

LCH Portal

LCH Portal User Administration

15th June 2016

Introduction

This document is intended for Member Admin Users and Super Users of the LCH Portal.

It gives a step by step guide to the process by which Members can request setup of new user accounts for their organisation and search and edit existing accounts.

These instructions will be included on the relevant Portal pages and expanded from time to time as new functionality is introduced.

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1 Authorised Users

Authorised Users are individuals that the Member has duly authorised to access one or more of the Portal Business Line applications. They are also known as 'Normal Users'. Authorised Users are applicable to all the LCH Portal Business Lines.

Authorised Users do not have access to the functionality described in this reference guide. Rather this guide describes how an Admin User or Super User will request access for a new Authorised User to one or more of the Portal Business Line applications and how the searching and editing of existing Authorised User accounts is performed.

As with all Member users the Authorised User is associated with one or more Member accounts within one or more Member legal entities. Authorised User can view details of their own user account only.

2 Admin Users

Admin Users are Portal users that are given access rights to the Collateral Management User Administration functions within the LCH Portal. They do not have access to the Collateral Management applications themselves.

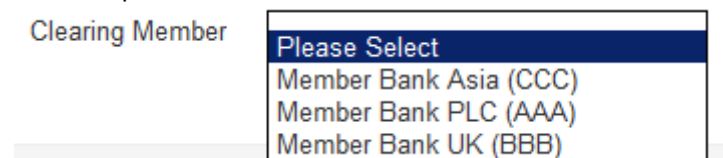
Admin Users are not currently applicable to Business Lines other than Collateral Management, within Portal (please see Super Users section for details on how all other Business Lines are administered).

The User Administration functions allow for the creation of new user accounts (Authorised Users or Admin Users) as well as the searching and editing of existing user accounts.

The scope of the Administration functions is restricted according to how the Admin User has been setup.

An Admin User is associated with one or more Member accounts within one or more Member legal entities. They can create/view/edit user accounts that fall under these legal entities only.

For example:



In this case, an Admin User has been associated with 3 legal entities within the same group. He/She will be able to request a new user account, for a colleague, which has access to a Business Line(s) and application(s) for a single legal entity:

i.e. Member Bank PLC (AAA)

Or a user account that has access to a Business Line(s) and application(s) across all 3 legal entities:

i.e.
Member Bank PLC (AAA)
Member Bank UK (BBB)
Member Bank Asia (CCC)

An Admin User will be able to restrict the new user account with access to specific mnemonics and other permissions relevant to the Business Line(s) and application(s) in question (see section 5 below).

An Admin User can be associated with one or more Business Lines. i.e. Collateral Management and ForexClear, SwapClear, CDSClear, Repoclear etc. However their access for the other (non Collateral Management) Business Lines will be that of either a Super User or Authorised User.

An Admin User can have Admin User rights for one legal entity and Authorised User access for another within the same business line.

An Admin User can create other Admin User accounts or Authorised User accounts. They cannot create Super User accounts for the Collateral Management Business Line (only Admin User or Authorised User accounts). They can however edit a Super User's permission to a Collateral Management application.

3 Super Users

Super Users are Portal users that are given extra access rights to certain User Administration functions within the LCH Portal, in addition to their access rights to Business Line applications. As such they have the combined access rights of both an Authorised User and an Admin User. Super Users are applicable to all the LCH Portal Business Lines.

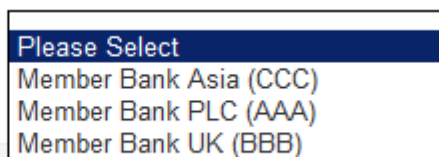
The User Administration functions allow for the creation of new user accounts (Authorised Users or Admin Users) as well as the searching and editing of existing user accounts.

The scope of the User Administration functions are restricted according to how the Super User has been setup.

A Super User is associated with one or more Member accounts within one or more Member legal entities. They can create/view/edit user accounts that fall under these legal entities only.

For example:

Clearing Member



Please Select
Member Bank Asia (CCC)
Member Bank PLC (AAA)
Member Bank UK (BBB)

In this case, a Super User has been associated with 3 legal entity accounts within the same group. He/She will be able to request a new user account, for a colleague, which has access to a Business Line(s) and application(s) for a single legal entity:

i.e. Member Bank PLC (AAA)

Or a user account that has access to a Business Line(s) and application(s) across all 3 legal entities:

i.e.
Member Bank PLC (AAA)
Member Bank UK (BBB)
Member Bank Asia (CCC)

An Admin User will be able to restrict the new user account with access to specific mnemonics and other permissions relevant to the Business Line(s) and application(s) in question (see section 5 below).

A Super User can also be associated with one or more Business Lines. i.e. Collateral Management and ForexClear, SwapClear, CDSClear, Repoclear etc.

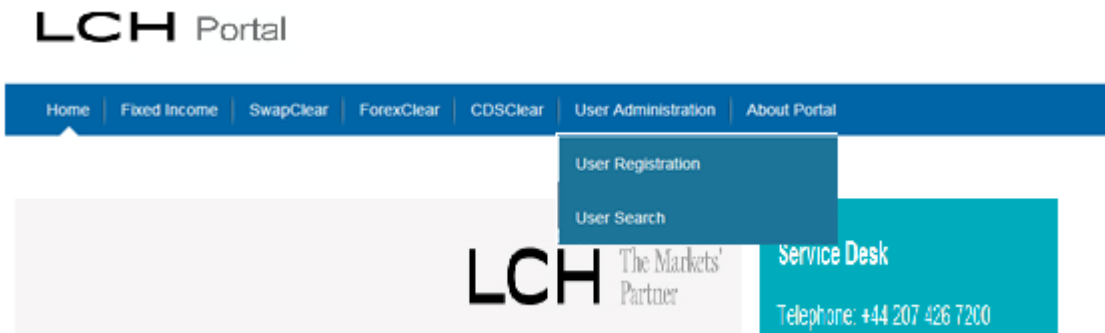
A Super User will only be able to request user accounts and allocate access to services and data under the Business Line(s) that he/she himself/herself has been assigned to.

At present, a Super User cannot have Super User rights for one legal entity and Authorised User access for another within the same Business Line.

A Super User can create other Super User or Authorised User accounts for most Business Lines. They cannot create Super User accounts for the Collateral Management Business Line (only Admin User or Authorised User accounts). They can however edit a Super User's permission to a Collateral Management application.

4 User Administration

Member Admin Users or Super Users will be given access to two menu items – ‘User Registration’ and ‘User Search’ – both of which can be found under the top-level menu tab ‘User Administration’:



5 User Registration

The 'User Registration' screen allows Member Admin Users or Super Users to request a new user account for one of their colleagues, under the same Clearing Member mnemonics that Super Users are registered to.

The screens below take you through a typical example, creating a new user account for the ForexClear and Collateral Management Business Lines for example member 'Member Bank PLC'.

5.1 New User Registration

Choosing the 'User Registration' menu option under 'User Administration' displays the following page:

Contact Details

Please enter personal contact details

First Name	<input type="text" value="First Name"/>	*
Last Name	<input type="text" value="Last Name"/>	*
Email	<input type="text" value="Email"/>	*
	Please enter your corporate email id.	
Contact Number	<input type="text" value="Contact Number"/>	

+ Assign Super User Access

Member Information

Please enter the details of your member company

Clearing Member	<input type="text" value="Please Select"/>	▼
-----------------	--	---

[Submit Request](#)

5.1.1 Legal Entity

In this example, the Admin User / Super User has been granted access to 3 separate 'Member Bank' Legal entities and can therefore register users across one, or more than one of these entities.

The Admin User / Super User must first complete the Contact Details for the new user account they are setting up. They must then select the Clearing Member legal entity to which they wish to grant the new user access.

Once they have defined the permissions for the first Clearing Member legal entity, they will be able to repeat the process to provide the same new user account with access to additional legal entities (see the sections that follow for more details).

Contact Details

Please enter personal contact details

First Name	<input type="text" value="John"/>	*
Last Name	<input type="text" value="Doe"/>	*
Email	<input type="text" value="john.doe@memberbank.com"/>	*
	Please enter your corporate email id.	
Contact Number	<input type="text" value="12345"/>	

+ Assign Super User Access

Member Information

Please enter the details of your member company

Clearing Member	<div style="border: 1px solid black; padding: 2px;"><p>Please Select</p><p>Member Bank Asia (CCC)</p><p>Member Bank PLC (AAA)</p><p>Member Bank UK (BBB)</p></div>	<input type="button" value="Submit Request"/>
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5.1.2 Business Line Mnemonics

In the screenshot below, we request access to the ForexClear Business Line for a single legal entity: Member Bank PLC (AAA).

This gives us a selection of one available Business Line mnemonics under ForexClear Ltd: AAA.

We can create a user with either House and/or Client access.

Once the relevant check boxes have been selected we need to click the 'Add' button, to add this selection to the profile, we can then continue to select other legal entities from the Clearing Member drop down box and further Business Line mnemonics if we wish.

Contact Details

Please enter personal contact details

First Name	<input type="text" value="John"/>	*
Last Name	<input type="text" value="Doe"/>	*
Email	<input type="text" value="john.doe@memberbank.com"/>	*
	Please enter your corporate email id.	
Contact Number	<input type="text" value="12345"/>	

+ Assign Super User Access

Member Information

Please enter the details of your member company

Clearing Member	<input type="text" value="Member Bank PLC (AAA)"/>	▼
-----------------	--	---

Select Business Lines

Please select which LCH.Clearnet services you are interested in using.

ForexClear

Select Entity *

Please select the entity for **ForexClear**

LTD

Select Mnemonic *

Please select mnemonics for **ForexClear LTD**

Mnemonic	House Access	Client Access
AAA	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Add

Submit Request

5.1.3 Collateral Management

The Collateral Management tab is applicable to all Members irrespective of what product(s) they are clearing with LCH or which LCH entity. The CMS Application also has one of the more detailed permission structures; as such the following section will walk through permissions specific to Collateral Management.

In the screenshot below, we have requested access to the Collateral Management Business Line for a single legal entity: Member Bank PLC (AAA) selecting both LCH Ltd and LCH SA Clearing House Entities. This gives us a selection of one available Business Line mnemonic under Collateral Management Ltd: AAA and another under Collateral Management SA: 12345. These have both been selected with the default user permissions (see table below for more details).

We then need to click the 'Add' button, to add this selection to the profile.

[+ Assign Super User Access](#)

Member Information

Please enter the details of your member company

Clearing Member

Select Business Lines

Please select which LCH services you are interested in using.

CollateralMgmt

Select Entity *

Please select the entity for **CollateralMgmt**

SA

LTD

Select Mnemonic *

Please select mnemonics for **CollateralMgmt LTD**

Mnemonic	Cash	Non-Cash	Eligibility
<input checked="" type="checkbox"/> AAA	<input checked="" type="radio"/> ReadOnly <input type="radio"/> Input <input type="radio"/> Input/Authorise	<input checked="" type="radio"/> ReadOnly <input type="radio"/> Input <input type="radio"/> Input/Authorise	<input checked="" type="radio"/> No Access <input type="radio"/> ReadOnly <input type="radio"/> Input <input type="radio"/> Input/Authorise

Please select mnemonics for **CollateralMgmt SA**

Mnemonic	Cash	Non-Cash
<input checked="" type="checkbox"/> 12345	<input checked="" type="radio"/> ReadOnly <input type="radio"/> Input <input type="radio"/> Input/Authorise	<input checked="" type="radio"/> ReadOnly <input type="radio"/> Input <input type="radio"/> Input/Authorise

Add

Submit Request

Note: SA Mnemonics may also be known as Clearing Member (CM) Codes.

Details of Collateral Management permissions are provided in the following table. These permissions only apply when requesting a new Authorised User account. When requesting a new Admin User account these permissions do not apply, so the user should leave the default settings in place.

Permission	Description
Cash	<p>Define the user's access to Cash Instructions in CMS (not applicable to the Admin User role). All instructions must be input by one user and authorised by a second user (please refer to the CMS reference guide for more details).</p> <p>ReadOnly – provides read access to all cash instructions input by other users.</p> <p>Input – provides read and input access to cash instructions</p> <p>Input/Authorise – provides read, input and authorise access to cash instructions.</p>
Non-Cash	<p>Define the user's access to Security (Ltd, SA and LLC) and Triparty (Ltd only) Instructions in CMS (not applicable to the Admin User role). All instructions must be input by one user and authorised by a second user (please refer to the CMS reference guide for more details).</p> <p>ReadOnly – provides read access to all security and tri-party instructions input by other users.</p> <p>Input – provides read and input access to security and tri-party instructions</p> <p>Input/Authorise – provides read, input and authorise access to security and tri-party instructions.</p>
Eligibility (SwapClear only)	<p>Define the user's access to CustodialSeg Eligibility (Ltd only) restrictions in CMS (not applicable to the Admin User role or non SwapClear mnemonic). All restrictions (Sets and Collateral Profiles) must be input by one user and authorised by a second user (please refer to the CMS reference guide for more details).</p> <p>No Access – Prevents the user from viewing the Collateral Profiles and Eligibility Sets created in support of CustodialSeg activity.</p> <p>ReadOnly – provides read access to all Collateral Profiles and Eligibility Sets set-up by other users to support CustodialSeg activity.</p> <p>Input – provides read and input access to all Collateral Profiles and Eligibility Sets allowing the user to create restrictions that will be applied to CustodialSeg accounts.</p> <p>Input/Authorise – provides read, input and authorise access to Collateral Profiles and Eligibility Sets, which allow the user to create and authorise restrictions that will be applied to CustodialSeg accounts.</p>

5.1.4 Selected Access

Once the mnemonic level access has been defined and we have clicked 'Add', we can view the selected mnemonics and add other legal entities from the Clearing Member drop down box and further Business Line mnemonics if we wish.

For the Collateral Management Business Line this also allows us to provide the additional 'Instruction By User' permission (which allows CMS Authorised Users to view the Instructions By User page – see CMS Reference Guide for more details).

If we make a mistake it is also possible to remove access at this point and start again (simply click the black X against the row you wish to remove).

Selected Access

Member Bank PLC (AAA)	CollateralMgmt	LTD	<input type="checkbox"/> Instruction By User
Member Bank PLC (12345)	CollateralMgmt	SA	<input type="checkbox"/> Instruction By User

Clearing Member	Business Lines	Mnemonic	Entity	Cash	Non-Cash	Eligibility	
Member Bank PLC (AAA)	CollateralMgmt	AAA	LTD	ReadOnly	ReadOnly	No Access	✘

Clearing Member	Business Lines	Mnemonic	Entity	Cash	Non-Cash	
Member Bank PLC (12345)	CollateralMgmt	12345	SA	ReadOnly	ReadOnly	✘

5.1.5 Business Applications

The final step is then to select the Application (and Application Role if more than one role is available) and click 'Submit Request'.

In the first example we choose the applications – iMS and Reporting to provide Authorised User access to these applications:

Assign Applications *

ForexClear IMS Reporting

[Submit Request](#)

In the second example we can choose the application – CMS and required role (as defined previously):

Assign Applications *

Business Line	Application	Application Roles
CollateralMgmt	<input checked="" type="checkbox"/> CMS	<input type="radio"/> Admin User <input checked="" type="radio"/> Authorised User

[Submit Request](#)

5.1.6 Email address validation

The supplied email address must be a valid domain name for the legal entity. 3rd Party, hotmail, or personal email domains will not be allowed.

If your corporate email domain is not recognised, please contact the security admin team via the service desk: Service.Desk@lch.com

Email domain myhomeaddress.com is not valid for clearing member AAA. Please contact service desk.

Contact Details

Please enter personal contact details

First Name	<input type="text" value="John"/>	*
Last Name	<input type="text" value="Doe"/>	*
Email	<input type="text" value="john.doe@myhomeaddress.com"/> Please enter your corporate email id.	*
Contact Number	<input type="text" value="12345"/>	

5.1.7 Super User Access

Note: If we want to grant the new user account Super User privileges, we need to expand the section (just under 'Contact Details'):

[+ Assign Super User Access](#)

and select the relevant Business Line. In this case, ForexClear:

[- Assign Super User Access](#)

Please select which LCH.Clearnet services you are interested in to become super user.

ForexClear

The Collateral Management Business Line is not available for Member users to select. If you require new Super Users for Collateral Management, you will need to request LCH set these accounts up. LCH advise that Members consider Admin Users rather than Super Users for Collateral Management due to the higher operational risk involved in the use of the CMS application. Admin Users are set-up by selecting the 'Admin User' Application Role when selecting the CMS application.

5.1.8 Existing Users

NOTE: If, via the 'User Registration' screen, the email address provided already exists in the Portal for a user account, this account name will be displayed and a link to edit, rather than create the account, will be provided.

Email member.bank@member.com already exists. Please contact service desk to update user profile.

Contact Details

Please enter personal contact details

First Name	<input type="text" value="John"/>	*
Last Name	<input type="text" value="Doe"/>	*
Email	<input type="text" value="member.bank@member.com"/>	*
	Please enter your corporate email id.	
Contact Number	<input type="text" value="12345"/>	

Please see section 6 below for information on how the 'Edit Access' function works.

5.2 Submitting & Approving a User Request

Once the Admin User or Super User clicks on 'Submit Request', the request is sent to LCH Security Admin team.

Confirmation of the request will also be emailed to the requesting Admin User and Super User and the user that is being created.

Once the request is reviewed by the LCH Security Admin team, they will either approve or reject the new User ID request.

If approved, Security Admin will then forward the new User ID account details (including password) to the user.

Note: the requesting Admin User / Super User does not receive a copy of the User ID and password – only the new user receives this.

If the request is rejected, an email with the details of the reason why, will be emailed back to the Super User requesting user. If required, a new user request will have to be raised – you cannot edit/re-submit the original request.

6 User Search

6.1 Search Utility

Admin Users and Super Users will be given access to a 'User Search' screen. This page provides a tool for searching and retrieving the details of user accounts registered under the same corresponding Clearing Member(s) that the Admin User / Super User has been assigned to.

Search can be customised to select by:

1. User Type – A 'Normal User' account (Authorised User) and/or a 'Super User' account (this will also return Admin Users for the Collateral Management Business Line)
2. Clearing Member – Leave unselected to search across multiple Clearing Member accounts or select an individual Clearing Member
3. Business Line – Returns accounts that have access to a given Business Line – this will only display the Business Lines that the Super User has access to. NOTE: leaving all unselected will return accounts across ALL Business Lines.
4. User ID, Email, First Name, Last Name – Wildcard searches are allowed i.e. Last Name= Smi*

User Search

The screenshot shows a 'User Search' form with the following fields and options:

- Access Type:** Two checkboxes, 'Normal User' and 'Super User', both of which are checked.
- Clearing Member:** A dropdown menu with 'Please Select' as the current selection.
- Business Lines:** A checkbox for 'ForexClear', which is currently unchecked.
- Search Criteria:** Four text input boxes labeled 'User ID', 'Email', 'First Name', and 'Last Name'.
- Action:** A blue 'Search' button located at the bottom right of the form.

In this case, because the Admin User / Super User is allocated to multiple Clearing Member accounts, the Super User can select which Clearing Member to search under.

If no Clearing Member is selected in this box, the search will operate across all 3.

User Search

Access Type
 Normal User Super User

Clearing Member

Please Select

Member Bank Asia (CCC)

Member Bank PLC (AAA)

Member Bank UK (BBB)

Business Line

User ID

First Name


Email

Last Name

In the example, we select the ForexClear Business Line only. We expect the search tool to show all 'Normal User' (Authorised User) and Super User accounts, that have access to the ForexClear service, across all three Clearing Members that we are assigned to.

At the top of the results, We also see the search query that was executed:

Search Query: AccessType=Normal, AccessType=Super, BusinessLines=ForexClear

As well as an export button:  **Export**

The export button can be used to output the search results, including all fields – to an excel spreadsheet for further analysis.

The list of user accounts that match the search criteria are listed below:

Results

Search returned 3 results.

 Export

Search Query: AccessType=Normal, AccessType=Super, BusinessLines=ForexClear,

Show entries

Search:

User ID	First Name	Last Name	Email	Member Name	Active	User Type
david.smith@member.com	David	Smith	david.smith@member.com	Member Bank Asia, Member Bank UK	Yes	Normal
john.doe@member.com	John	Doe	john.doe@member.com	Member Bank PLC	Yes	Normal
member.bank@member.com	member	bank	member.bank@member.com	Member Bank Asia, Member Bank PLC, Member Bank UK	Yes	Super, Normal

Showing 1 to 3 of 3 entries

Previous Next

From the search results list, you are able to click on the User ID and see a detailed record for that user account:

6.2 User Profile

User Profile

Deactivate Edit Access

Directory Information

User ID	david.smith@member.com
First Name	David
Last Name	Smith
Email	david.smith@member.com
Member	Member Bank UK, Member Bank Asia
Clearing Mnemonic	CCC,BBB
Create Timestamp	02-Mar-2015 13:37
Modify Timestamp	02-Mar-2015 13:42

Extended Directory Information


Last Login	NA
Active	true
Invalid Attempts	

Close

The screen will show various details about the user account, as well as the 'User Access Details' section, which details the Business Line and application-level access permissions at mnemonic level:

User Access Details

ForexClear
<ul style="list-style-type: none">○ LCH.Cleamnet Entity : LTD○ Mnemonics<ul style="list-style-type: none">○ BBB<ul style="list-style-type: none">○ MEM-HOU○ MEM-CLI○ CCC<ul style="list-style-type: none">○ MEM-HOU○ MEM-CLI○ Applications<ul style="list-style-type: none">○ IMS



We can see here that the account has access to two ForexClear legal entities: BBB and CCC and has permissions to use the iMS application.

There are two action buttons at the top of the 'User Profile' screen:

6.2.1 Deactivate User

This allows an Admin User / Super User to instantly deactivate a user account. As soon as that User ID current session expires, it will no longer be available to login to the Portal.

The only way to re-activate an account is to contact the LCH Service desk who will pass the query to LCH Security Admin team for review.

7 Edit User Access

From the 'User Profile' screen, an Admin User / Super User can use the 'Edit Access' option to modify an existing user account.

The User access details, for the selected user, are loaded into a screen which mimics the original 'User Registration' screen:

Contact Details

Contact details for user: **david.smith@member.com**

First Name	<input type="text" value="David"/>	*
Last Name	<input type="text" value="Smith"/>	*
Email	<input type="text" value="david.smith@member.com"/>	*
	Please enter your corporate email id.	
Contact Number	<input type="text" value="12345"/>	

Assign Super User Access

Please select which LCH.Clearnet services you are interested in to become super user.

ForexClear

Member Information

Please enter the details of your member company

Clearing Member

Selected Access

Clearing Member	Business Lines	Entity	House Mnemonic	Client Mnemonic	
Member Bank UK (BBB)	ForexClear	LTD	BBB	BBB	✕
Member Bank Asia (CCC)	ForexClear	LTD	CCC	CCC	✕

Assign Applications *

ForexClear IMS

Update Profile

From here the Super User can perform the following changes:

- Add/Remove Legal Entity access
- Add/Remove Business Line access
- Add/Remove Business Application access (including changing application roles)

- Add/Remove Business Line mnemonics (including changing mnemonic permissions)

Once this form is complete, the Admin User / Super User can submit the modifications which will be actioned immediately – these changes do not need to be approved by LCH Security Admin team.

Note: The user account in question, will need to logout of the Portal and login again to pickup the new access permissions.