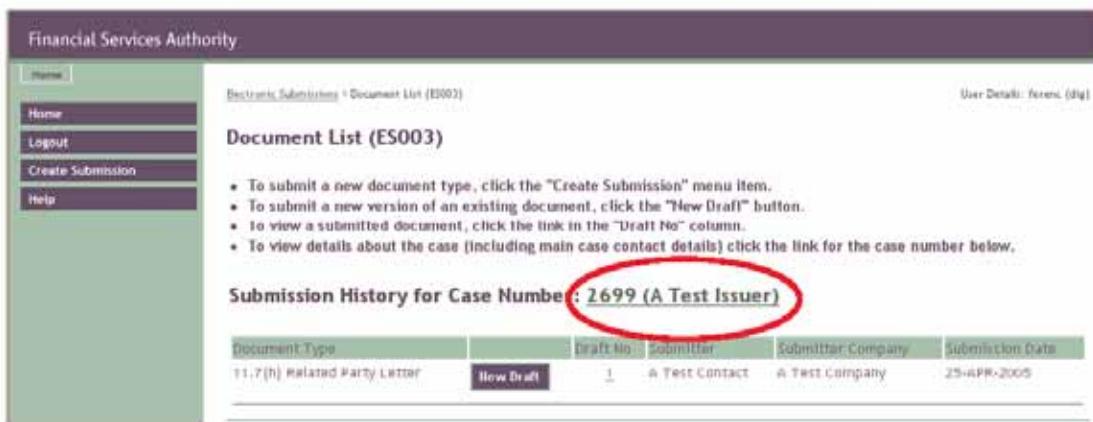
New Draft

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.



The screenshot shows the 'Document List (ES003)' page of the FSA Case Management System. The top navigation bar includes links for 'Home', 'Logout', 'Create Submission', and 'Help'. The main content area shows a table with the following data:

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

The 'Case Number' link in the table header, which is 2699 (A Test Issuer), is circled in red.

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

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Home | Logout | Help

Electronic Submissions > View/Edit Case (ES009) User Details: finenc (id:1)

View/Edit Case (ES009)

Main Case Contact Details

Company Name:	A Test Company
Individual Contact:	A Test Contact
Phone Number:	020
Fax Number:	020
Email Address:	terenctomas@fsa.gov.uk

Case Information

Transaction Type:	Acquisition
Transaction Summary:	This is a test Transaction Summary.
Issuer Name:	A Test Issuer
Code Name:	A Test Code Name
PA/ in DCR Case Reference:	PA/A Test Case/00001

Save

Click “Save” to preserve your 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.



Financial Services Authority

Home

Home

Logout

Create Submission

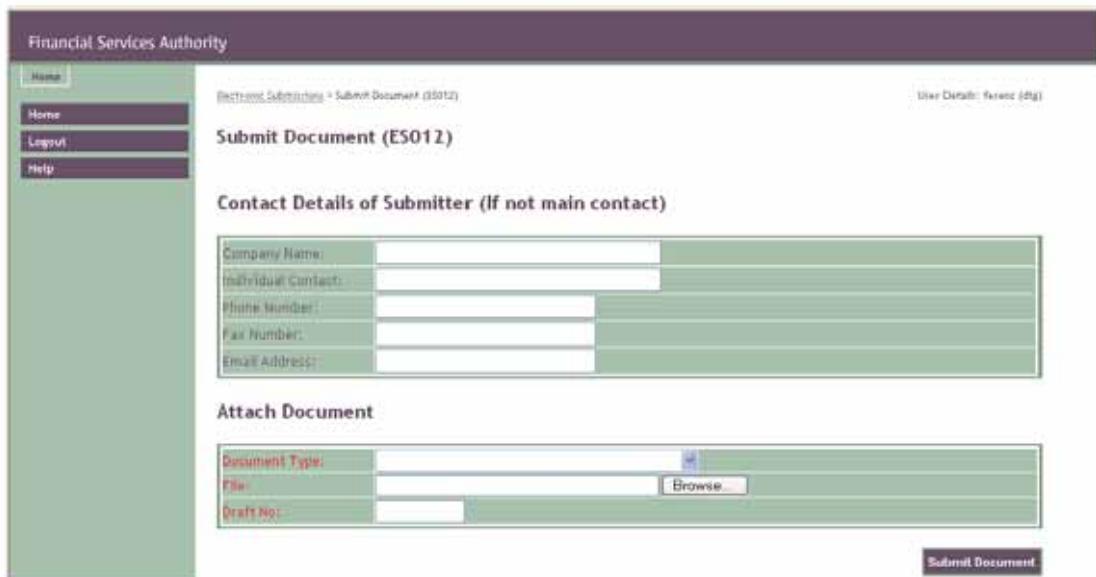
Help

Electronic Submissions > Document List (ES003)

Document List (ES003)

- To submit a new document type, click the "Create S
- To submit a new version of an existing document, cl
- To view a submitted document, click the link in the
- To view details about the case (including main case

The “Submit Document” page will be displayed.



Financial Services Authority

Home

Logout

Help

Electronic Submissions > Submit Document (ES012)

User Details: **fkenc (dgl)**

Submit Document (ES012)

Contact Details of Submitter (If not main contact)

Company Name:	
Individual Contact:	
Phone Number:	
Fax Number:	
Email Address:	

Attach Document

Document Type:	
File:	<input type="file"/>
Draft No:	

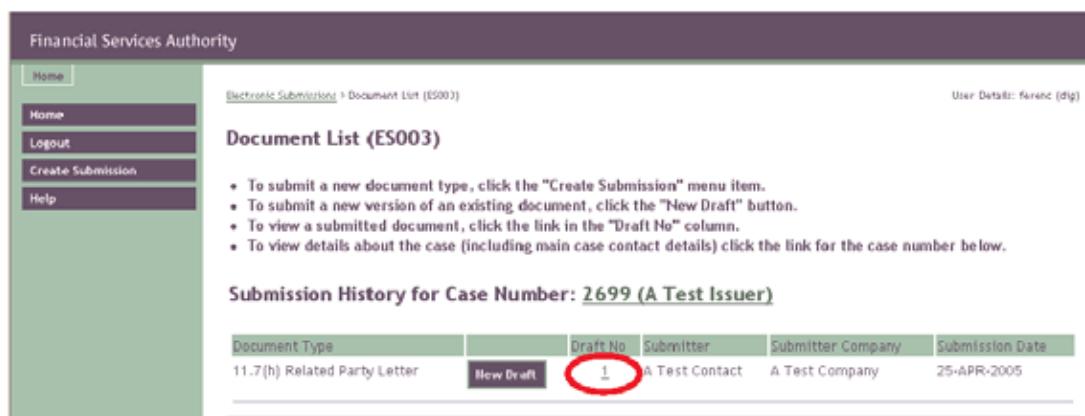
Submit Document

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.



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Home | Logout | Create Submission | Help

Electronic Submissions > Document List (ES003)

User Details: Ferane (dip)

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

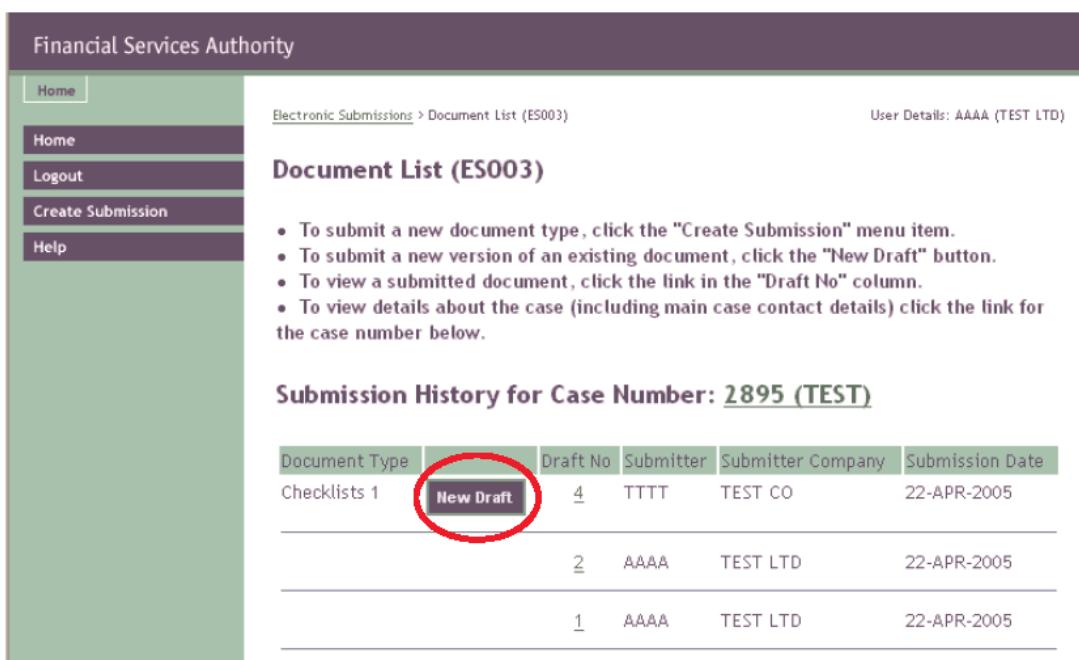
To submit another document type, click on the “Create Submission” button again. Complete any outstanding fields and attach the document by repeating the steps in this section.

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:



The screenshot shows the 'Document List (ES003)' page. The 'New Draft' button in the table header is circled in red.

Document Type		Draft No	Submitter	Submitter Company	Submission Date
Checklists 1	New Draft	4	TTTT	TEST CO	22-APR-2005
		2	AAAA	TEST LTD	22-APR-2005
		1	AAAA	TEST LTD	22-APR-2005

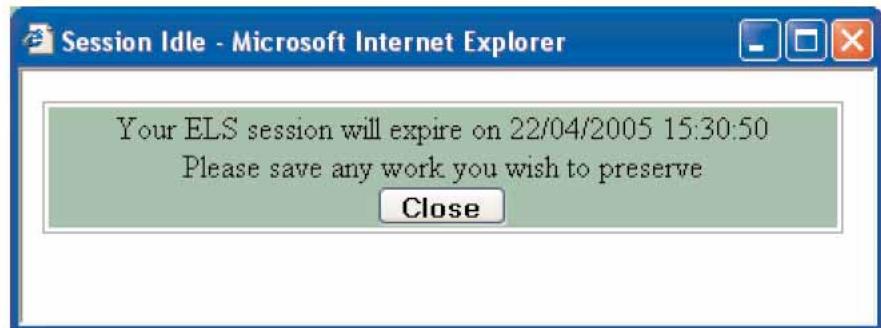
When the new draft has been attached and the new draft number inserted, click on the “Submit” button to submit the document to the UKLA. The “Document List” page will be displayed showing a summary of the documents that have been submitted for that case.

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.

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