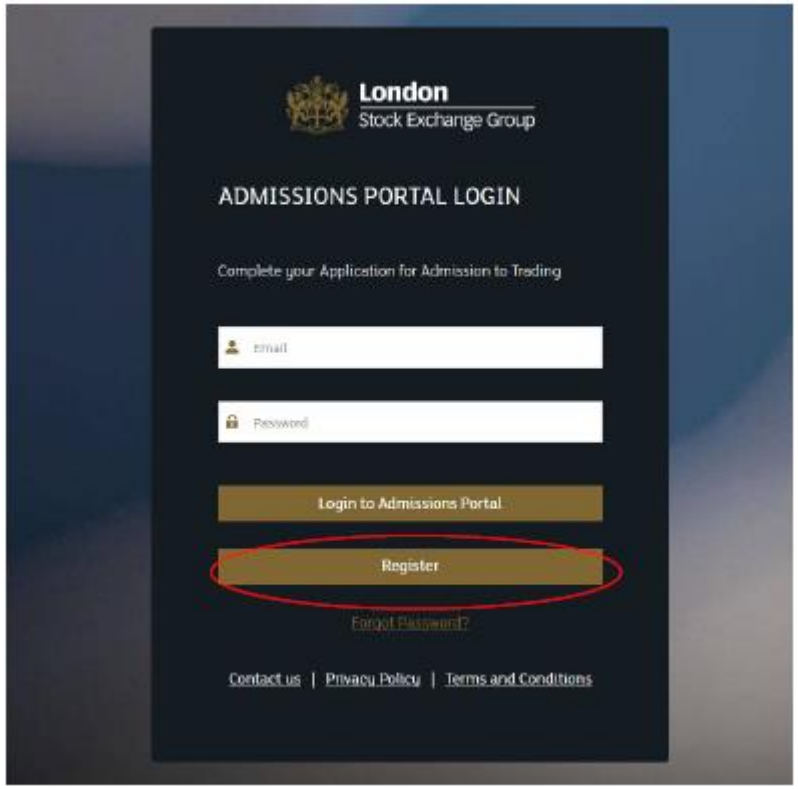
# Self Service Portal

**London Stock Exchange Group** 1 January 2022

# Contents

# Portal Access - Portal User Registration

- The Admissions Portal can be accessed by navigating to the following url - https://lseg.force.com/LSEadmissions
- New Users can register by selecting the ‘Register’ button



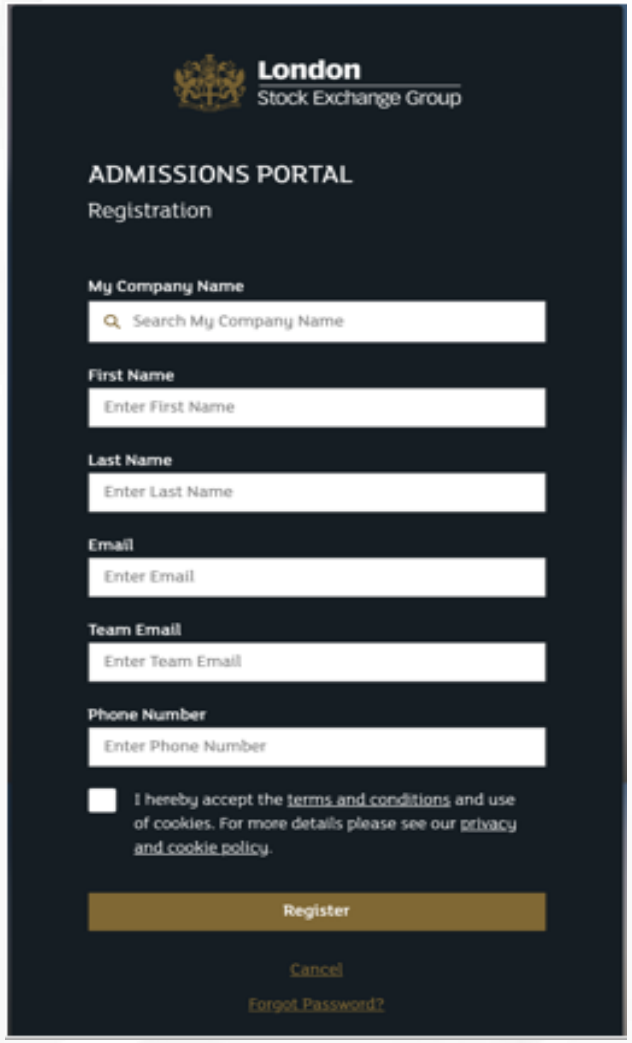
# Portal Access - Portal User Registration

- You will be presented with the Registration page
  - All details on this page are mandatory

- To begin, start typing in your company name into the **'My Company Name'** Field and select the appropriate one
  - Note: This is the name of your company, not that of the client.
  - If your company does not appear in this list, please progress to the Company registration section

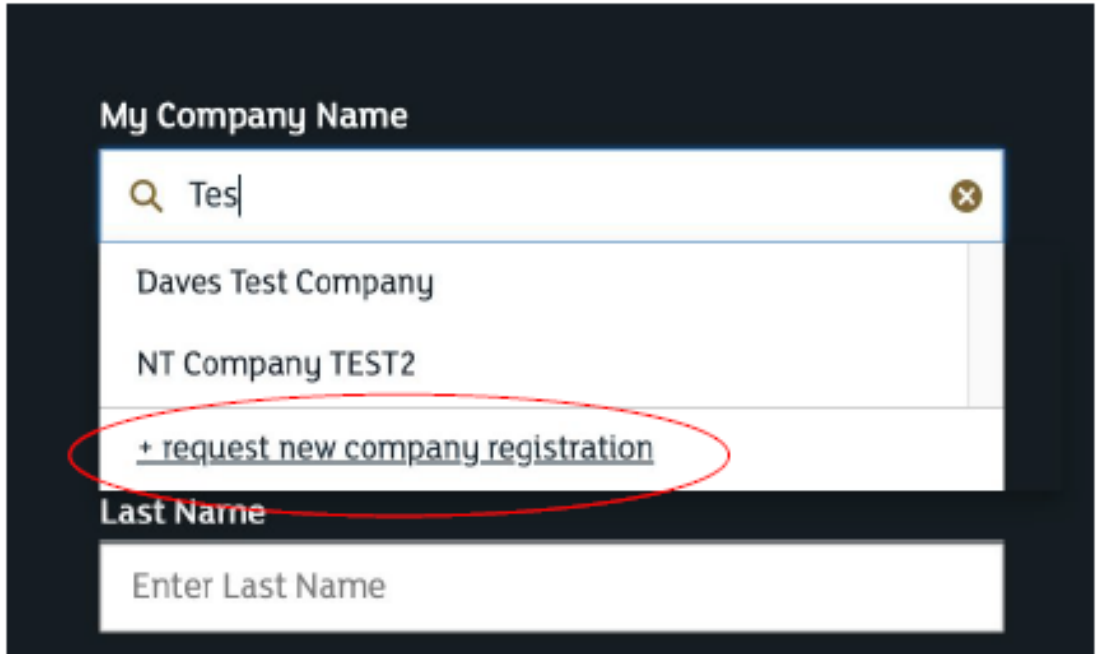
- Populate the 'First Name', 'Last Name', 'Email', 'Team Email' and 'Phone Number' Fields
  - The Email address you enter here will be where you receive all correspondence for the Admissions portal
  - The Team Email field should reflect a team/group email address.

- You must agree to the terms and conditions before you can proceed
- Select 'Register' to complete registration
- You will then receive an email with instructions on how to set your password



# Portal Access - Company Registration

- If you are attempting to register for the Admissions Portal and cannot see your company name, select the Request new company registration option



# Portal Access - Company Registration

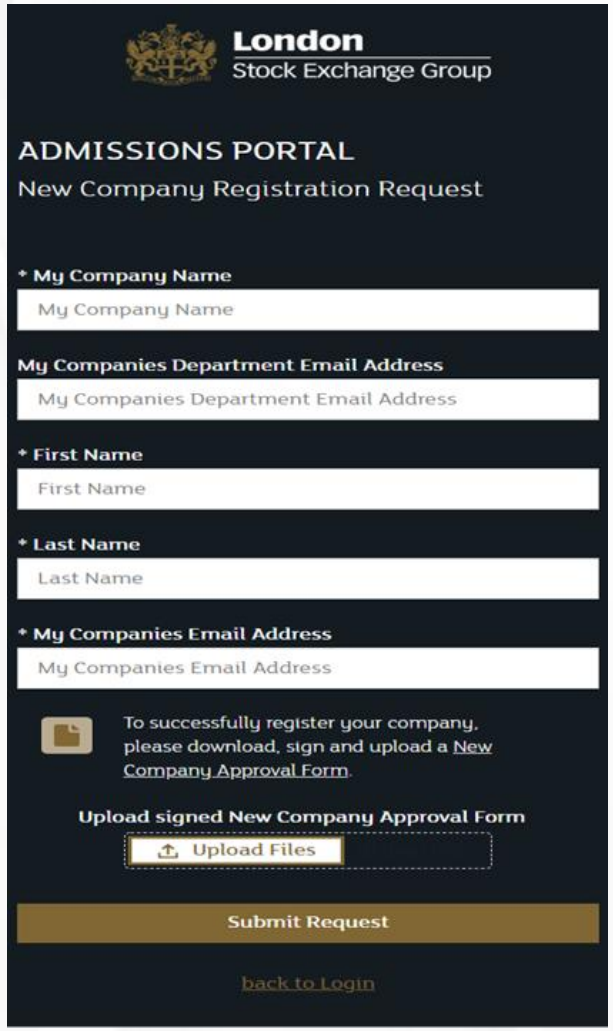
- To request the addition of your Company to the Admissions Portal(Your company has to be registered for you to register yourself as a user)

  You must complete all fields marked with an asterisk.

- Once all mandatory fields have been completed you must download the New Company Approval Form'. Once you have downloaded the form it is required that you complete the form and upload it back to this page.
  - To download the form select here:

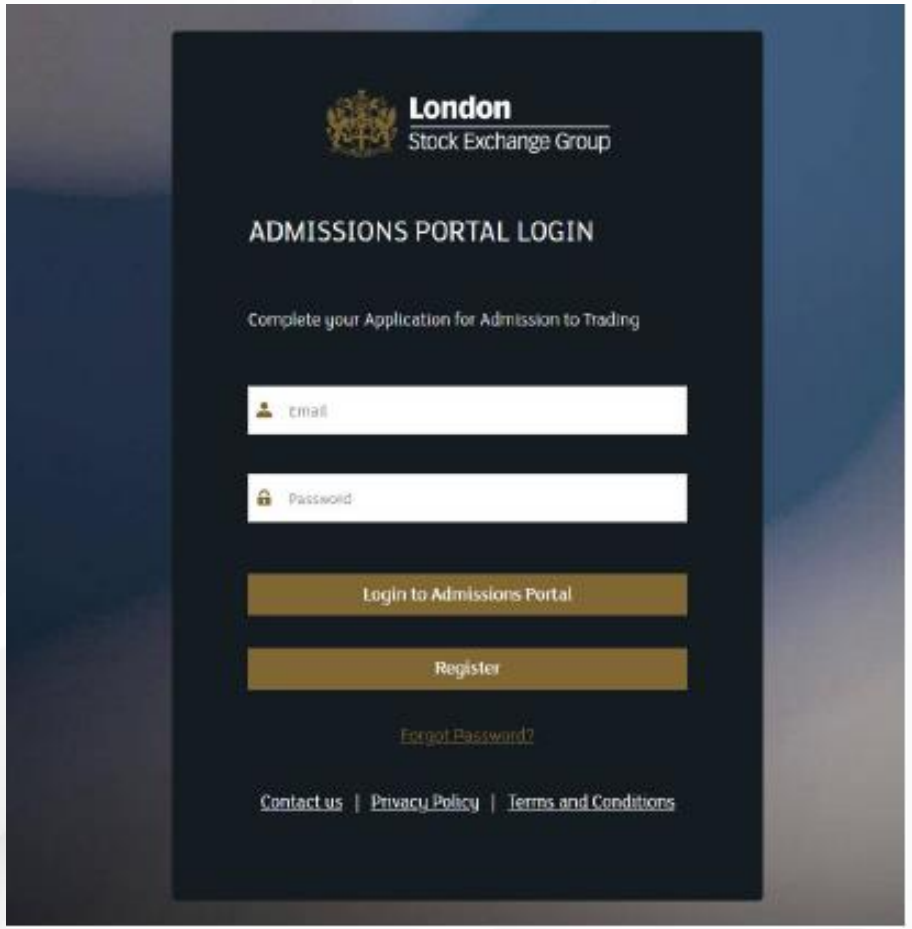
  - To Upload the completed form, select here:


- Once all the above has been completed, Select Submit request
  - Submitting the request sends this to the admissions team to approve, you will receive an email to confirm this.
  - Once your company registration has been approved, you will receive another confirmation email, you can then return to the login page to register against your company



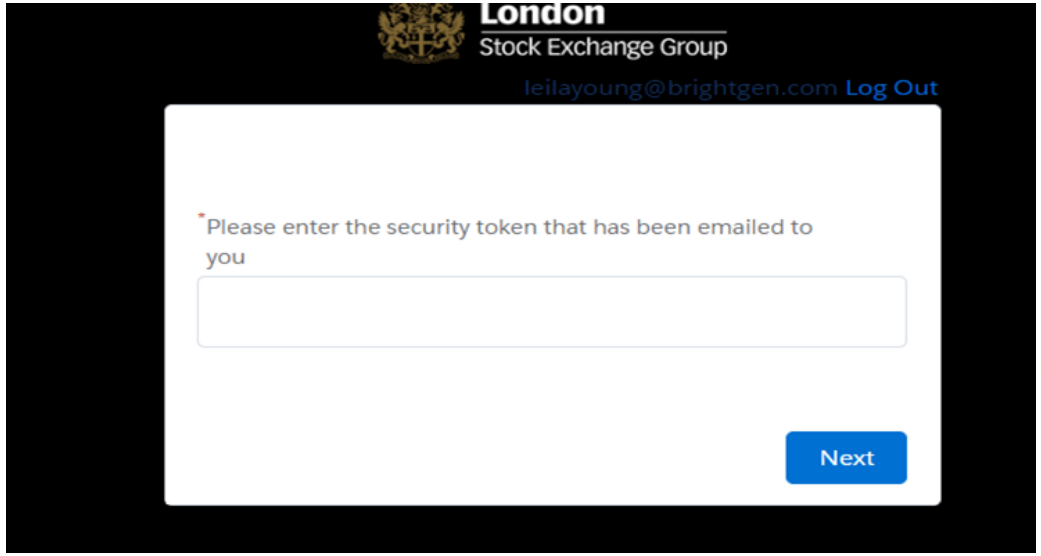
# Portal Access - Portal user Login/Password Reset

- To log in to the portal, you must enter the Username and Password set for you when you registered.
- Entering your password incorrectly 5 times will result in being locked out for 15 minutes.
- If you have forgotten your password, you may reset this using the ‘Forgot Password?’ option on this page.
- If you are having any further trouble with this page, you can request assistance via the ‘Contact us’ option on the page.
  - This page will provide you with useful contact details



# Portal Access - Portal user Login/Password Reset

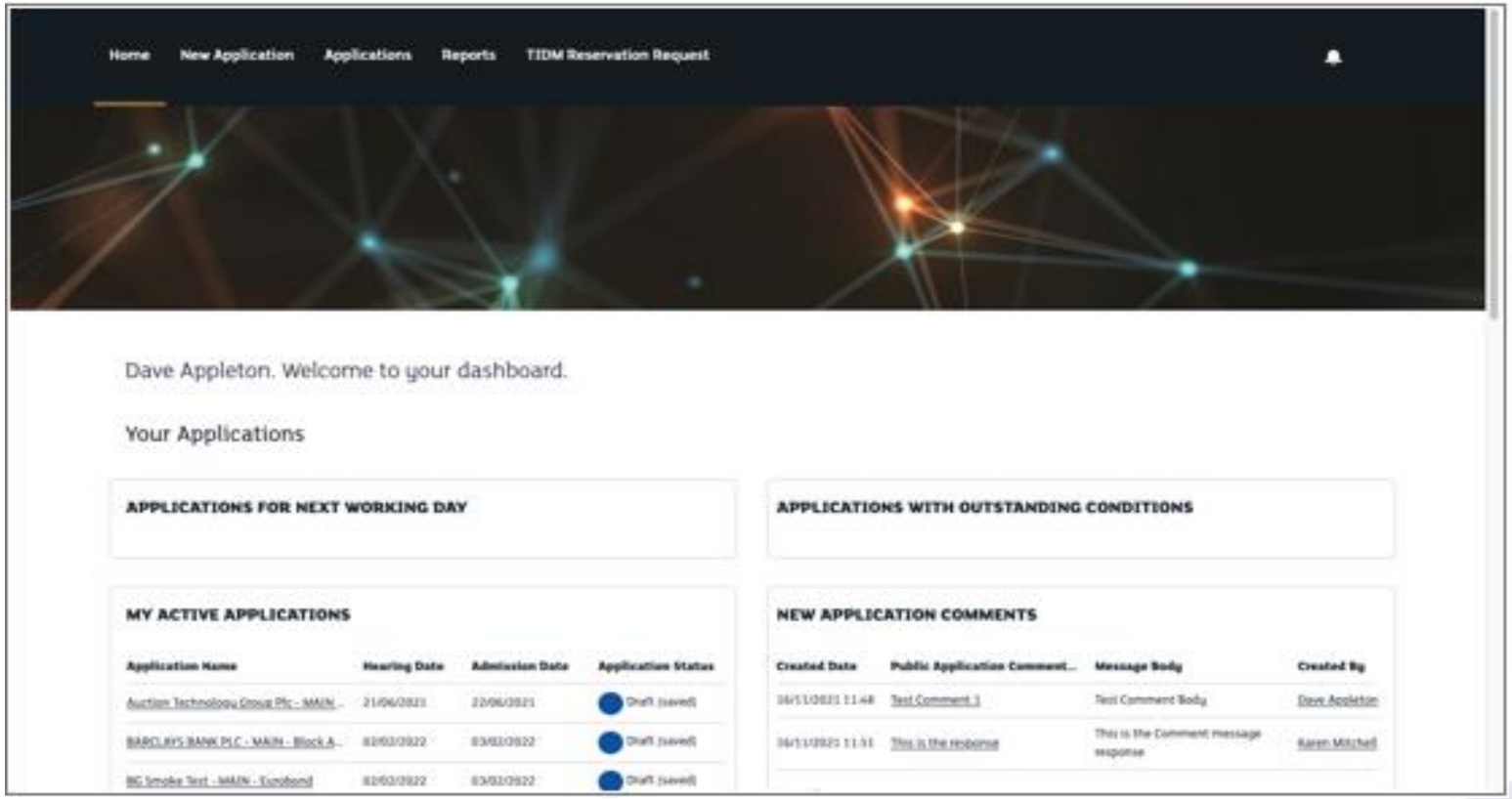
- Upon logging in you will be provided with the below page




- You will receive an email each time you log in, which will supply you with the appropriate security token
- This Token will be valid for 2 hours after receiving the email

# Portal - Home Page Navigation

- The first page you will land on is the Home page



# Portal - Home Page Navigation

- On this Page you have a Navigation Menu
  - This menu allows you to Navigate to various pages in the portal


**Home**

This tab will take you back to your homepage

**New application**

Selecting this tab will take you to the New Application form

**Applications**

This Tab will take you to a full list of all your Applications

**Reports**

This tab will allow you to view any application reports you have, if you have any available

**Contacts**

This tab is only available to Super users, this is where a Super user may access other users details to adjust user permissions

**TIDM Reservation Request**

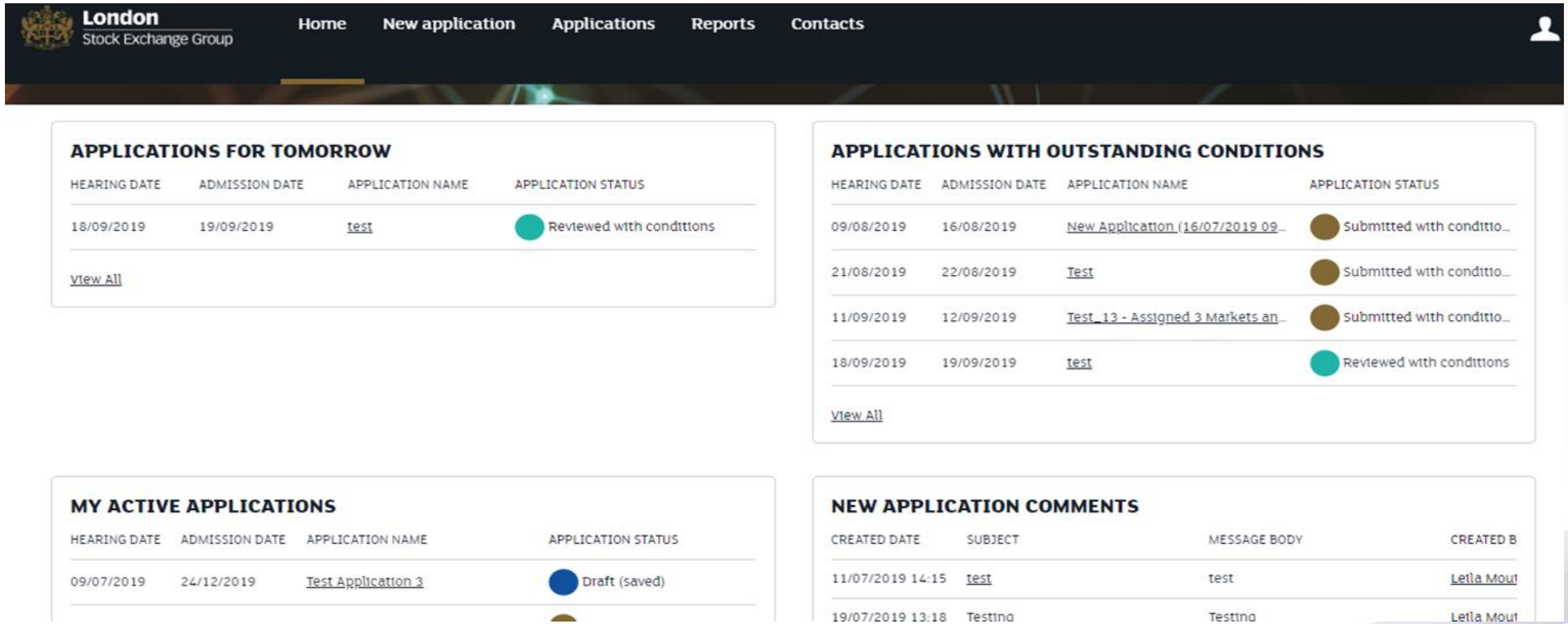
Provides the ability for you to reserve a TIDM for any future Applications

**User details (Right hand icon)**

By Selecting this icon you will be given the option to either view/edit your profile or Log out of the Portal

# Portal - Home Page Navigation

- The Dashboard Components on the home page allow you to view various different filtered data tables
- The Dashboards will show 5 lines of data at a time, to view more, select ‘View All’



# Portal - Home Page Navigation

The Dashboard Components on the home page are:

**Application for next working day**

The List view contains Applications where the admission date is tomorrow

**Applications with outstanding conditions**

This list view contains Applications where the Status is either ‘Submitted awaiting Condition’ or ‘ Reviewed awaiting Condition’

**My Active Applications**

This list view shows all Applications where you are the primary contact and they are not yet in the ‘Admitted’ Status

**New Application Comments**

This list view will show all Application comments for Applications where you are the primary contact, that have not yet been completed.

**New and in progress TIDM Requests**

Displaying any current TIDM Reservation requests that have not yet been completed.

**All TIDM reservation request comments**

Displaying comments regarding TIDM reservation requests.

**Admitted applications**

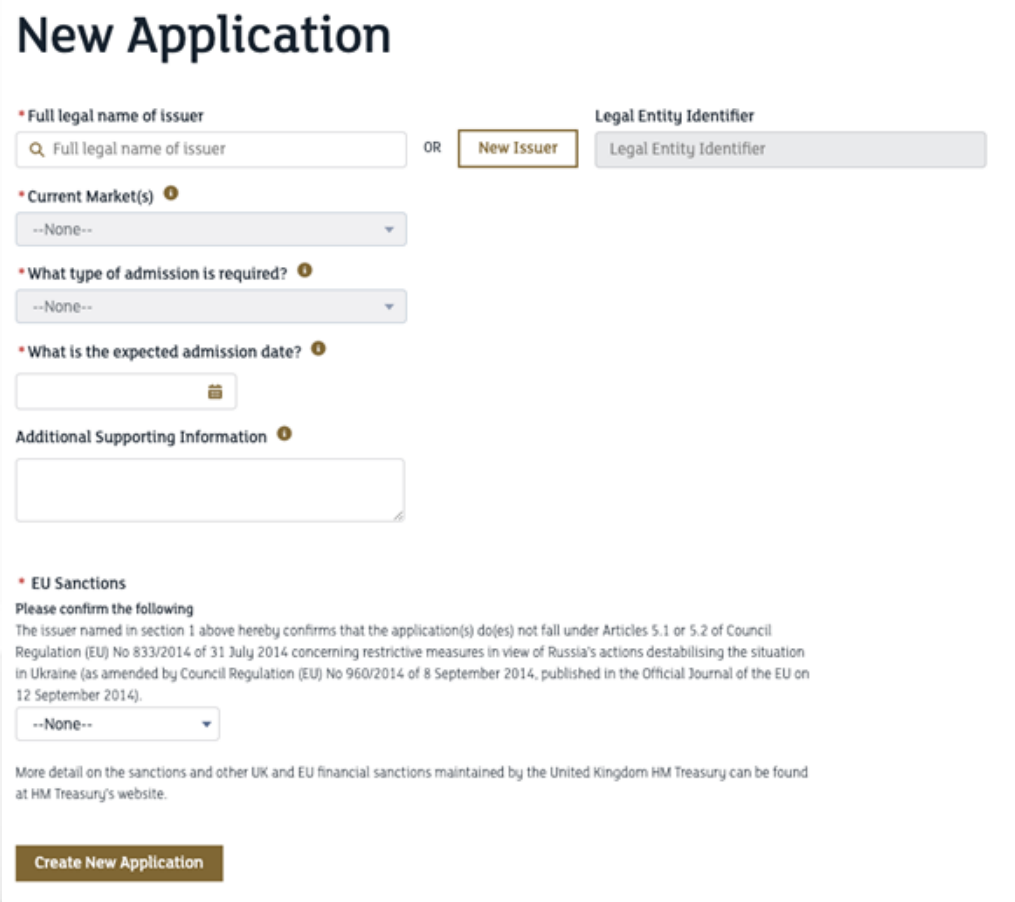
A list of Applications that have reached an Admitted status.

# Portal - Home Page Navigation

- At the bottom of the Homepage you will see some helpful Links
- By selecting on these links, you will be taken to a specified URL
- This URL will open in a different tab

# Portal - New Application Creation

- Upon selecting the New Application tab you will be taken to the New Application page
- Any fields marked with an asterisk are required to proceed
- If you begin typing in the ‘Full legal name of Issuer field’ your options will begin to appear
- If you cannot find the option you require, select ‘New Issuer’ and proceed as prompted
- If you hover over any ‘i’ symbols, these provide information regarding the field



# Portal - New Application Creation

- Once you have entered an Admissions date you will see the below information section appear.

This application should be submitted no later than 12:00 pm (BST), on the 2 Sep 2019.

The following will be required prior to Admission:

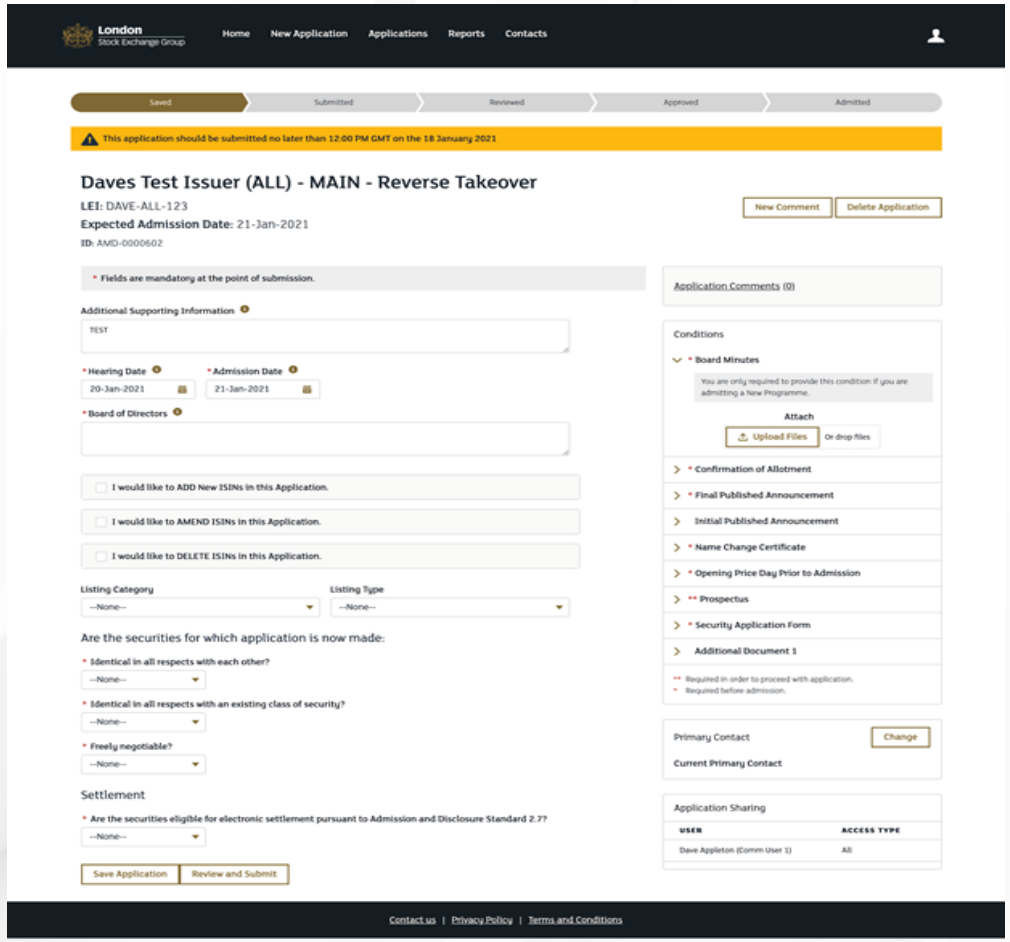
- Application Form
- Prospectus
- UKLA written approval

Create New Application

- This information section provides you the latest date this application can be submitted, and what attachments are required in order for the application to be admitted.
- The information shown here is dependent on the Application type and Admission date selected.

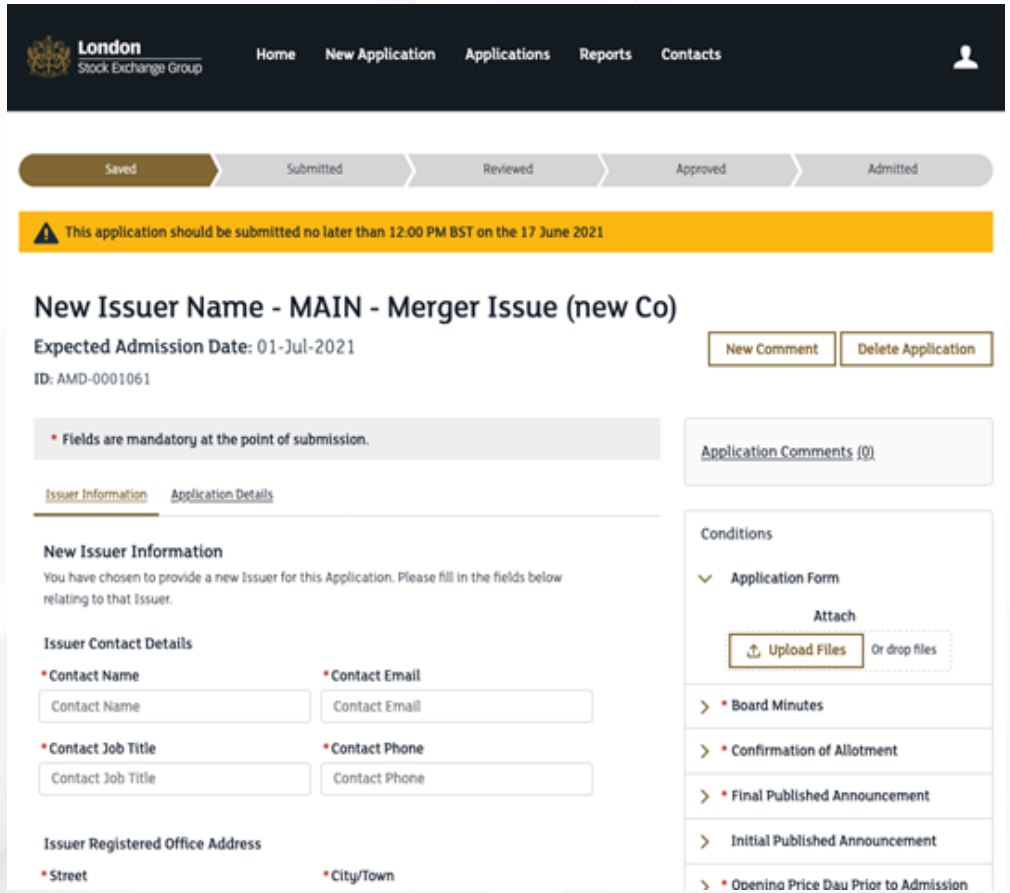
# Portal - New Application Creation - Case Type 1

- Once ‘Create New Application’ has been selected, you will be taken to a second page to continue creating the application.
- What you see on this page is dependent on the Application type and Market type selected on the first page. This is because the information requirements differ.
- The example here shows an application where various fields are required, this is what we call a Case Type 1.



# Portal - New Application Creation - Case Type 1 with new Issuer Data

- For some Case Types, where a new Issuer is selected, you will be required to complete further details regarding the Issuer related to the Application.
- In these instances, the form has been split into two tabs with the first presenting fields specific to the Issuer details, and the second presenting fields that are more familiar with Applications of other Case Types.
- You will be required to complete all mandatory fields within both tabs before you are able to progress with the Application
- The fields required for completion will be slightly different for the AIM market.



# Portal - New Application Creation - Case Type 1

- On all Applications the below sections can be found

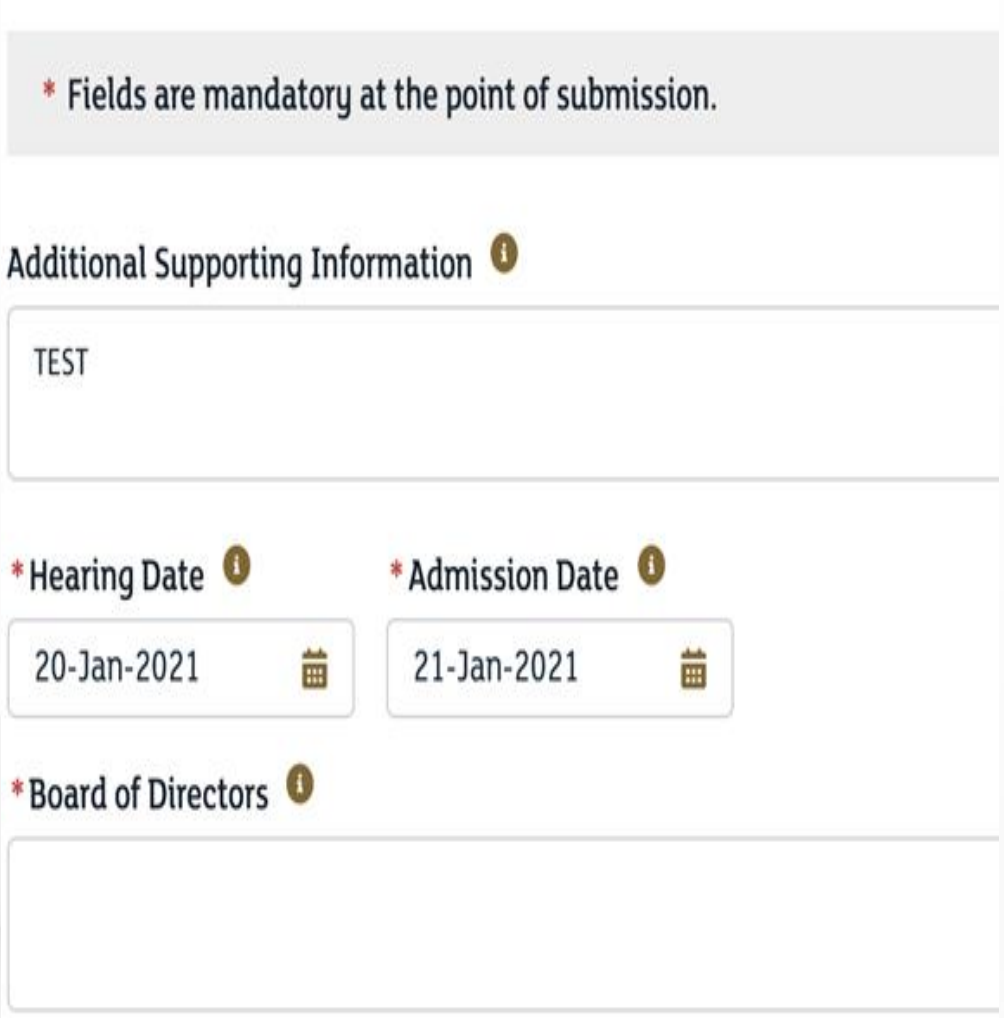
**Status Path**

The path updates dependent on what stage the Application is in, this will not only update dependent on updates made in the Portal, but will update dependent on how the Admissions team have updated it.


**Application information**
This area, found on every application, informs the user of the last accepted submitted date, the Application name, LEI, Expected admissions date and the ID of the application (this can be used in any correspondence relating to the application

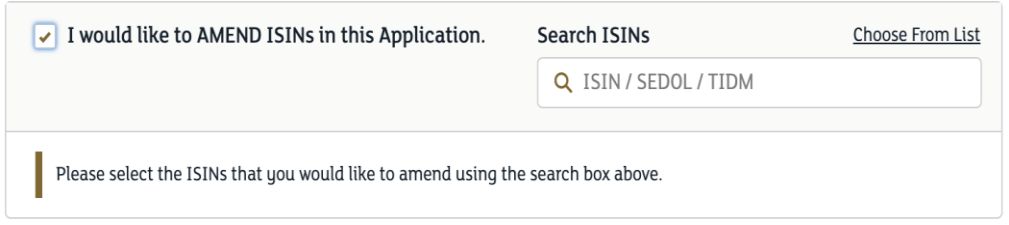
# Portal - New Application Creation - Case Type 1

- As previously mentioned, Case type 1 Application require various fields completed before the Application can be submitted.
- Any fields that have an asterisk (*) are required in order to submit the Application
- You can ‘Save’ the Application without completing these fields. Saved applications can be found in the Applications tab, they will have a status of Saved.
- Any fields that are greyed out, are not editable for this Application.
- Once all required information has been entered Select ‘Review and Submit’ to progress with the Application



# Portal - New Application Creation - Case Type 1

- For a number of Case Types, as part of the Edit Application page, you are able to Add, Amend or Delete ISINs.
- Depending on the Case Type, you may see any combination of these actions.
- To activate each of the ISIN blocks, click on the box on the left hand side of the component.  This will reveal the ISIN search functionality that allows you to find ISINs associated with the Issuer related to your Application.

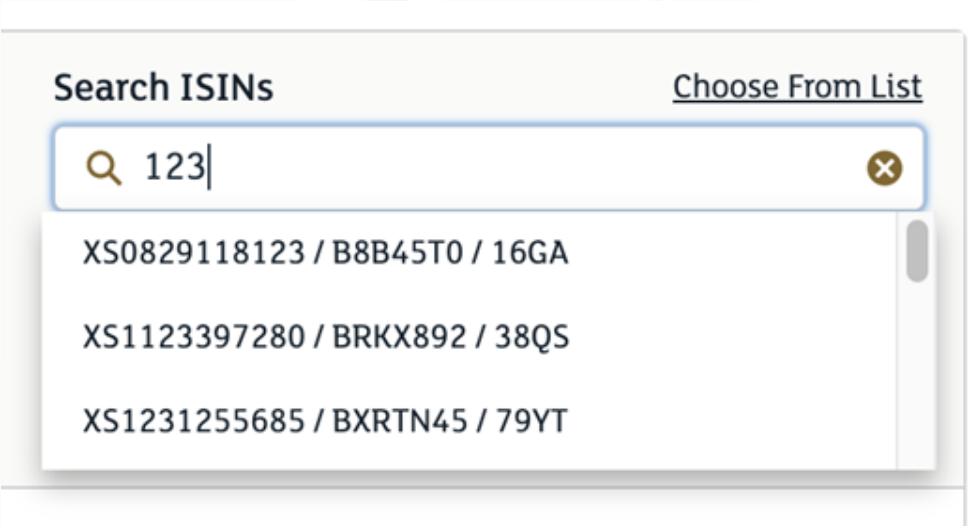
# Portal - New Application Creation - Case Type 1

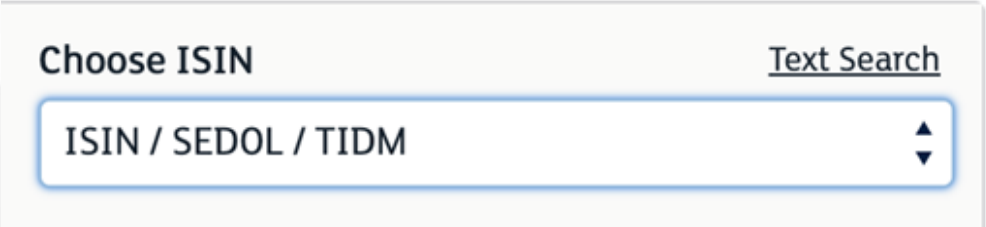
- You have two options when searching for an ISIN.

- If you know the ISIN, SEDOL or TDIM for the record, you are able to type in any part of those codes which will reveal a list of matching ISIN.

  You are then able to select the correct ISIN from that list.

- If on the other hand, you would like to select from full a list, click the link labelled ‘Choose From List’ and pick list containing all values will be presented.

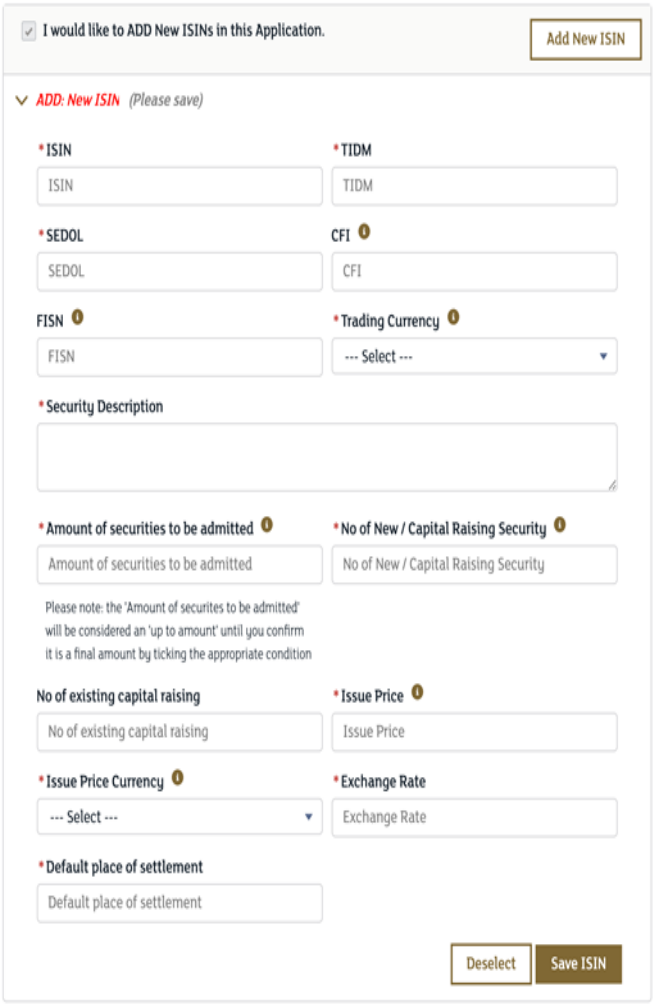


# Portal - New Application Creation - Case Type 1

**Adding an ISIN**

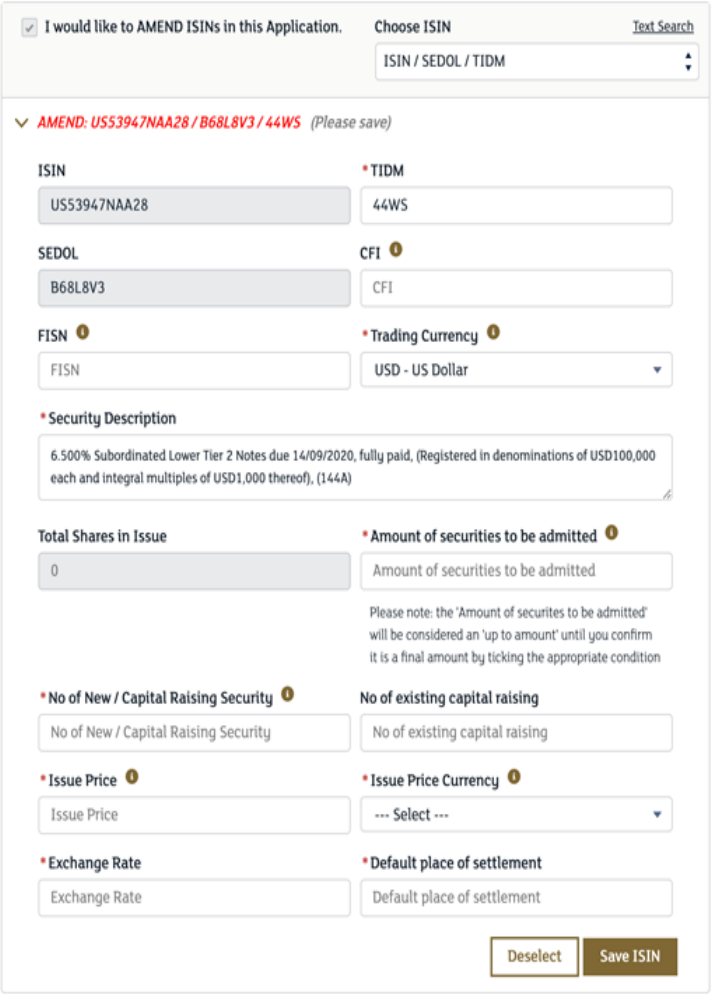
- If you would like to Add an ISIN as part of your application, click on the checkbox to the left of the Add ISIN component.
- Once activated, you will see a button on the right labelled ‘Add New ISIN’.  Click this and a new ISIN record will be added to your Application.
- Complete all of the required fields within the ADD ISIN form and once completer, click the ‘Save ISIN’ button
- Once saved, the Title of the ISIN record will change from ***italic red*** to **black**.
- Only once the ISIN record has been saved will you be able to save the wider Application record.
- If for any reason you would like to remove this ISIN from your Application, click on the ‘Deselect’ button and this ISIN record will be removed.



# Portal - New Application Creation - Case Type 1

**Amending an ISIN**

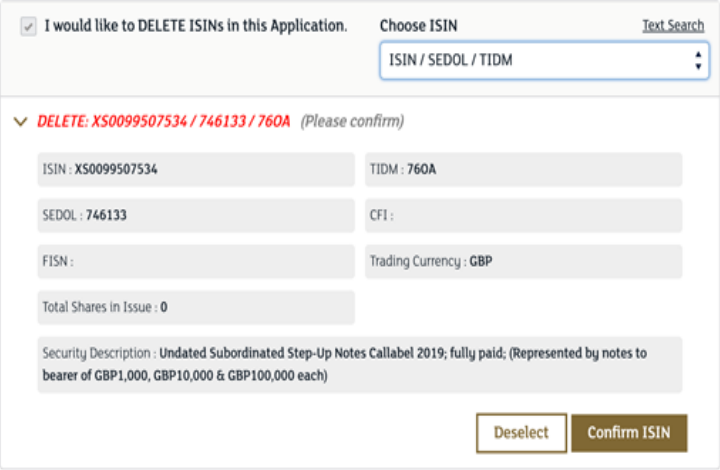
- If you would like to Amend an ISIN as part of your application, click on the checkbox to the left of the Amend ISIN component.
- On selection of an ISIN from the search component, the ISIN record will added to your Application and presented as a prefilled form.
- Once you have completed the remaining required fields, the ISIN record should be saved by clicking ‘Save ISIN’.
- Once saved, the Title of the ISIN record will change from ***italic red*** to **black**.
- Only once the ISIN record has been saved will you be able to save the wider Application record.
- If for any reason you would like to remove this ISIN from your Application, click on the ‘Deselect’ button and this ISIN record will be removed.



# Portal - New Application Creation - Case Type 1

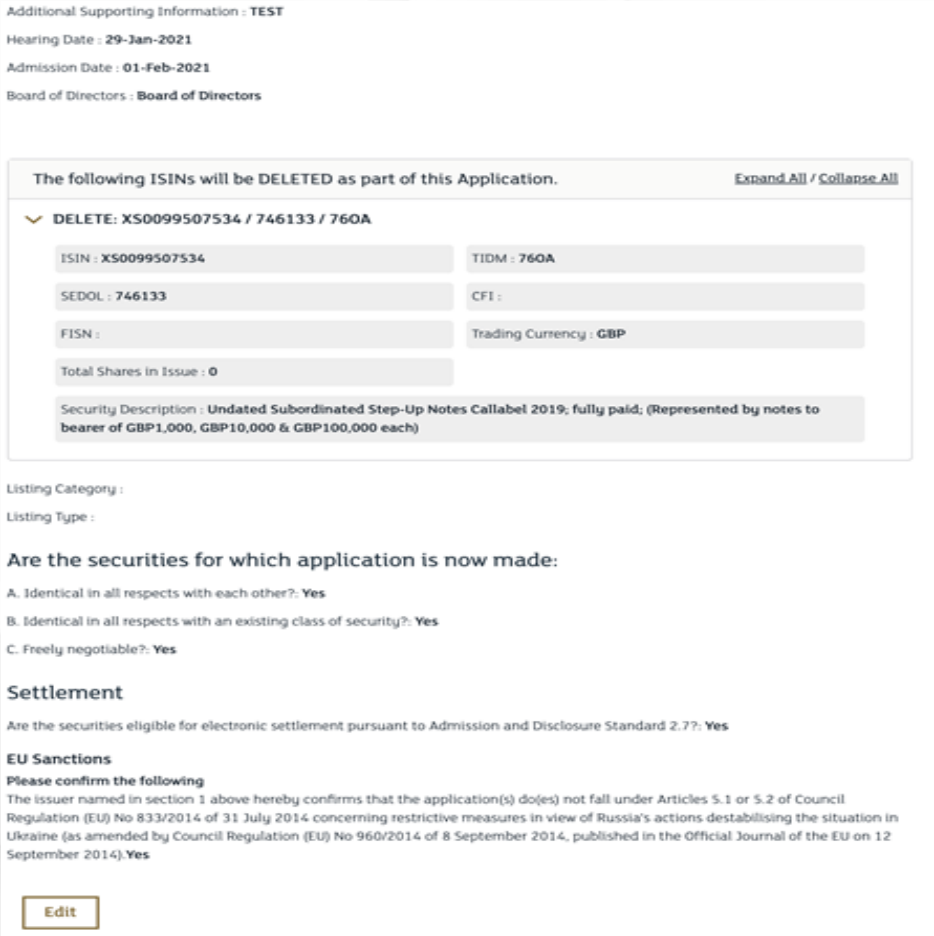
**Deleting an ISIN**

- If you would like to Delete an ISIN as part of your application, click on the checkbox to the left of the Delete ISIN component.
- On selection of an ISIN from the search component, the ISIN record will added to your Application and presented.
- When deleting ISINs, you are unable to update any information for that record.
- To confirm that you have selected the correct record, ‘Confirm ISIN’ at which point the Title of the ISIN record will change from ***italic red*** to **black**.
- Only once the ISIN record has been confirmed will you be able to save the wider Application record.
- If for any reason you would like to remove this ISIN from your Application, click on the ‘Deselect’ button and this ISIN record will be removed.



# Portal - New Application Creation - Case Type 1

- Once ‘Review and Submit has been selected, you will be taken to the below page
- This page allows you to review the information you previously entered.
- At this point, should you wish to re-edit the Application, click ‘Edit’ and you will return to the previous page.



Additional Supporting Information : **TEST**

Hearing Date : **29-Jan-2021**

Admission Date : **01-Feb-2021**

Board of Directors : **Board of Directors**

The following ISINs will be DELETED as part of this Application. Expand All / Collapse All

**DELETE: XS0099507534 / 746133 / 760A**

| | |
|---|---|
| ISIN : **XS0099507534** | TIDM : **760A** |
| SEDOL : **746133** | CFI : |
| FISN : | Trading Currency : **GBP** |
| Total Shares in Issue : **0** | |

Security Description : **Undated Subordinated Step-Up Notes Callabel 2019; fully paid; (Represented by notes to bearer of GBP1,000, GBP10,000 & GBP100,000 each)**

Listing Category :

Listing Type :

## Are the securities for which application is now made:

A. Identical in all respects with each other?: **Yes**

B. Identical in all respects with an existing class of security?: **Yes**

C. Freely negotiable?: **Yes**

## Settlement

Are the securities eligible for electronic settlement pursuant to Admission and Disclosure Standard 2.7?: **Yes**

**EU Sanctions**

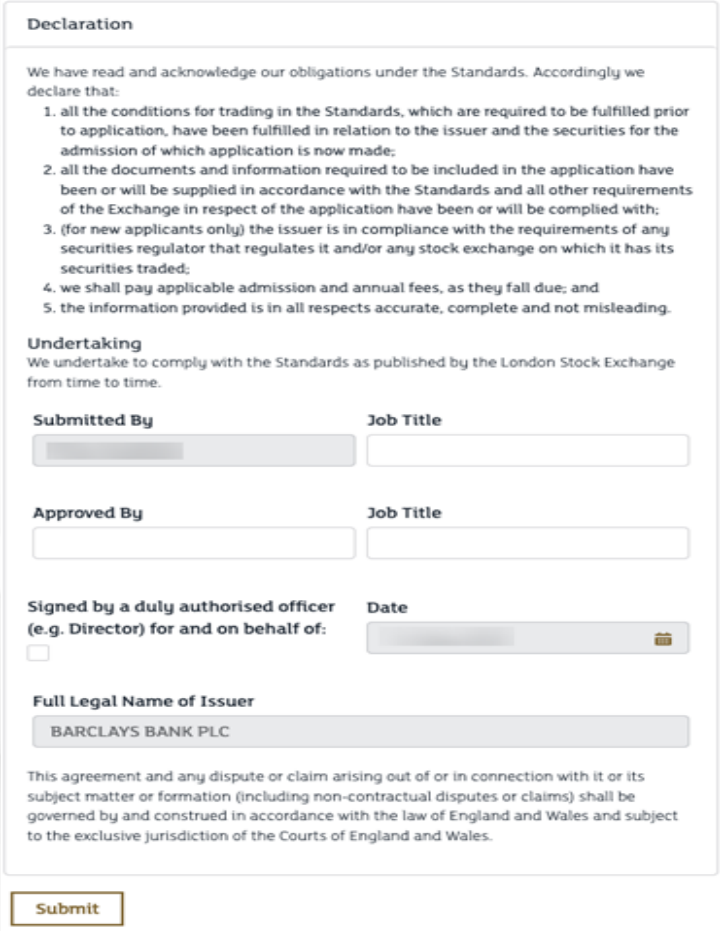
**Please confirm the following**

The issuer named in section 1 above hereby confirms that the application(s) do(es) not fall under Articles 5.1 or 5.2 of Council Regulation (EU) No 833/2014 of 31 July 2014 concerning restrictive measures in view of Russia's actions destabilising the situation in Ukraine (as amended by Council Regulation (EU) No 960/2014 of 8 September 2014, published in the Official Journal of the EU on 12 September 2014).**Yes**

Edit

# Portal - New Application Creation - Case Type 1

- Before you can submit the application, you must read through the Declaration and complete the ‘Undertaking’ section.
- Only after completing this section will the Application be considered as ‘Submitted’.
- Once an Application has reached a submitted state, the Admissions will go about processing the application.



**Declaration**

We have read and acknowledge our obligations under the Standards. Accordingly we declare that:

1. all the conditions for trading in the Standards, which are required to be fulfilled prior to application, have been fulfilled in relation to the issuer and the securities for the admission of which application is now made;
2. all the documents and information required to be included in the application have been or will be supplied in accordance with the Standards and all other requirements of the Exchange in respect of the application have been or will be complied with;
3. (for new applicants only) the issuer is in compliance with the requirements of any securities regulator that regulates it and/or any stock exchange on which it has its securities traded;
4. we shall pay applicable admission and annual fees, as they fall due; and
5. the information provided is in all respects accurate, complete and not misleading.

**Undertaking**

We undertake to comply with the Standards as published by the London Stock Exchange from time to time.

**Submitted By** | **Job Title**

**Approved By** | **Job Title**

**Signed by a duly authorised officer (e.g. Director) for and on behalf of:** | **Date**

**Full Legal Name of Issuer**

BARCLAYS BANK PLC

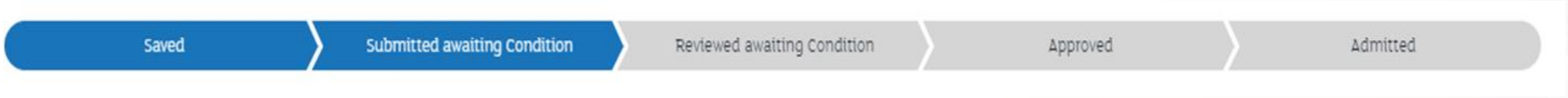
This agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the law of England and Wales and subject to the exclusive jurisdiction of the Courts of England and Wales.

Submit

# Portal - New Application Creation - Case Type 1

- After submitting your Application, you will no longer be able to edit its details, you will however be able to add conditions. We will discuss adding conditions a little later.

- You should notice that the Status will have now changed



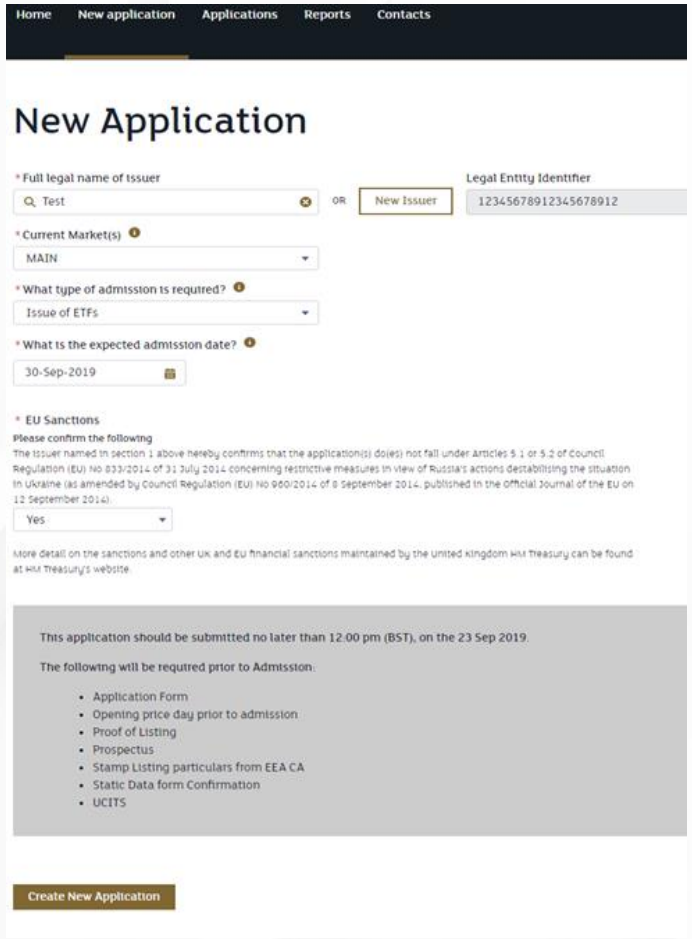

- The status ‘Submitted awaiting condition’ means that the admissions team are now aware of the application, but in order for this to be approved, you still need to attach conditions to this.

- You can view all of your Application awaiting conditions on your homepage dashboard

- In the lead up to your Applications admission date, you will receive reminder emails to help ensure you remember to add the appropriate conditions

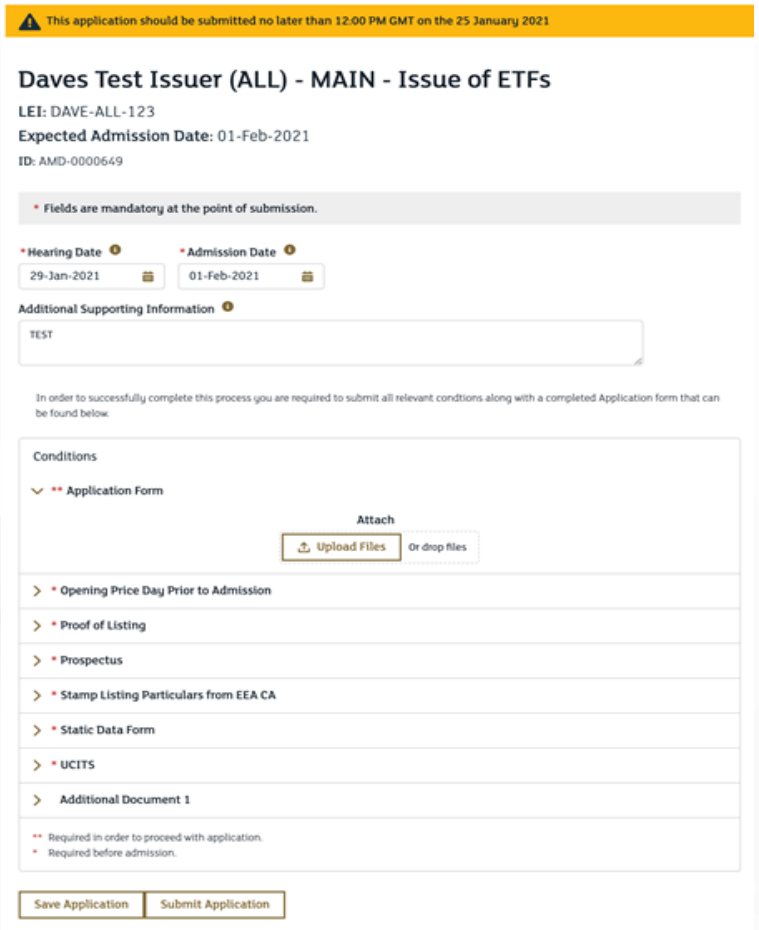
# Portal - New Application Creation - Case Type 2

- When we refer to Case type 2's, we are talking about certain Admission types which only require very few fields completed before submission.
- These Case types will usually require more conditions attached to them
- The first page of the Application creation for Case type 2's follow the same process as Case type 1's



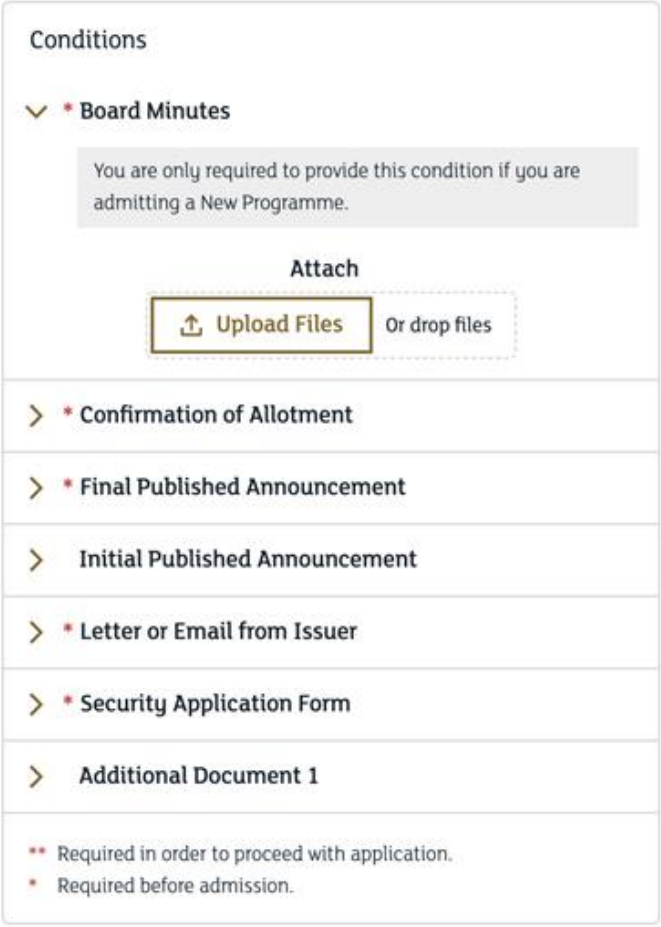
# Portal - New Application Creation - Case Type 2

- On the second page of an Application creation for Case type 2 you can see the layout has changed slightly
- This page contains few fields to be populated and instead has a list of conditions which need to be attached.
- The Application Form is marked with a double asterisk meaning that it needs to be attached before selecting the Submit button
- You can select Submit without attaching anything else, the status will change to Submitted with conditions
- As previously mentioned, Submitted awaiting conditions status means that the admissions team can now view your application but before approving you will need to attach the rest of the required conditions.



# Portal - Adding Conditions

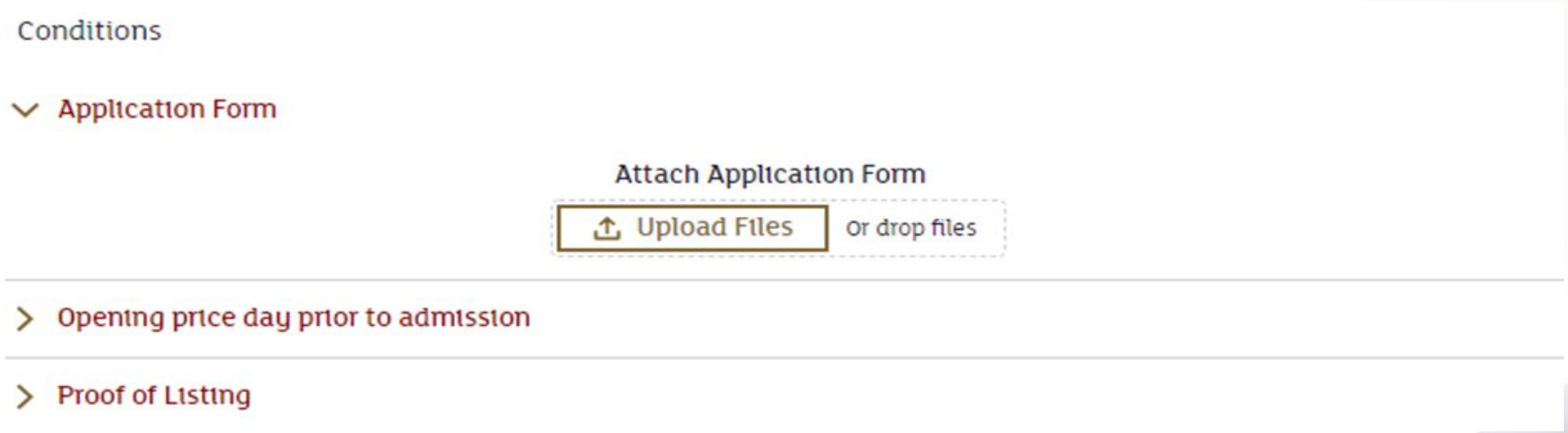
- Conditions are required for an Application to be approved by the Admissions team
- On case type 1's you will see these at the right hand side of an Application
- On Case type 2's these are in the centre of the page
- Some conditions require a file to be uploaded and confirmed for the condition to be complete. Others only require the confirmation box to be checked.
- Conditions can be added to the record throughout the Application process, even after the application has been submitted. However all required Conditions, will need to be satisfied for an application to reach an Approved state.



# Portal - Adding Conditions

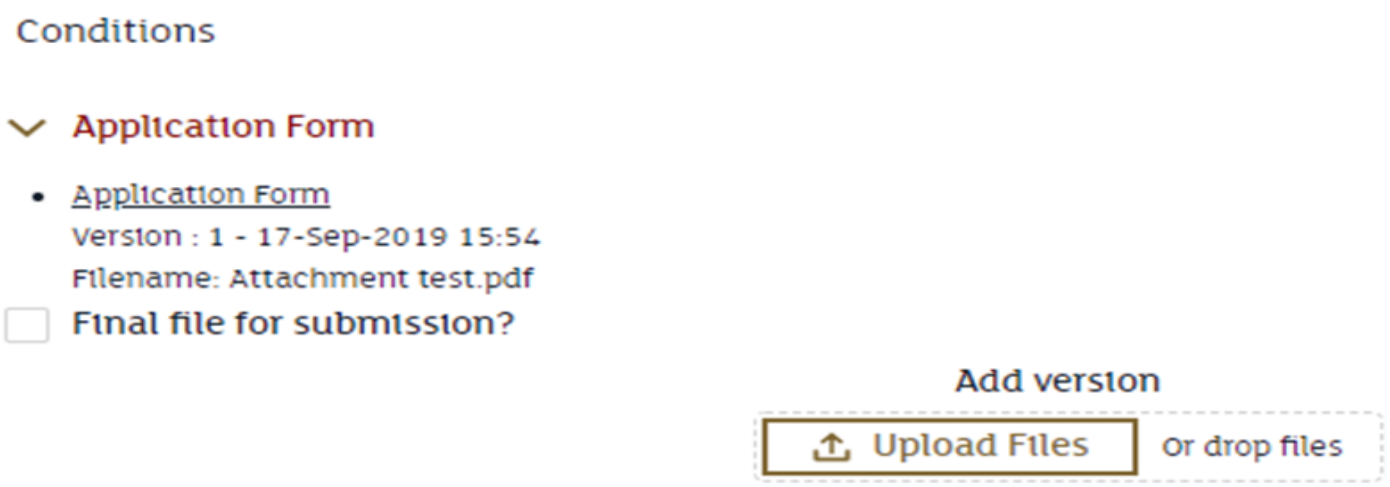
- To update a condition, select the arrow next to the condition you wish to complete/upload

- The condition details will appear to allow you to either upload an attachment, or complete the condition field. The below is an example of an attachment required



# Portal - Adding Conditions

- Upon uploading your condition, you will see the below information
- Your attachment will have been given a name representing the condition and a Version Number
- You can upload a new version of this condition by selecting ‘Upload Files’ again (or drop the file)
- Once you are happy that this is the final version for submission, select the ‘Final File’ check box



# Portal - Adding Conditions

- Once you have Completed all Conditions and selected all the ‘Final File’ Check boxes, the status of the Application will automatically change to Submitted

- The Status changing to Submitted informs the Admissions team that the Application is now ready for review.

- If the Admissions team find that the Conditions uploaded are not sufficient, they will change the status to ‘Reviewed awaiting conditions’
  - You will receive an email when a Status change has been made to any of your Applications

- If the status has changed to ‘Reviewed awaiting conditions’ it will be required that you update the conditions in question (The admissions team should advise you of this in a Comment)
  - Once Updated the Status will change to Pending

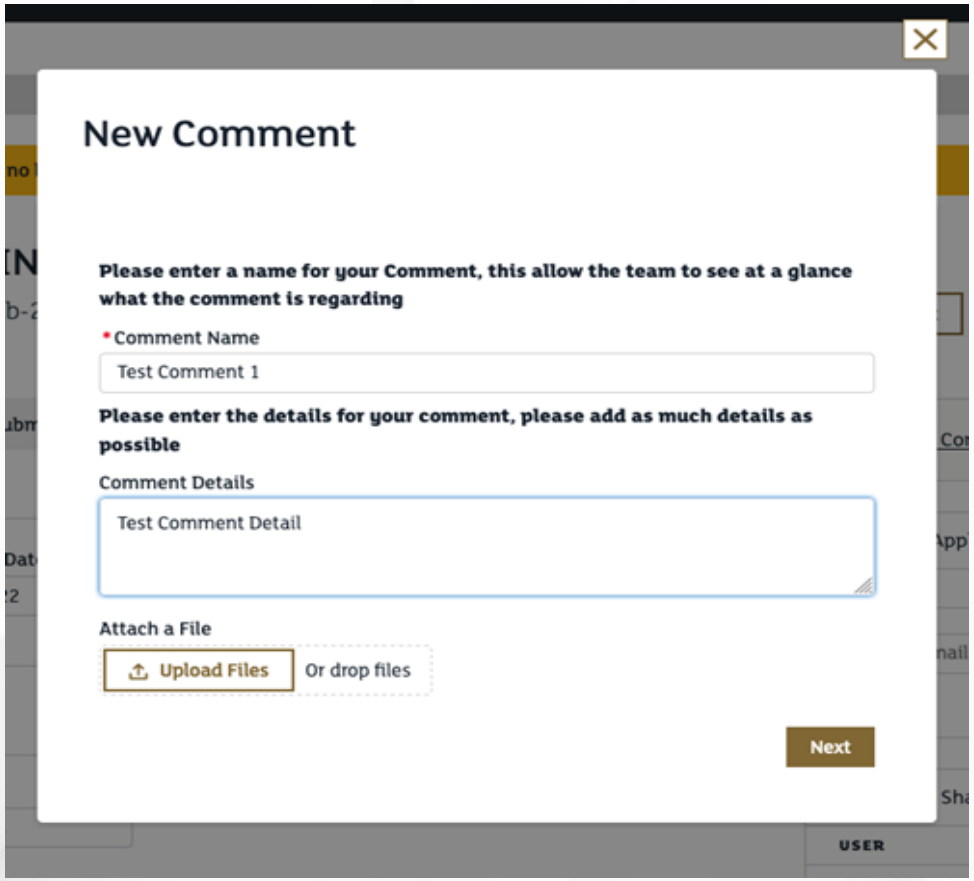
- If the Admissions team have reviewed the Application and deem everything to be correct, the status should move to Approved and then Admitted.

# Portal - Application Comments

- On each Application you will see a section called ‘Application Comments’
- Application comments are the main communication channel between Portal users and the Admissions team.
- These should be used to ask any Application specific questions to the Admissions team. The Admissions team will use the Comments to request any further information they require.
- To create a New Comment, select the ‘New Comment’ button on the Application page

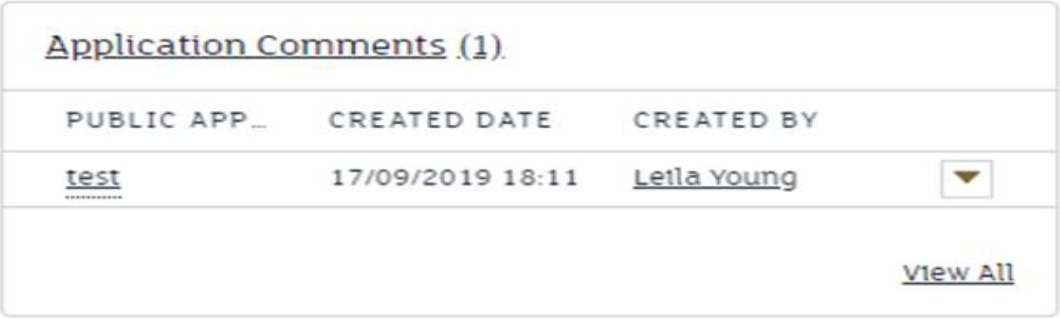
# Portal - Application Comments

- The New Comment screen will be shown.
- When creating a New Comment you will be asked for the following information
  - **Comment Name**
    This Comment name will give the admissions team a high level view of the intention of the Comment
  - **Comment Details**
    The Comment details is where you should enter the details of your comment
- You also have the opportunity to upload a file should this be necessary to supplement your comment.



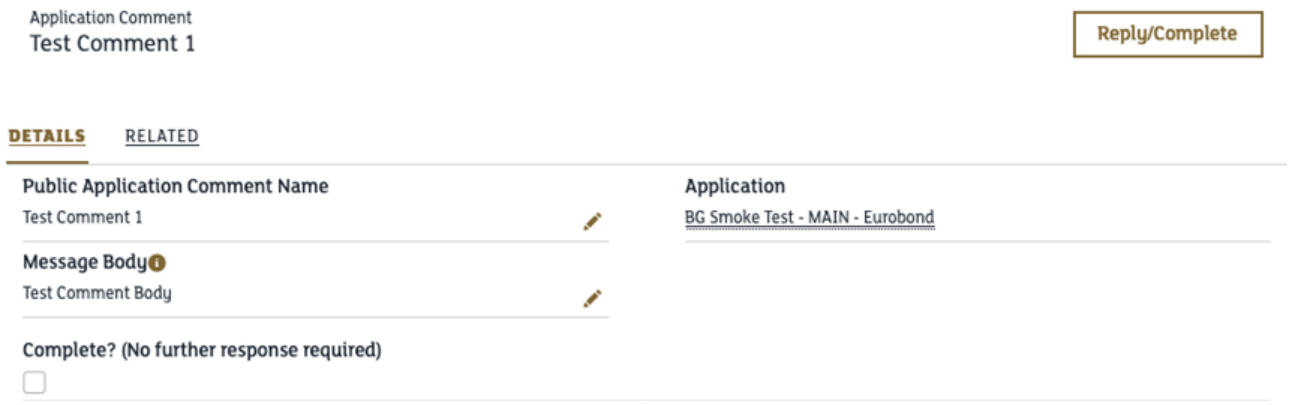
# Portal - Application Comments

- Once you have created your Comment, this will be sent to the Admissions team for them to deal with
- You will be able to view your comment on the Application page under the Application Comments section
- You will also be able to view any application comments that have not yet been completed in your home page dashboard
  - Comments can be completed by either the Admissions team or yourself, Completing a Comment indicates that no further response or actions are required
- If the Admissions team send you a comment or reply to one you created, you will receive an email to inform you
  - You will also be able to view this comment on the related application page or on your homepage dashboard



# Portal - Application Comments

- To Reply or Complete a comment:
  - Select the Comment you wish to update, this can be done by clicking on the name of the comment
  - You will be taken to the Comment details page, where you will see a button ‘Reply/Complete’
  - Selecting this will take you through your options, to either Reply, Complete or Reply and Complete
  - Replying will create a new Comment and send this to the Admissions team



# Portal - Downloading and Printing Application Records

At any point throughout the Application process you are able to create a PDF version of your Application record that you can save or print.

The ‘Download PDF’ button can be found at the top right of any Application page.  When clicked, a new screen will open and display the full contents of your Application.

Each time the ‘Download PDF’ button is used, a new file will be generated containing the most up to date record data.

*NOTE : You may have to adjust the popup preferences on your browser if the new window fails to open.*

# Portal - TIDM Reservation Requests - 1

You can create a TIDM Reservation Request in the instance where you would like to reserve a TIDM for a future Application.

In the navigation menu, click ‘TIDM Reservation Request’.  On the resulting page, you will see a list of requests that are currently in progress.

To create a new request, click ‘New TIDM Request’ in the top right of the screen.  A form will be displayed where you can complete the first stage

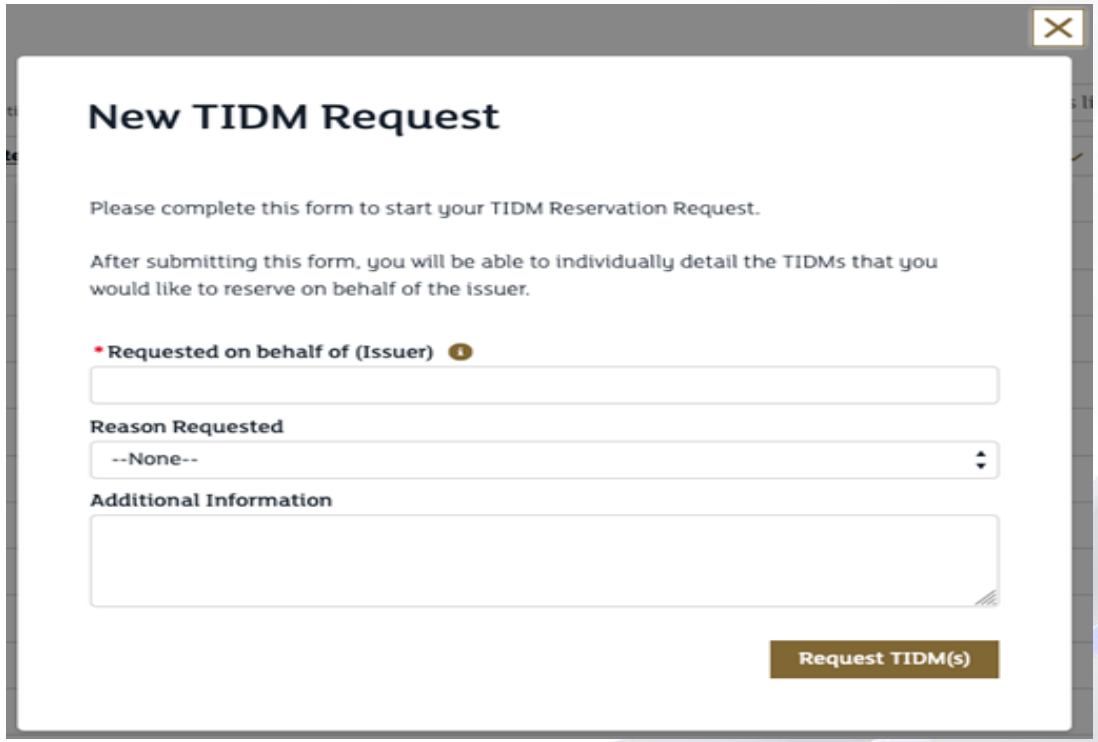
of the request:

**Requested on behalf of (Issuer)**
The name of the company that you are requesting on behalf of

**Reason Requested**

Select a value that most suits the reason for the request.

**Additional Information**
Any further information that you feel may be necessary. This is required if the Reason Requested is set to ‘Other’.



# Portal - TIDM Reservation Requests - 2

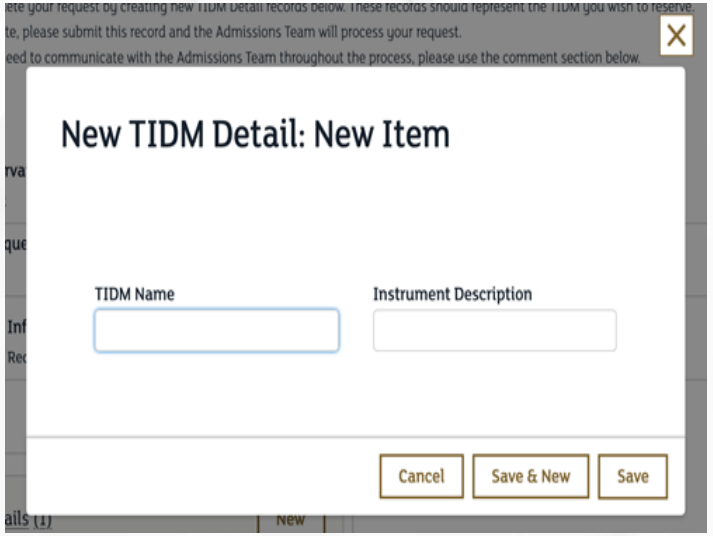
Once the new request has been made, you will be presented with a screen where you can add a number of TIDM Details and eventually submit the request.

For each TIDM that forms part of your request, click ‘New’ in the header of the TIDM Detail list.

This will open a form where you can submit the details of the TIDM required.  You are able to enter multiple TIDM Detail Records as part of your Application.

Each TIDM Detail entered will be reflected in the within the TIDM Detail list once it is saved.


Alternatively, you can submit a file containing the details of the TIDMs that you would like to reserve.  In this case, you do not have to submit any TIDM Detail records.




Also on the TIDM Reservation Request page you will find:

**Files**

Allowing you to upload a file that may be required as part of your request

**Comments**

Allowing you to communicate directly with the Admissions Team

# Portal - TIDM Reservation Requests - 3

At the point where you have added each of the TIDM Details to your request, you are able to ‘Submit’ the record so that the Admissions Team can process it.


Click on the Submit button at the top right of the TIDM Reservation Screen and follow the on screen guidance.
Once submitted, you will no longer be able to edit or add details to the record.
However, you can communicate with the Admissions Team via the commenting functionality if needed.

On submission, the status of the record will have been updated and the Admissions Team will have been alerted of the creation of your request. At this point, you will no longer be able to edit the details of your request.

When the Admissions Team start to deal with the request, the status will change from ‘**Submitted**’ to ‘In **Progress**’.

Once all of the TIDM Detail records have been reviewed and the request is complete, the status will change again to ‘**Complete**’ and you will receive an email informing you of the update.

At this point, each TIDM Detail record will have been provided a status and in situations where the TIDM is available, a Reservation Date and Reservation Expiry Date will have been supplied.

# Portal - TIDM Reservation Requests - 4

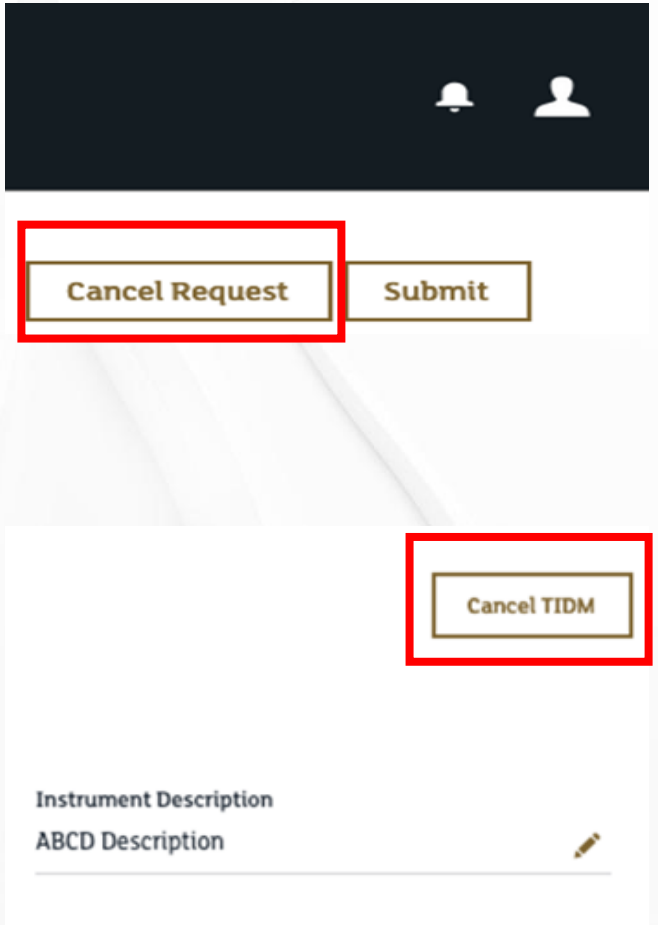
If at any point you decide that there is no longer the requirement for the TIDM Reservation, you are able to either Cancel the request as a whole, or Cancel individual TIDM Details.

To cancel the whole request, go to the Request record page and you will see a button on the top right of the screen labelled ‘Cancel Request’.

- By clicking this button, the request will be marked as being cancelled, along with each of the TIDM Detail records will also be marked as cancelled.

To cancel an individual TIDM within a request, navigate to the TIDM Detail record page where you will see a button on the top right of the screen labelled ‘Cancel TIDM’.

- By cancelling a single TIDM Detail, the wider request and any other TIDM Details will remain active.



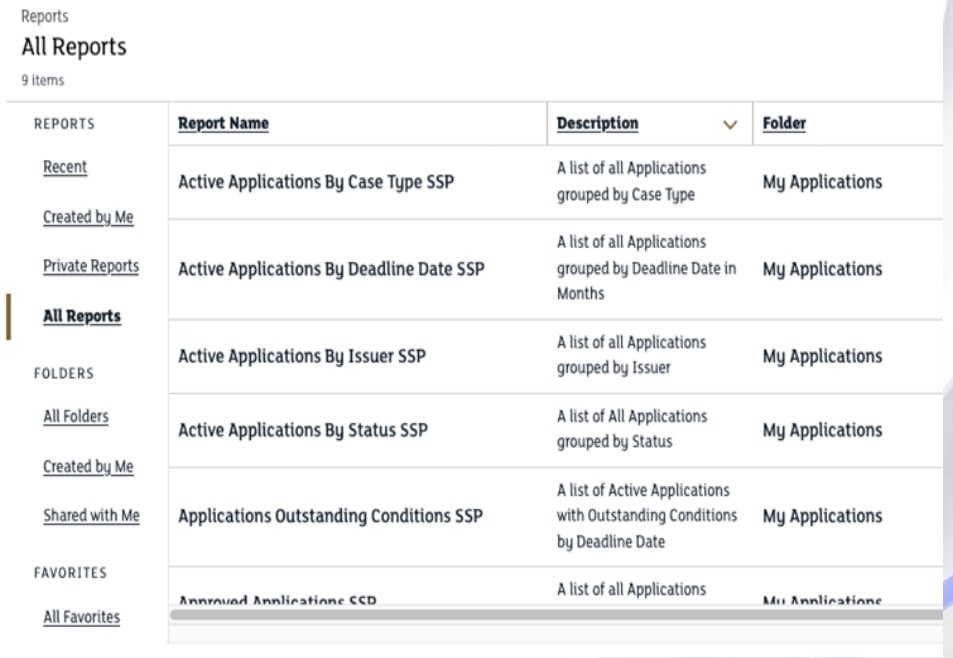
# Portal - Reporting

A number of reports have been created for you to monitor your current and historic workload.

Clicking on the ‘Reports’ navigation item will lead you into the Reporting section.  From here , select ‘All Reports’ and you will find a list of reports available to you.

These reports will display details of all records that are under your ownership.

If you are a superuser, they will also present data of any colleagues that you are responsible for.



# Portal - Deletion/Cancellation Request

- On each Application you will either have the option to Delete the Application or request a Cancellation

**Delete Application**

You will only see the Delete Application button on Applications in the Saved Status, anything that has been Submitted cannot be deleted. Deleting an Application will mean you will no longer be able to view/edit it.

**Cancellation request**

You will see the Request Cancellation button on any Applications which have been Submitted, Cancellation requests will be sent to the Admissions team who will either the Cancel the application, or be in contact with you, with a reason as to why they cannot do so.

- Both buttons can be found on the Application page

# Sharing And Security - Super User Functionality

- Portal Super Users have the ability to ‘manage’ other users and Applications that are associated with the same company

- A Portal Super Users will be able to:

**Update User permissions**

Portal Super users will have the ability to view all users who are associated with the same company as them. Users can be viewed in the Contacts tab.

Portal Super users will also have the ability to enable other users to have Super User permissions, remove Super User permissions and remove portal users access

**View/Edit Applications**

Portal Super Users will have the ability to view and edit all Applications which have been created by users associated with the same company as them. On a Super users Dashboard, they will see both their own and other users Applications.

**Share Applications**

A Portal Super User will also have the ability to Share Applications with other users associated with the same company as them. The purpose in sharing Applications, is to allow multiple users at one time have read and write access to an Application. Without this, Application access is limited to the Primary Contact on the Application and the Super user associated with the same company as the Primary Contact

# Sharing And Security - Super User Functionality

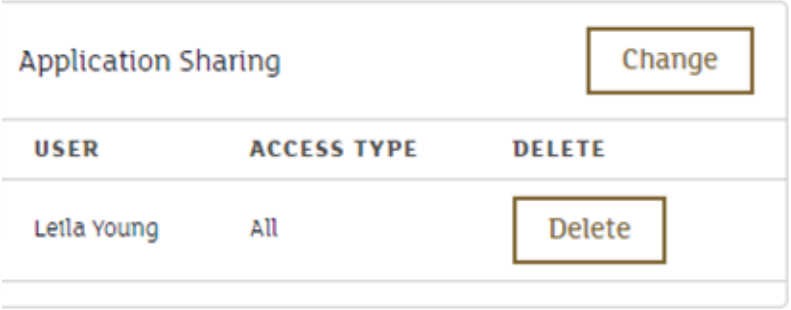
- **To update user permissions, as a Portal Super User, follow the below steps:**
  - Navigate to the contacts tab
  - Select the User you wish to update
  - Select the ‘Update User Permissions’ button


  - Select the Check box to enable super user permissions
  - Deselect the checkbox to remove super user permissions

- **To Disable a Portal users, follow the below steps;**
  - On the user record, select ‘Disable Customer User’ Button

# Sharing And Security - Application Multi Share

- Application sharing allows a Portal Super User to share Applications with other users
- To Share an Application
  - Navigate to the Application you wish to share
  - On the Application, you will see the Application Sharing sections
  - Select ‘Change’
  - This will allow you to select the Access type and User
  - You can select either Read or Edit access
  - You will only see Users associated with the same company as you.
  - Select Save

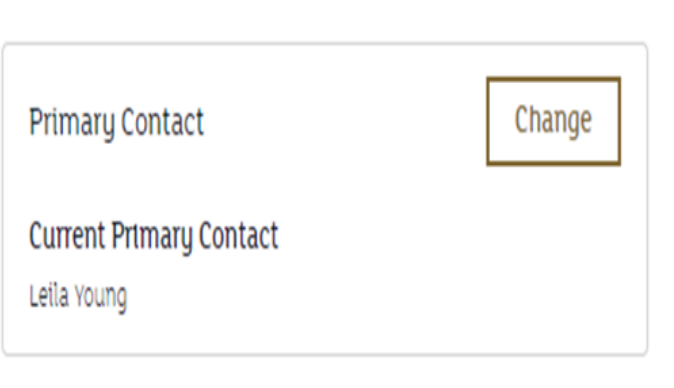



- To remove sharing
  - Next to the Users name, on the Application sharing section, you will have a delete option
  - Selecting this will remove the users access to the Application and User.

# Sharing And Security - Primary Contact

- A Primary Contact on an Application is the person responsible for receiving all email correspondence for the Application.
- The Primary Contact will default as the person who created the Application
- The Applications shown on your homepage Dashboard will be those which you are the Primary Contact for (Unless you are a Portal Super User and you see all for your company)
- The Primary contact can be updated by a Super User if, for instance, a user is going on Annual Leave and a colleague will be taking over the Application.

- To do this, follow the below steps:
  - As a Portal Super User navigate to the Application you wish to change
  - In the ‘Primary Contact’ Section select ‘Change’
  - This will allow you select a new user




- You will only be able to have one Primary Contact
- You will only be able to select a user associated with the same company as you.

# Sharing And Security - Superuser Request

- If you do not already have a Super user at your Company, and wish to become a Super user, you can request this by navigating to the LSEG Website

  Admissions Self Service Portal | London Stock Exchange