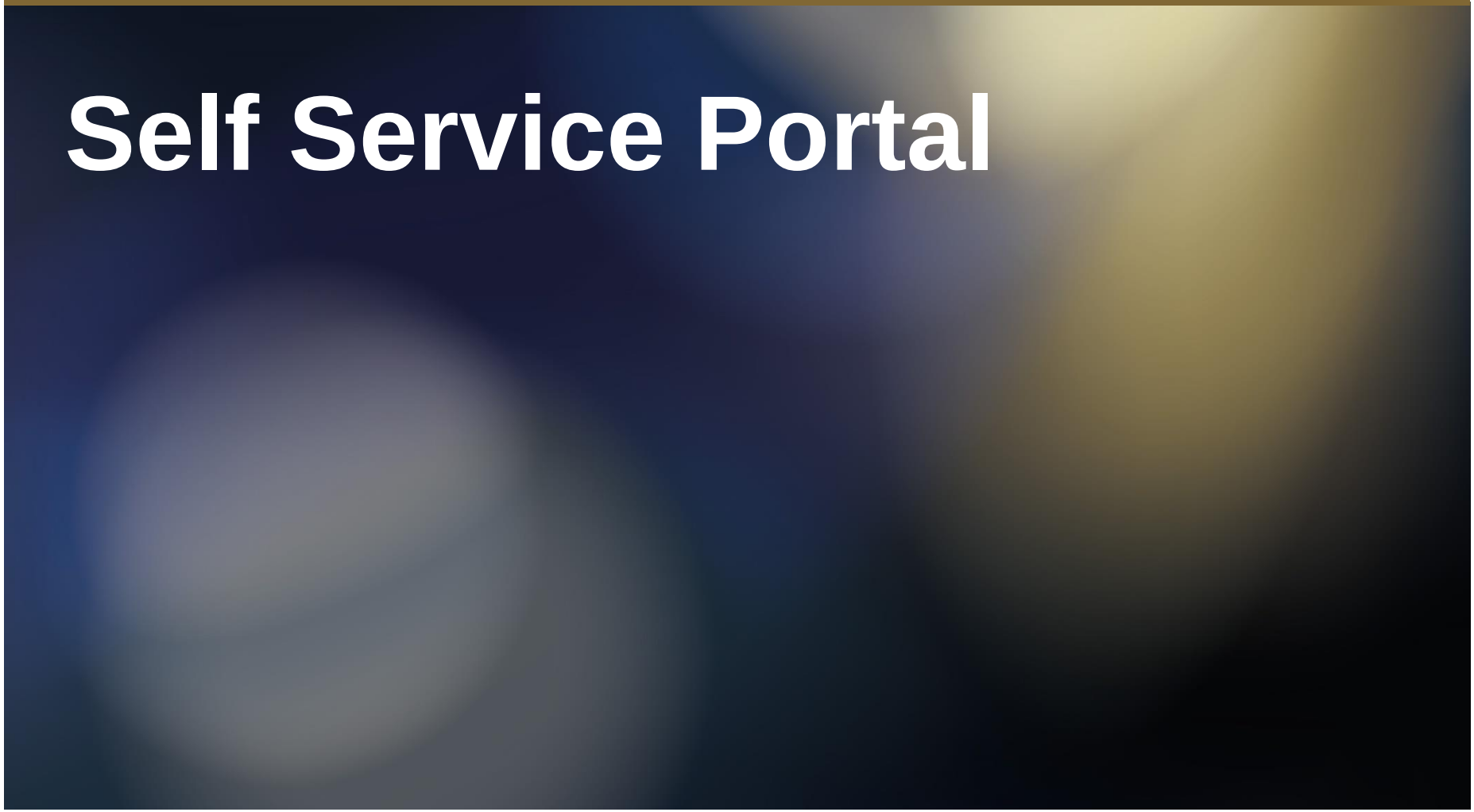
London Stock Exchange Group

Self Service Portal



London Stock Exchange Group 7 August 2020

Contents

New Online Self Service Portal for Admissions

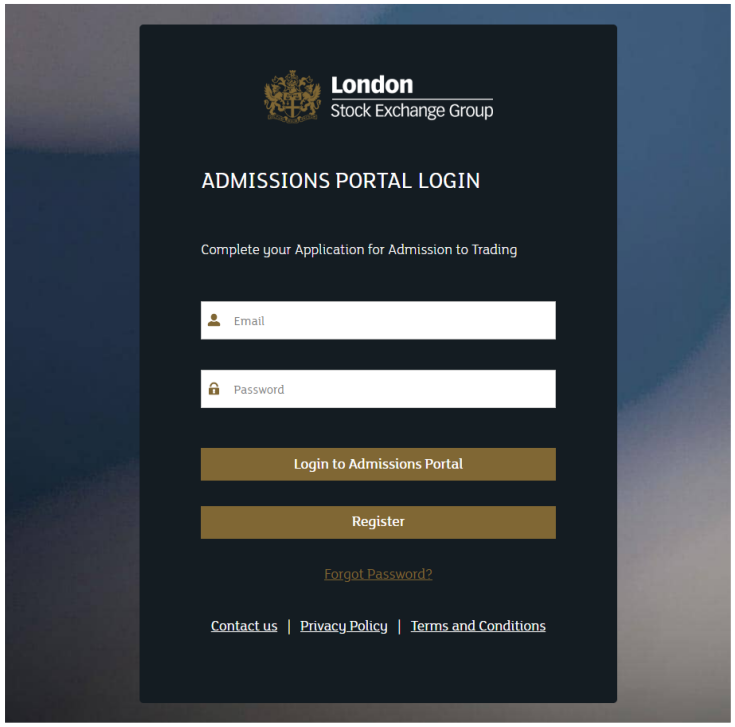
We will shortly introduce an online portal which will be our preferred method for submitting applications and supporting documentation to our Admissions team.
This will cover all case types to a certain level

The portal will be a much easier way for you to interact with the Admissions team, providing more information on what is required and a streamlined process.
The benefits include: -

- A single portal for all applications and Admissions interactions.
- A safe and secure system - access is restricted to authenticated individuals within the submitter's company.
- An easy-to-use interface.
- The portal will provide information on what is required to be submitted and by when.
- In-built validations give instant feedback if deadlines have been missed or there is missing information or errors.
- You can upload supporting documentation and information.
- Advisors can confirm approval on behalf of issuers (i.e. removing the need for physical sign-off).

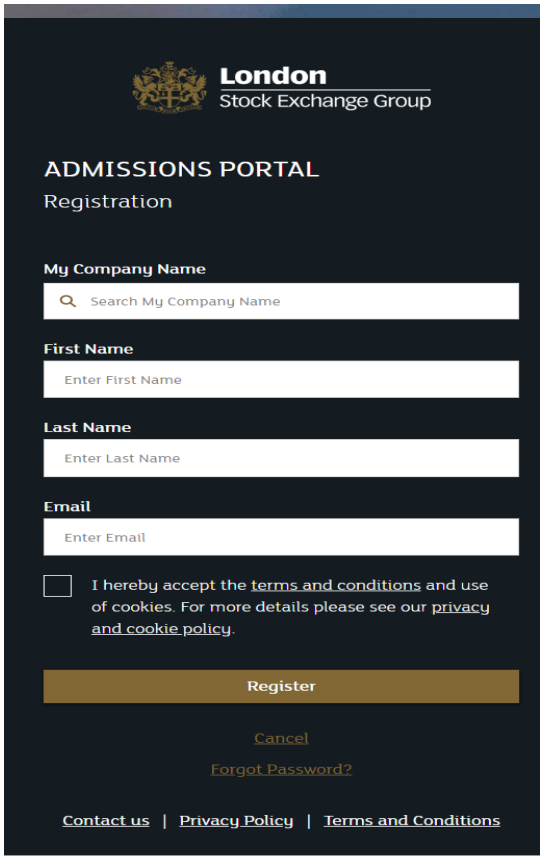
Portal Access – Portal User Registration

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



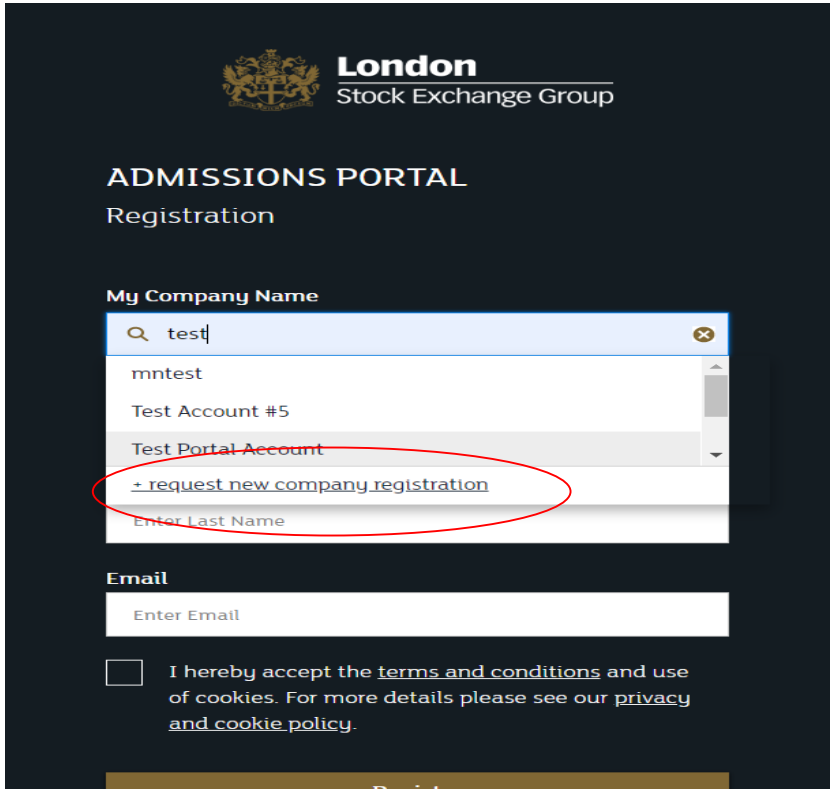
Portal Access – Portal User Registration

- 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
  - If your company does not appear in this list, please progress to the Company registration section
- Populate the 'First Name', 'Last Name' and 'Email' Fields
  - The Email address you enter here will be where you receive all correspondence for the Admissions portal
- 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



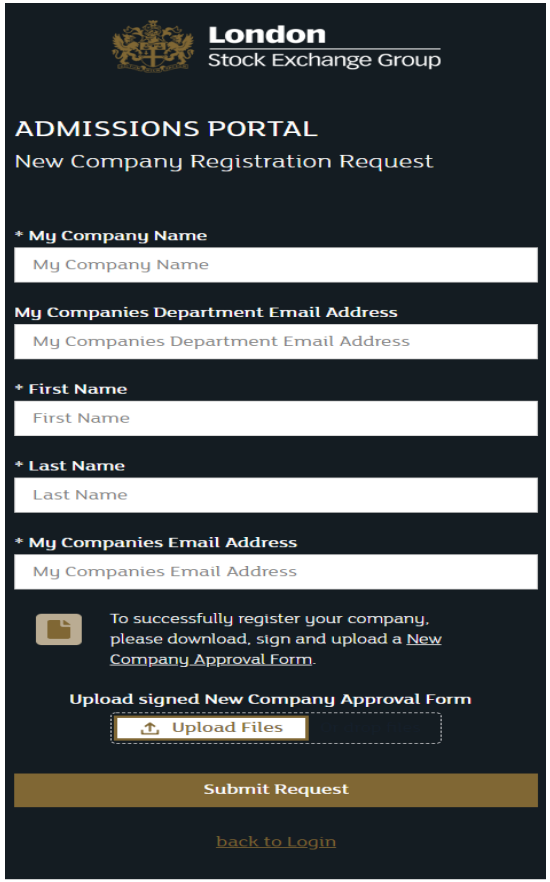
Portal Access – Company Registration

- 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:

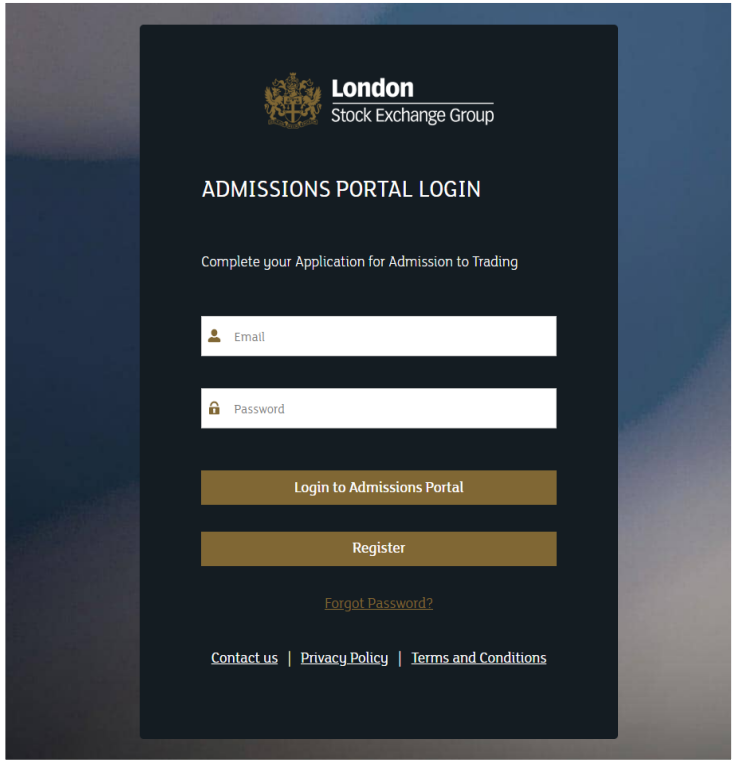
    - To Upload the completed form, select here:

- 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



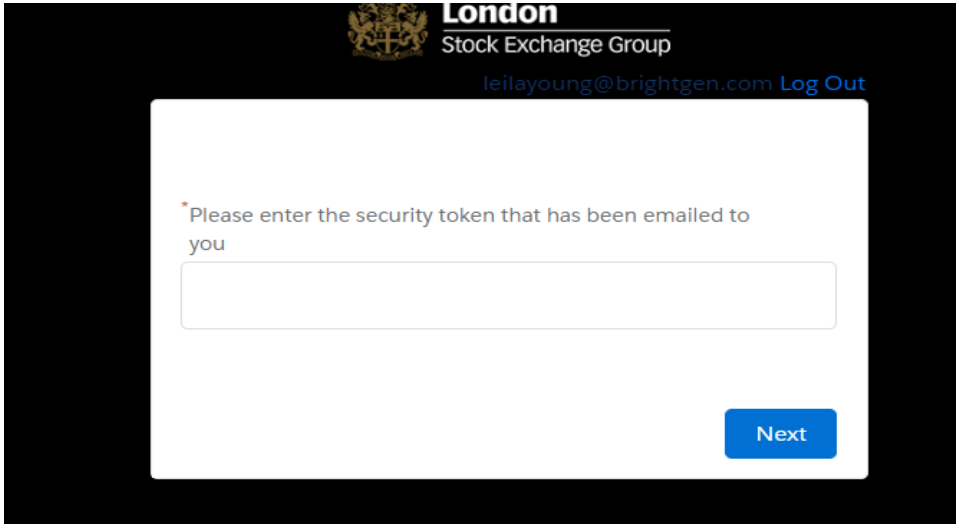
Portal Access - Portal user Log in/Password reset

- 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 Log in/Password reset

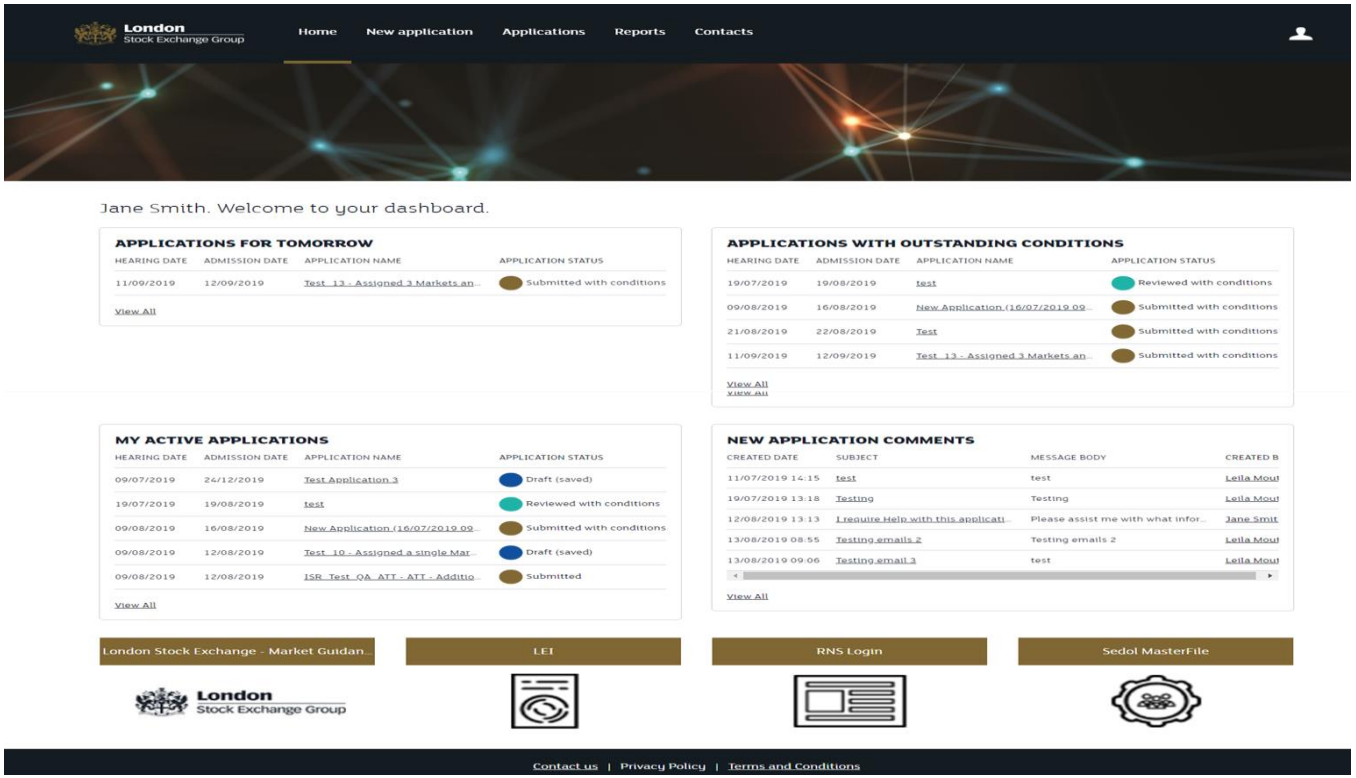
- Upon logging in you will be provided with the below page



- 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

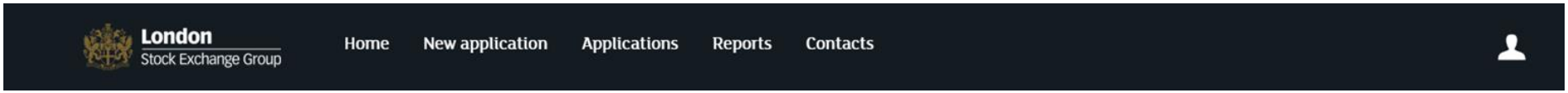
Portal - Home page navigation

- 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

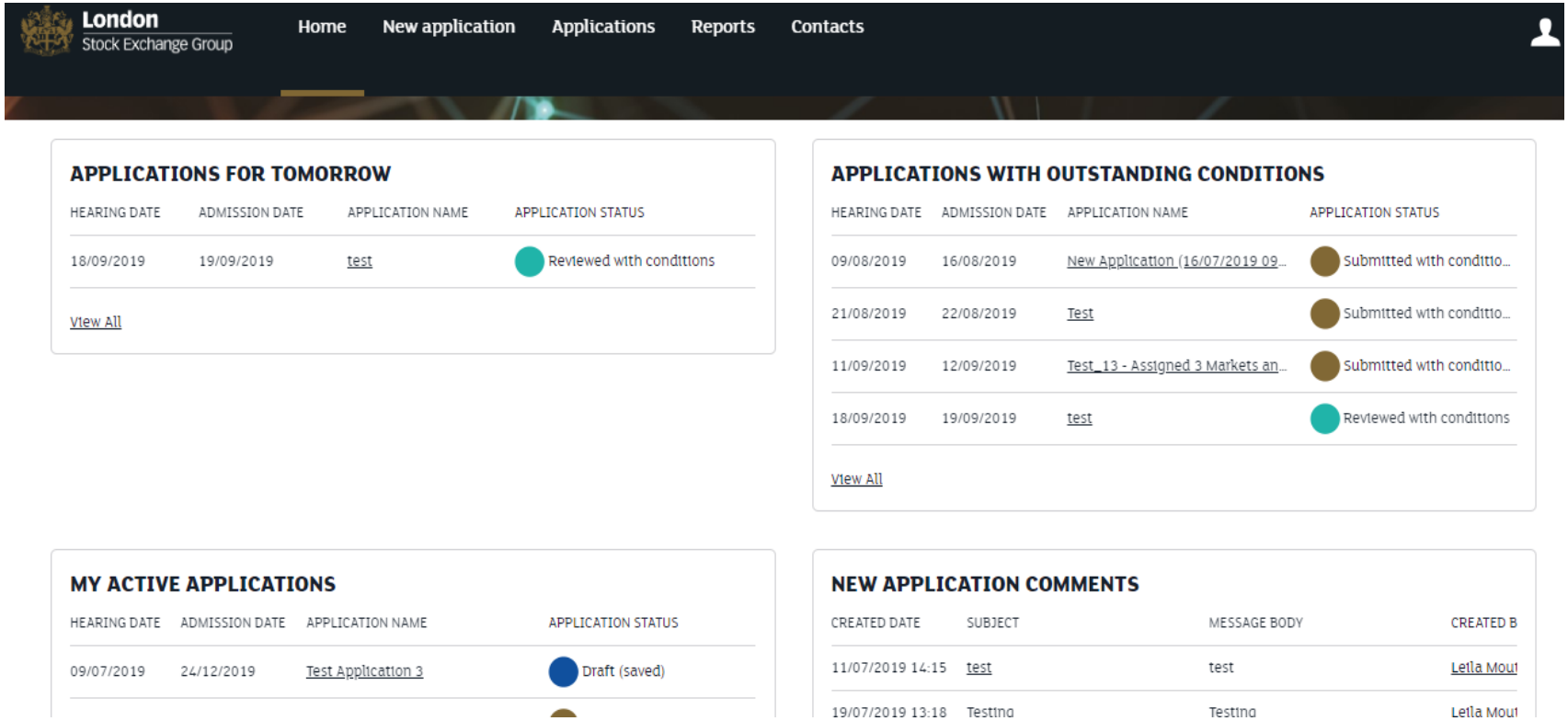
This tab is only available to Super users, this is where a Super user may access other users details to adjust user permissions

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 tomorrow
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

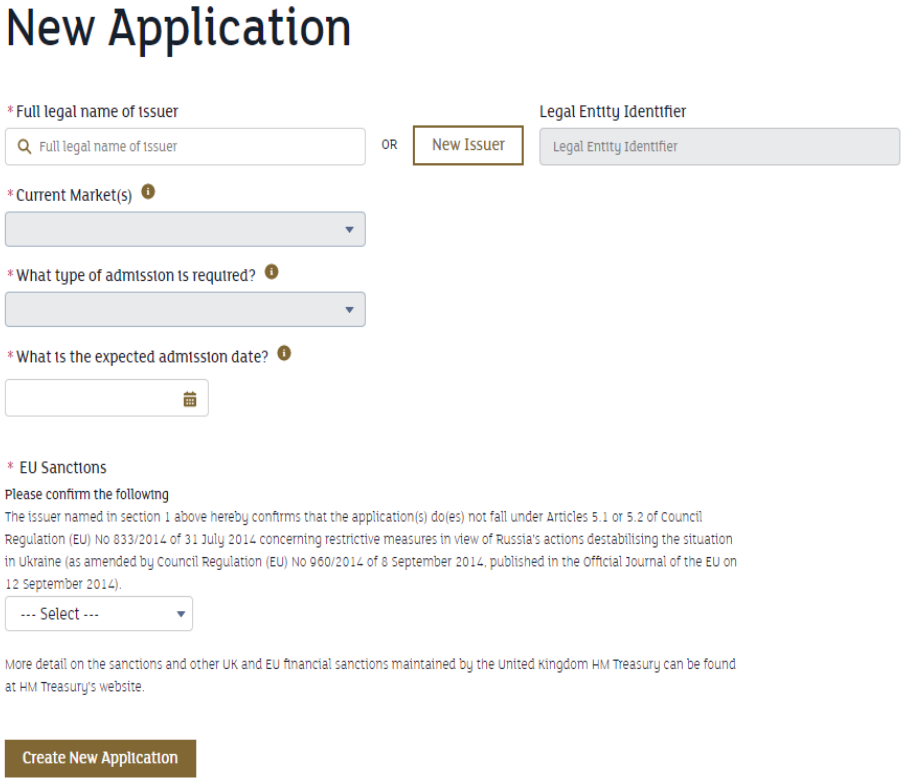
New Application Comments
This list view will show all Application comments for Applications where you are the primary contact, that have not yet been completed.

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 appea
- 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

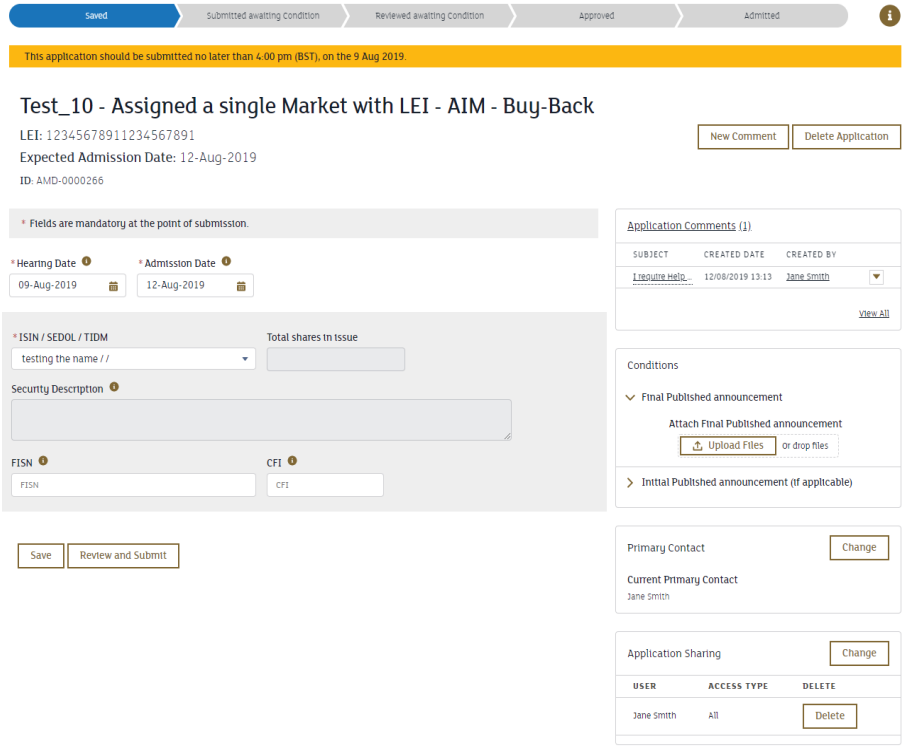
Create New Application

- 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

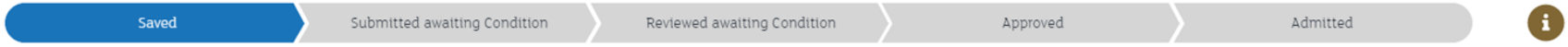
- What you see on this page is dependent on the Application type and Market type selected on the first page. This is because the information requirements differ
.
- The example here shows an application where various fields are required, this is what we call a Case Type 1



Portal - New Application Creation - Case Type 1

- 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

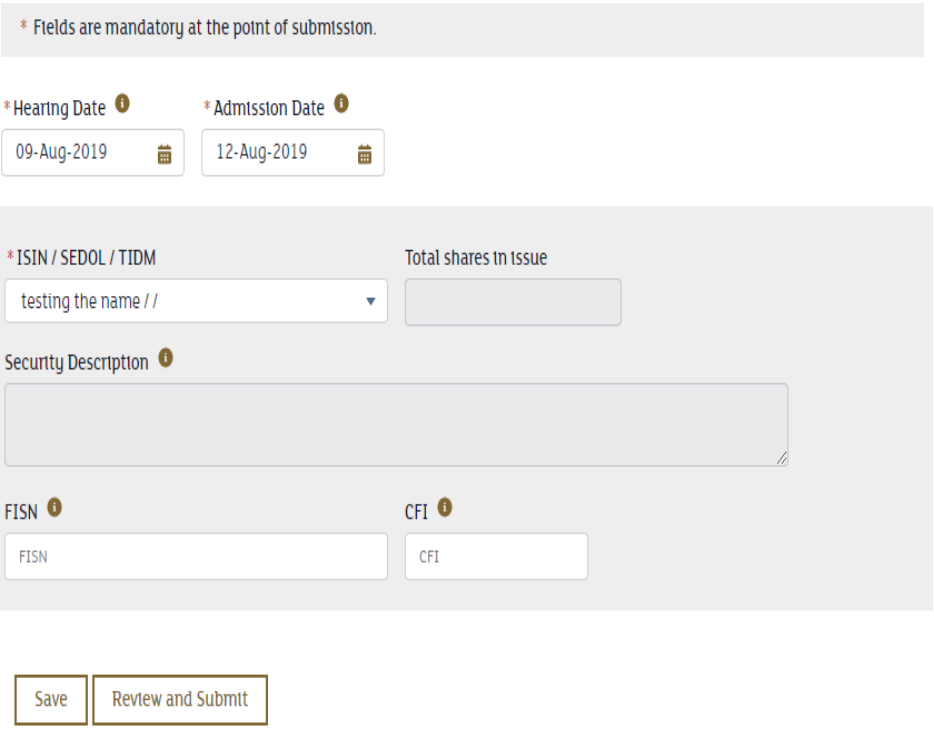
Portal - New Application Creation - Case Type 1

- 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, save 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

- 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, and edit it if you require

Hearing Date : **27-Sep-2019**

Admission Date : **30-Sep-2019**

ISIN **GG00B45L2K96 / B45L2K9 / AEMC**

- Security Description :
- CFI :
- FISN :

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

Declaration

We declare that:

1. we have received advice and guidance from a nominated adviser and any other appropriate professional advisers as to the nature of our rights and obligations under the AIM Rules for Companies and the Rules of the London Stock Exchange and we understand and accept these rights and obligations;
2. we have taken appropriate advice where necessary and have acted appropriately on any advice given;
3. the admission document* complies with the AIM Rules for Companies and includes all such information as investors would reasonably expect to find and reasonably require for the purpose of making an informed assessment of the assets, liabilities, financial position, profits, losses, and as to the prospects of the Issuer and the rights attaching to its securities;
4. in our opinion, having made due and careful enquiry, the working capital available to us and our group is sufficient for our present requirements (i.e. for at least twelve months from admission)*;
5. any profit forecast, estimate or projection in the admission document* of the Issuer has been made after due and careful enquiry; and
6. procedures have been established which provide a reasonable basis for the directors to make proper judgements as to the financial position and prospects of the Issuer and its group

*Note: paragraphs (3) (4) and (5) above are applicable only if this application relates to an issue of securities requiring the publication of an admission document under the AIM Rules.

Undertaking

We undertake to:

1. comply with the AIM Rules for Companies and the Rules of the London Stock Exchange as amended from time to time;
2. pay any applicable admission and annual fees; and
3. seek advice and guidance from our nominated adviser when appropriate and act appropriately on such advice.

Submitted By: Leila Young	Job Title:
Approved By:	Job Title:
Signed by a duly authorised officer (e.g. Director) for and on behalf of:	Date: 17-Sep-2019
Full Legal Name of Issuer: Test	

Submit

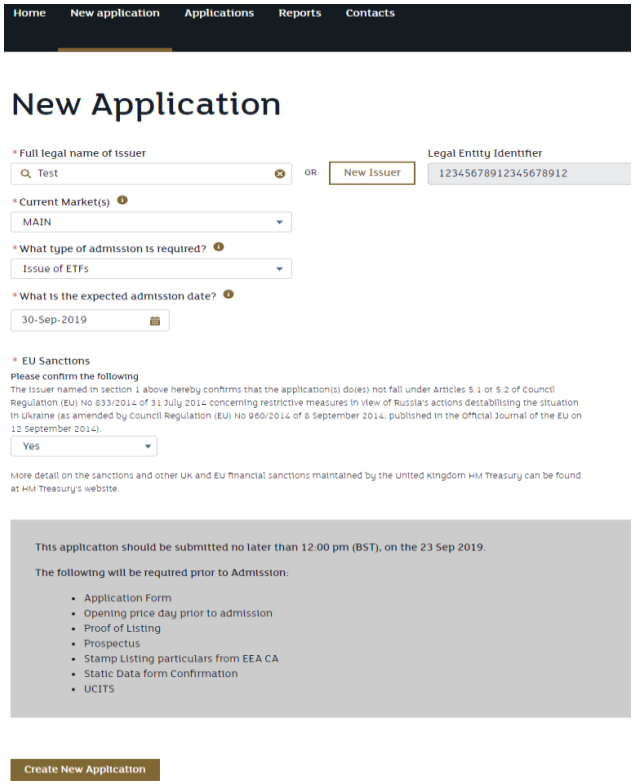
Portal - New Application Creation - Case Type 1

- Once selecting submit, you will no longer be able to edit the details in the application, 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

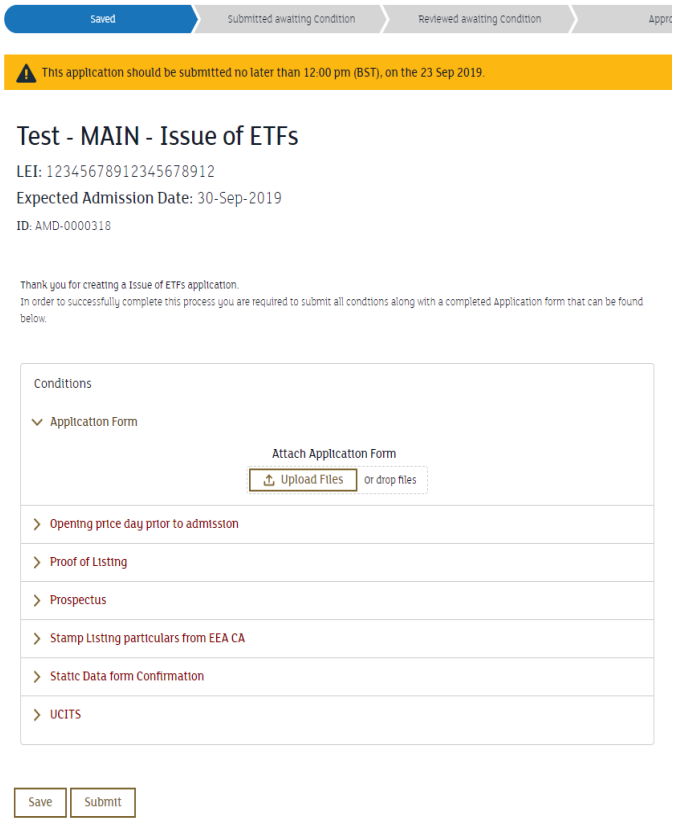
Portal - New Application Creation - Case Type 2

- 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 no fields to be populated and instead has a list of conditions which need to be attached.
- The application form 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 conditions.



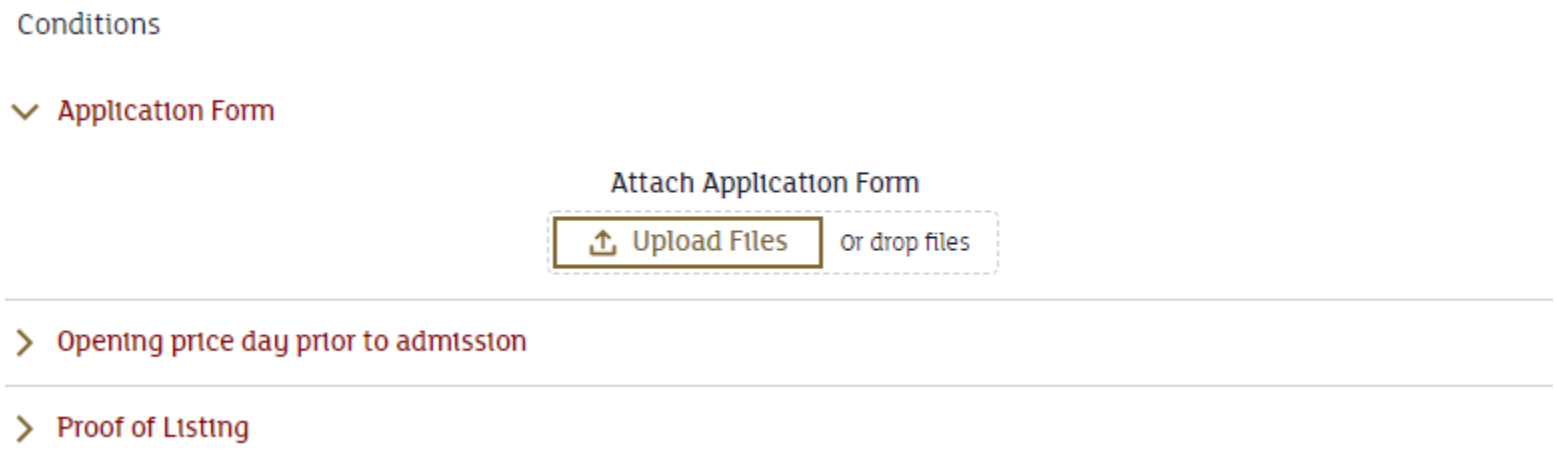
Portal - Adding Conditions

- 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
- You can only add conditions once an Application has been saved
- All but one Condition requires an attachment, Confirmation of Allotment requires a Checkbox to be selected instead of an attachment.

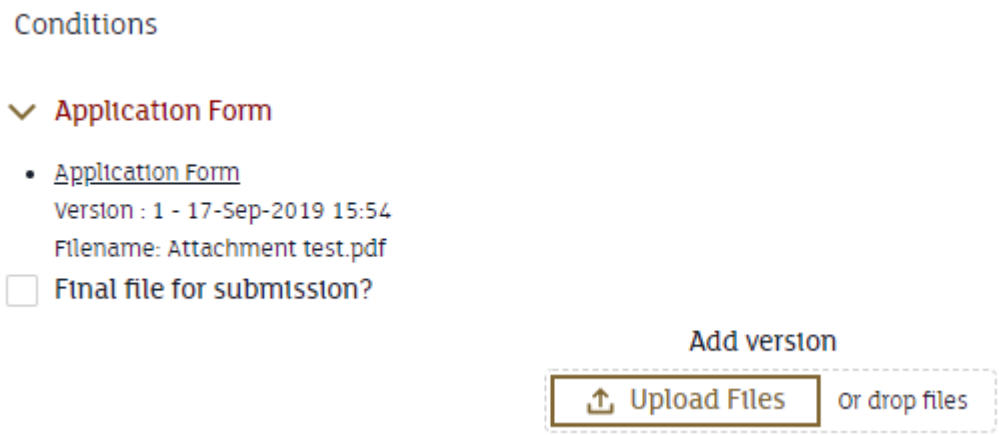
Portal - Adding Conditions

- 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

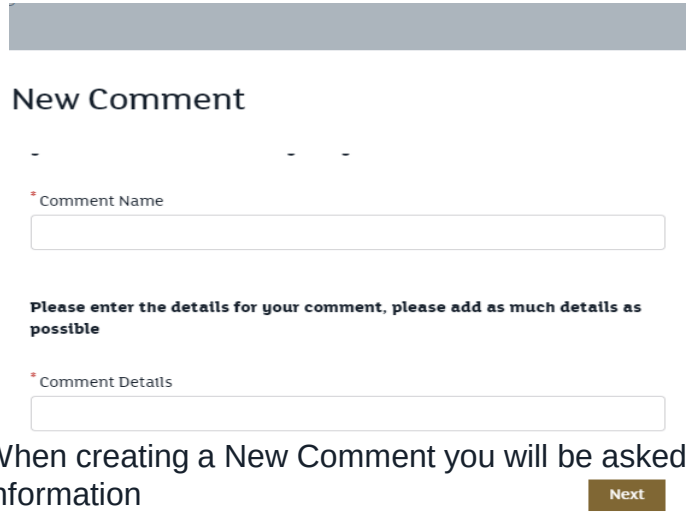
- If the Admissions team have reviewed the Application and deem everything to be correct, the status should move to Approved and then Admitted.

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

- Selecting this button will open the below page



- When creating a New Comment you will be asked for the following information

Next

Comment Name
This Comment name will give the admissions team a high level view of the intention of the Comment

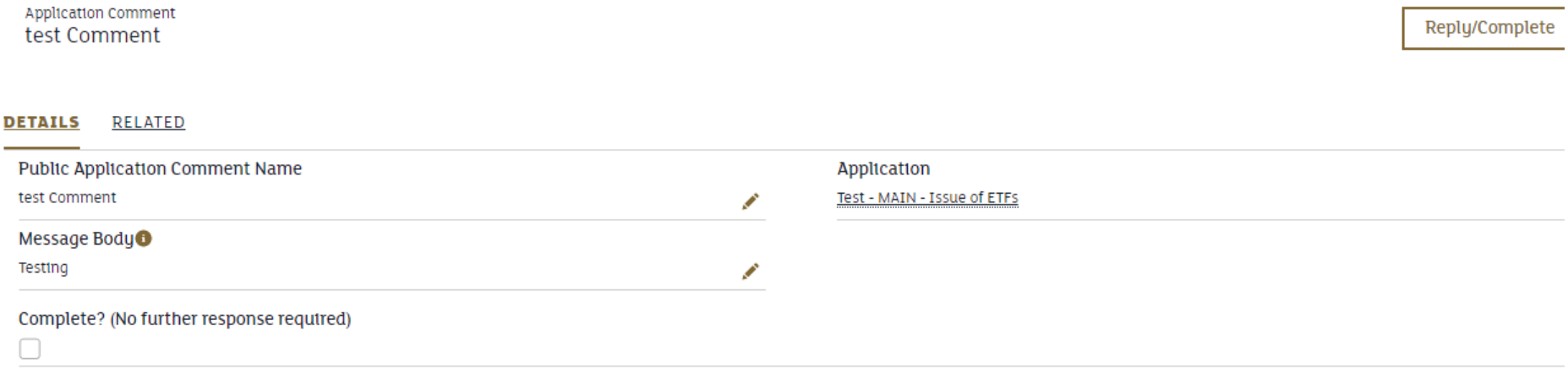
Comment Details
The Comment details is where you should enter the details of your comment

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

- A Portal super 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

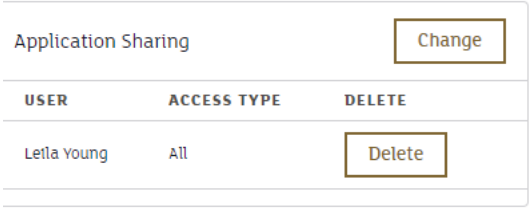
- **To update user permissions, as a Portal Super User, follow the below steps:**
  - Navigate to the contacts tab
  - Select the User you wish to update
  - Select the ‘Update User Permissions’ button

  - 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

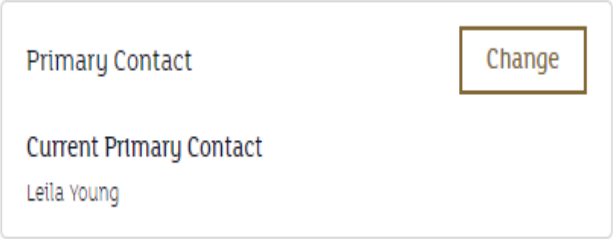
- Application sharing allows a Portal Super User to share Applications with other users
- To Share an Application
  - Navigate to the Application you wish to share
  - On the Application, you will see the Application Sharing sections
  - Select ‘Change’
  - This will allow you to select the Access type 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 - Super User 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
- https://www.londonstockexchange.com/raise-finance/focus/admissions-self-service-portal