
***Lehman Brothers
International (Europe)-
In Administration***

Client Information Portal
Guidance Notes

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1. Purpose of the Client Information Portal (“CIP”)

The Client Information Portal (“**CIP**”) is a secure website created by the Joint Administrators of Lehman Brothers International (Europe) (“**LBIE**”). The CIP is the ‘gateway’ for all counterparties to access the sub-portals contained within the CIP (e.g. Client Money Portal, Client Asset Portal, LBIE Creditor Portal, LBIE Affiliates Portal, SSI Portal) (together the “**Site**”)

The CIP’s purpose is to provide a secure communication channel for LBIE claimants to undertake functions such as viewing indicative statements, filing proofs of debt and providing settlement instructions to the Administrators.

These Guidance Notes have been produced to assist users of the CIP in accessing, navigating and using the Site.

2. Essential Definitions Relating to the CIP

<p>a. Authorised User: an <u>individual</u> acting on behalf of a legal entity that is or was a client of LBIE and who is validly appointed to access the Site on behalf of that legal entity. An Authorised User is (i) a Primary User and/or (ii) the Administrative User or (iii) a Secondary User or (iv) a Delegate User of the Legal Entity. An Authorised User's email cannot be a group email (e.g. legal@xyz) or a generic title (e.g. info@xyz; companysecretary @xyz).</p>
<p>b. Primary User: an Authorised User of the Legal Entity who validly is appointed to enter into certain legal, valid, binding and enforceable obligations with respect to the Site, or matters relating to the Site, on behalf of a legal entity that is or was a client of LBIE. A Primary User's Logon Credentials allow for viewing of data relating to the Legal Entity <u>as well as</u> submitting data to LBIE relating to the Legal Entity (e.g. filing a proof of debt, submitting SSI instructions). Note: if no Primary User was certified in the CIP prior to the CIP Enhancement Date, then a Primary User must now certify their contact details when they first logon and designate an Administrative User in order to gain access to the CIP. The Primary User is henceforth responsible for designating, managing and enabling/disabling the password of the Administrative User, as necessary, through the User Administration link at the top of the CIP Home Page. A Legal Entity may have up to five (5) Primary Users. A Primary User may also be the Administrative User if so authorised by the Legal Entity.</p>
<p>c. Secondary User: an Authorised User able to view, input, save and print data of the Legal Entity but a Secondary User's Logon Credentials do not allow for submission of data to LBIE through the CIP or any of the sub-portals in the Site. The Secondary User may change his/her own contact details from time to time in the CIP.</p>
<p>d. Administrative User: the Authorised User responsible for creating and managing the user accounts for all users of a Legal Entity (except themselves, which the Primary User creates.) The Administrative User enables, disables and changes contact details for all users other than themselves through the User Administration link at the top of the CIP Home Page. There is only one (1) Administrative User per Legal Entity. In addition, an Administrative User is able to view, input, save and print data of the Legal Entity but their Logon Credentials do not allow for submission of data to LBIE through the CIP or any of the sub-portals in the Site. An Administrative User may also be a Primary User if so authorised by the Legal Entity.</p>
<p>e. Delegate User: a third party Authorised User appointed to manage standard settlement instructions ("SSI") for the Legal Entity. Logon Credentials provide access to the SSI sub-portal only. A Delegate User is able to view, input, save and print data of the Legal Entity. All data entered by a Delegate in the SSI sub-portal must be approved by a Primary User and submitted by such Primary User.</p>
<p>f. General Disclaimer, User Guide and User Representations: Every time an Authorised User logs on to the CIP they are required to confirm their understanding and acceptance of the General Disclaimer, User Guide and Authorised User representations, as applicable to their user status (i.e. User Representations, Primary User Representations, Administrative User Representations). Without this agreement the user will not be able to access the CIP or the rest of the Site.</p>
<p>g. Logon Credentials: The unique username and password for each Authorised User. These are provided by the Administrative User. Users are responsible for the security of these details. These credentials are case sensitive. If the wrong password is entered 5 times a user will be locked</p>

<p>out of the CIP and will need his/her credentials to be reset by the Administrative User. When a user first logs on to the CIP and every two (2) months thereafter, he/she will be prompted to change their password. Users should select a password that is 7 characters in length and is comprised of upper case and lower case letters and at least one (1) numeric character. All concerns with respect to Logon Credentials (e.g., forgetting one's password) should be directed to the Administrative User.</p>
<p>h. User Administration: This link will appear at the top of the CIP Home Page and will be able accessible by Primary Users and the Administrative User. Through this link, Primary User, Secondary User and Delegate User status and Logon Credentials will be managed by the Administrative User. The Administrative User's status and Logon Credentials will be managed by the Primary Users.</p>
<p>i. CIP Home Page: This is the welcome page to the LBIE Client Information Portal, providing access to the links to the sub-portals for which a Legal Entity is entitled via its Logon Credentials. The user's contact details are displayed on the left side of the page. The user is able to change his/her details and password from the links on the page. The Primary Users and the Administrative User details are accessible for viewing through the View Users link at the top of the page.</p>
<p>j. Legal Entity: The legal name and GAC number (if known) of the counterparty (as per LBIE's books and records).</p>
<p>k. CIP Enhancement Date: 18 May 2011</p>
<p>l. Old Logon Details: Usernames and passwords provided by LBIE to users prior to the CIP Enhancement Date.</p>

3. How to Access the CIP

a. Legal Entities who certified a Primary User and designated an Administrative User prior to the CIP Enhancement Date:

The Administrative User will have received from LBIE their new Logon Credentials and will be able to provide users with their own bespoke Logon Credentials and user status. All users should contact their Administrative User directly. The Administrative User's details will pop up when a user tries to logon with their Old Logon Details.

b. Legal Entities who certified a Primary User but did not yet designate an Administrative User:

The Administrative User must be designated by a Primary User before the Legal Entity can be given access to the CIP. A Primary User should logon with their Old Logon Details and follow the instructions to designate an Administrative User. When LBIE receives these details, it will issue Logon Credentials for the Administrative User who will then be able to enable other users for the Legal Entity.

c. Legal Entities who have not certified a Primary User nor designated an Administrative User :

A Primary User must logon using their Old Logon Details and 1) certify themselves as a Primary User and 2) designate the Administrative User (as per b. above). Until this process is complete, the Legal Entity will be unable to access the Site.

4. User Guide

A User Guide with further information on navigating the CIP is available to assist counterparties. Users can access the User Guide from the top of the CIP pages once logged on.

5. Frequently Asked Questions

We appreciate that the CIP enhancement process has required counterparties to engage with the Site through various steps. So as to facilitate the process we have created a list of FAQs which may help counterparties navigate the changes. Our goal is to effect a smooth transition from the old portal to the new CIP as quickly as possible. Please take a moment to review the FAQs. They are posted on the PwC LBIE homepage http://www.pwc.co.uk/eng/issues/lehman_updates.html. We will continue to add to these FAQs over the coming weeks if we find that certain query responses would be helpful to the larger population.

6. Assistance

If you have any queries about how to use the CIP or regarding other areas of the Site, please contact us at generalqueries@lbia-eu.com

The Joint Administrators act as agents for and on behalf of LBIE and neither they, their firm, members, partners, employees or their representatives shall incur any personal liability whatever under or in relation to this Site or in connection with any information provided on or accessed through this Site. The exclusion of liability set out in this paragraph shall arise and continue notwithstanding the termination of the agency of the Administrators and shall operate as a waiver of any and all claims (including, but not limited to, claims in tort, equity and common law as well as under the laws of contract).

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