Enhanced
e-Submission System (ESS)

Frequently Asked Questions

May 2019

(Last Updated on 17 June 2019)

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Note:

This FAQs provides a list of frequently asked questions and answers about the new and enhanced functionalities introduced in the Enhanced e-Submission System (ESS). Please note that the current ESS FAQs remains applicable unless specified/updated in this FAQs.

Introduction of the Enhanced ESS

1.	**What is the purpose of launching the enhanced ESS?**
	With the evolving security threats and fast changing information technologies landscape, the Exchange believes that a system revamp is necessary to ensure that the e-Submission System (ESS) continues to operate at optimized efficiency for the submission and dissemination of listed issuers' information.
2.	**What are the major enhancements made to the ESS?**
	The enhancements include technology upgrade, system security enhancements and business process improvements. The key functional enhancements include, but not limited to, the following:- • Introduction of security tokens • Simplify the process flow of multiple files • Enable straight-through publication of AP/PHIP documents • Segregate the operational role of Publication Related Matter Users • Streamline the registration process and enhance user account administration functions • Widen browser support Please refer to the relevant FAQs in the following sections for further details.
3.	**Where can we find the relevant materials in relation to the enhanced ESS?**
	A designated web corner has been set up at HKEXnews website for all the enhanced ESS information (Enhanced ESS Web Corner) at http://www2.hkexnews.hk/Listed-Company-Publications/Enhanced-ESS?sc_lang=en.
4.	**Will there be any training available to ESS users (including listed issuers and their authorised agents)?**
	Yes, the Exchange will provide the following training materials, quick reference guides and user manuals on the Enhanced ESS Web Corner:- • **Information Paper on the enhanced ESS** – this paper presents an overview of the enhanced system, impact on listed issuers and a high level implementation plan; • **Interactive e-Learning Program** – a web-based simulation tool providing interactive guides to cover major ESS user functions; • **Video Tutorials** – videos for demonstrating the use of major ESS user functions; • **Quick Reference Guides** – a step by step guide for major ESS user functions; and • **User Manuals** – a detailed guide on all ESS user functions. In addition, a total of six user familiarisation sessions were arranged in May 2019 to provide ESS users with the opportunity to practice the enhanced ESS functions/features.

ESS Users Migration

5.	**Is it mandatory for all ESS users to migrate to the enhanced ESS? If so, when will my company migrate to the enhanced ESS?**
	Yes. All registered ESS users (including listed issuers and their authorised agents) should be migrated to the enhanced ESS. To ensure a smooth migration of ESS users from the existing system to the enhanced ESS system, ESS users will be migrated in batches over a 5-month transitional period commencing from Q3 2019. A separate letter will be issued to the ESS Authorised Persons advising the details of the migration arrangements one month before the migration. Please also refer to the Enhanced ESS Web Corner for further updates on the migration schedule for each batch of ESS users.
6.	**What are the actions required from ESS users before the migration?**
	Every ESS user is required to provide his/her mobile number by updating the "Mobile No." field in the user profile of the <u>existing ESS</u> (click "My Profile" after logging into the existing ESS). Please also review the user particulars (such as email account) in the user profile to ensure that the information is up-to-date. In addition, the ESS Authorised Person will be required to perform the following tasks in the <u>enhanced ESS</u> before migration:- **Appointment of Agents (for listed issuers only) –** to create a record to allow the designated agent(s) can submit and/or approve documents on issuers' behalf; **Review the submitter/approver role of Publication Related Matter users -** to define the submitter/approver role of their existing Publication Related Matter users; and **Users account activation -** to ensure their users have completed the activation process for their user IDs and security tokens. For further instructions, please refer to the "Step-by-Step Guide for User Migration" posted on the Enhanced ESS Web Corner.
7.	**Will there be sufficient time for ESS users to complete the actions required for the migration?**
	Yes, ESS users will be given around three weeks to complete the required actions before migrating to the enhanced ESS.
8.	**Can we request to change the migration schedule to another batch?**
	No. The migration schedule is set to ensure a smooth migration of ESS users. However, the Exchange will consider on a case by case basis if you have a solid reason.

9.	**I am a listed issuer. Can I continue to use the old ESS to submit documents after migration to the enhanced ESS?**
	No. Your old ESS user account will be disabled after migration to the enhanced ESS. Listed issuers who have migrated to the enhanced ESS can only use the new ESS user accounts (with tokens) for the document submission and publication.
10.	**I am an authorised agent and is representing different issuers to submit documents on their behalf. I notice that some issuers have been migrated to the enhanced ESS whilst some issuers have not. What should I do?**
	According to our plan, agents will be the first batch of users to be migrated to the enhanced ESS. Unlike listed issuers, agents' ESS user accounts for the current ESS will continue to function until the completion of all user migration. During the transitional period, you should:- • login to the existing ESS to submit on behalf of the listed issuers who have **not** been migrated to the enhanced ESS (i.e. continue to use paper-based security password); • login to the enhanced ESS accounts to submit on behalf of the listed issuers who have been migrated to the enhanced ESS For the avoidance of doubt, user passwords for logging into the existing ESS and the enhanced ESS are independent.
11.	**Will all submissions that I have made in the existing ESS be migrated to the enhanced ESS?**
	No. All submissions (including the saved submission and approved submission) that you have made in the current ESS will not be migrated to the enhanced ESS. If you have a saved submission made in the existing ESS, you have to re-submit it in the enhanced ESS. Likewise, you cannot retrieve a published document made in the existing ESS for headline correction. In such case, you should write to the Primary Market Information, Listing Department to request a change to the headlines categories of that submission.
12.	**Am I still able to view the past submission history in the enhanced ESS after migration?**
	No. Past submission history relating to the existing ESS will not be migrated to the enhanced ESS. You may print the past submission history in the existing ESS on the day immediately before the migration for record purpose.
13.	**How should I treat the old ESS User ID, User Password and the Security Passwords?**
	All listed issuers should keep the old ESS User ID, User Password and the Security Passwords until the end of the migration period. Thereafter, you should destroy them in a secure manner in accordance with your own internal security procedures.

Login to the Enhanced ESS

14.	**Is there any change to the operational hours of the ESS?**
	There is no change to the existing ESS operational hours and the publication windows for document submissions.
15.	**Why can't I access the enhanced ESS website?**
	The enhanced ESS website adopts a new URL (https://www1.esubmission.hkex.com.hk). Please check if you have used the new URL to access to the enhanced ESS website.
	If you are consistently unable to access the enhanced ESS website, please call the ESS hotline (+ 852 2840 3460) for assistance.
16.	**Why can't I log into the enhanced ESS?**
	Please make sure you have entered the User ID, User Password and the One-time passcode (see question 25) generated by your security token correctly. User Password is case sensitive.
17.	**What can I do if I forgot my User ID?**
	You can use the "Forgot User ID" function on the enhanced ESS login page. Follow the instructions and the ESS System will send the User ID(s) to your registered email address.
18.	**What can I do if I forgot my user password or my account was locked?**
	You can use the "Forgot User Password" function on the enhanced ESS login page. Follow the instructions and the ESS will send an email to your registered email address for resetting password.
	If your user account has been locked, please contact your company's ESS Security Officer. Instructions on how to unlock the account can be found in the *"User Manual for Authorised Person, Administrator, DI User and Security Officer"* that can be accessed via the hyperlink at the bottom of the enhanced ESS website.

Security Token

19.	What is a security token? Why do we need a security token?
	Security token is introduced to strengthen the overall security level for system login by registered users. In addition, the One-Time Passcode (OTP) generated by the security token will be employed to replace the current paper-based security password. The OTP gives stronger authentication mechanism, at the same time, allows users to handle related user administration in a more efficient and convenient manner.
20.	Why should we use a software token (instead of a hardware token)?
	Software tokens have many benefits over hardware tokens. These include:- • **Portable -** Instead of carrying around an extra piece of hardware, a software application can run on a variety of devices (smartphones, tablets); • **Flexible -** Software token is even more favorable to multi-roles user since the software application adopted by ESS can accommodate up to ten users' tokens; • **Durable -** No regular renewal is necessary since software tokens do not have limitation on hardware life cycle; • **Less hassle -** Software tokens can be distributed to users instantly with no restrictions are imposed on concerning shipping hardware tokens; and • **Market trend** – The financial sector is generally moving away from hardware to software tokens. In short, software tokens provide strong security, a more convenient and an improved customer experience. Therefore, the Exchange recommends the use of software tokens in the new system.
21.	Can an ESS user (including listed issuers and their authorised agents) request the use of hardware tokens?
	In exceptional circumstances, the Exchange may provide hardware tokens to an ESS user. However, ESS user would have to send a written explanation to the Exchange as to why it requires hardware tokens. The Exchange will consider the merit of such a request on a case by case basis.
22.	How do I download and activate/set up the software token on my mobile device?
	The software token is a mobile application. You can download it for free to your mobile devices. To download, go to your device's application store and search for "**SafeNet MobilePASS**" (**MobilePASS**). But ONLY one MobilePASS is required for your mobile device. You can click the hyperlink "Help" on the User Activation Page of ESS website or refer to the User Manual for the instructions on how to set up the software token. For security reasons and to protect your interest, please ensure **<u>NOT</u>** to use a jailbroken or rooted device to download and set up the MobilePASS.

23.	If I cannot access the Google Play Store, is there any alternate means to download the software application (MobilePASS) on my mobile device?
	Yes. You can download the software application in an APK file and install it to your mobile device. The APK file can be downloaded from SafeNet MobilePASS website . To download the APK file • Use your mobile device, go to the SafeNET MobilePASS website (https://safenet.gemalto.com/support-downloads/mobilepass-download-page/) or scan the QR code below; • Clicks on the link "MobilePASS for Android (direct download)"; • An application file in APK format will be downloaded to your mobile device; and • Open the APK file to install the MobilePASS. **Note: Actual steps may be different based on the model of your mobile device, please read and follow to the instructions as presented during installation.**
24.	I have activated my software token (MobilePASS) on my mobile device earlier, but I could not use the OTP generated by my MobilePASS to log into the enhanced ESS. What should I do?
	Please make sure the date and time shown on your mobile device is the same as displayed on the login page of the enhanced ESS. Since the OTP will be renewed in every 30 seconds, please configure the Date/Time setting on your mobile device as "automatically updated". As a **back-up channel**, you can login to the enhanced ESS by requesting an OTP sent via SMS (see question 25).

25.	**What is a SMS OTP? How does it work?**
	SMS OTP is a **back-up channel** for users to access the enhanced ESS when user cannot retrieve OTP from the assigned security token.
	You must first add/update your mobile phone number in "My Profile" under the Profile Admin function to ensure you can receive the SMS OTP via your mobile device.
	Users can click "Login with SMS Password" at the enhanced ESS login page to request for an SMS OTP by providing User ID and User Password. Users can then use this SMS OTP to access the enhanced ESS. Each SMS OTP can only be used once and expires after 150 seconds.
26.	**I cannot receive the OTP via SMS for user activation. What should I do?**
	If you do not receive the OTP via SMS after a reasonable period of time, you may click the "Request One-time Password" button on the relevant ESS web page again. If you consistently do not receive the OTP via SMS, please verify the last 4 digits of your mobile phone number displayed on the ESS webpage or contact your ESS Security Officer to review your mobile phone number in the ESS. If your mobile number is incorrect, please contact ESS hotline (+852 2840 3460) for assistance.
27.	**Will I incur any charges for receiving SMS OTP?**
	The Exchange does not impose a charge for sending the SMS OTP. However, your mobile service provider may or may not impose a fee for receiving SMS messages. Please check with your mobile service provider.
28.	**I have more than one ESS user account because I was appointed to different roles in the enhanced ESS. How many tokens can I use on my MobilePASS application?**
	If you own more than one ESS user account, you can register multiple tokens (up to 10) within a single MobilePASS application in a mobile device. For example, if you have three ESS user accounts, you need to register three tokens in your mobile device. But only one MobilePASS application is required to be setup in your mobile device. (see question 23)
29.	**What should I do if my mobile device (containing the software token) is lost or stolen?**
	ESS users (other than the ESS security officer) should immediately report to your ESS security officer to revoke your token to prevent unauthorized access. In the case of ESS security officer, s/he should contact our ESS hotline (+852 2840 3460). Once the security token has been revoked, it is no longer valid. You have to complete the token registration again when you have a new device or subsequently found your lost device. (see question 23)
	Instructions for ESS Security Officer on how to revoke the lost token and assign a new token can be found in the *"User Manual for Authorised Person, Administrator, DI User and Security Officer"* that can be accessed via the hyperlink at the bottom of the enhanced ESS website.

30.	**What should I do if I have changed the SIM card or mobile phone number on my software token activated mobile device?**
	Since your software token is tied to your mobile device instead of your SIM card. No special arrangement is needed after you have changed the SIM card or mobile phone number on your software token activated device. In case you have changed your mobile phone number, you must update it in the "My Profile" on the ESS by clicking the "Profile Admin" option in the menu bar at the top of the ESS screen to ensure you can continue to receive the SMS OTP.
31.	**Do I need to register a new token if I have changed my mobile device?**
	Yes. If you have changed your mobile device, you should contact your company's ESS Security Officer to re-assign the security token and then activate it again in your new mobile device. (see question 23)

User role settings

32.	**How to define the role of Publication Related Matter users in the enhanced ESS?**
	The ESS Authorised Person should assign a role (Submitter or Approver) to all existing Publication Related Matter users under the enhanced ESS. Users with submission rights can only perform document submissions whilst users with approval rights can only approve submissions.
	Select "Profile Admin" from "Admin" under the Main Menu bar of ESS website, choose "User Profile List" and click "Role Assignment" button to access to the relevant page to assign the role.
33.	**What is "Appointment of Agents"? How does it work?**
	The "Appointment of Agents" function is dedicated to the Authorised Person of listed issuers to appoint their representing agents to submit and/or approve documents on their behalf. Authorised Person can set criteria to control the submissions to be made by its appointed agents, either by the number of submissions or a time range or both.
	For the agent company, its Authorised Person can view the list of assignments made by their clients (i.e. listed issuers) via the "Appointment of Agents" function.
34.	**What is "Appointment of Approvers"? How does it work?**
	The "Appointment of Approvers" function is dedicated to the Authorised Person of both listed issuers and agents to control over the approval of document submissions by each approver of his/her company. Authorised Person can set criteria to control approvals to be made by its appointed approvers, either by the number of approvals or a time range or both.
	The default setting is **disabled** (meaning that every approver can approve document submissions without restrictions).
	Once it is set up by the Authorised Person, the relevant approvers can view their own assignments at the User Home Page.
35.	**Is there any notification from the enhanced ESS before expiry of the approver appointment?**
	Yes. Before the appointment period is expired, a reminder email will be sent to the Authorised Person(s).
	The Authorised Person should review and update the appointment list through the "Appointment of Approvers" function of the ESS. After expiry of the appointment, the related Approvers will no longer be allowed to approve submission of documents for publication purpose. For detailed instructions, please refer to the *"User Manual for Authorised Person, Administrator, DI User and Security Officer"* which can be accessed through the hyperlink at the bottom of the enhanced ESS website.

36.	**I am the administrator of my company. Do I need to rebuild the related stock code list in the enhanced ESS after migration?**
	No. The related stock code list (for active stock only) will be migrated to the enhanced ESS after migration.

Document Submission

37.	What is the difference between "Submit" and "Submit and Approve"?
	After clicking "Submit" button, it means the submitter has completed preparation of a submission and has the submission saved in the enhanced ESS. Note that the submission at this stage still requires approval from the approver in order to submit it for publication on the HKEXnews website.
	After clicking "Submit and Approve" button, it means the submitter has completed preparation of a submission and is waiting for an **immediate** approval from the approver in order to submit it for publication on the HKEXnews website.
38.	Why do we need to have a separate role of submitter and approver under the Publication Related Matters?
	The introduction of different roles enables ESS users (including listed issuers and their authorised agents) to segregate the role of submitter and approver. In addition to access control, segregating these duties provides an additional level of internal controls for ESS users. This is also a basic internal control feature of equivalent submission systems used in leading international markets.
	ESS Authorised Person must decide which of its employees should perform the role of submitter and which should perform the role of approver in line with its own internal control procedure.
39.	Can the same person submit and approve a document for publication?
	No. Two Publication Related Matter Users (i.e. a submitter and an approver) are required.
	Under the enhanced ESS, Publication Related Matter Users are segregated into two roles: submitter and approver. Users with the submitter role can only submit documents whilst users with the approver role can only approve the submission.
40.	Is there any restriction on the format of a file submitted for publication on the HKEXnews website via the enhanced ESS?
	Yes. All documents submitted for publication via the enhanced ESS must meet the following criteria: • Either Adobe PDF or MS Word (.docx) (see note below) • Must be in text-searchable format; • Must NOT contain macros and formulas; • Must NOT in read-only format; and • NO password protected. (Note: Exception may be made where a MS Excel file (.xlsx) is permitted, e.g. trading reports relating to structured products.)

41.	**What is the purpose of the self-defined passcode?**
	The submitter can set a self-defined passcode to ensure the submission information can only be accessible by the users who have possession of the self-defined passcode which provides an additional level of access control. This is an optional field. ESS users should make these passcodes available to those users who need to access to submissions for publication according to its own internal control procedure.
42.	**Do I need to enter the self-defined passcode of the approved submission in order to correct the headline categories of that published document?**
	No. The self-defined passcode will be removed automatically once the submission is approved.
43.	**What is the new file size limit for document submission in the enhanced ESS?**
	Listed issuers can submit a single file up to 40 MB[*] in the enhanced ESS. If exceeding the file size limit, issuers will be required to split the file into separate files and submit the document in a multiple file format. Instructions on how to submit a document in multiple files format can be found in the *"User Manual for Publication Related Matter"* that can be accessed via the hyperlink at the bottom of the enhanced ESS website. The file size limit also applies for submission of Application Proof, PHIP and related documents. *Please note that files should not be submitted in a compressed format (e.g. as a "zip" file).
44.	**In the existing ESS, I need to submit an Excel file as an index of a document in multiple files format. Is it still applicable in the enhanced ESS?**
	No, the index file prepared in Excel will no longer be required in the enhanced ESS. Instead, you need to input the chapter titles for each uploaded files during submission. After completing the required details, an amalgamated index will be made available for your confirmation. Instructions on how to construct the index of multiple files can be found in the "User Manual for Publication Related Matters" via the hyperlink at the bottom of the enhanced ESS website. This enhanced methodology applies to all submissions of multiple files document (including Application Proof and PHIP).
45.	**In the existing ESS, the maximum related stock field can only allow to input 10 stock codes. Will this upper limit be increased in the enhanced ESS?**
	Yes. The maximum related stock field can input up to 30 stock codes in each submission.

Submission of Application Proof, PHIP and related documents

46.	**Is there any change in the submission process for Application Proofs, PHIPs and MB Rule 9.08/ GEM Rule 12.10 Statements (AP/PHIP) in the enhanced ESS?**
	The submission of Application Proof and PHIP documents will be made under the Publication Related Matter platform. Unlike the submission in the existing ESS, the submission of AP/PHIP document requires a submitter and an approver of Publication Related Matter in order to complete the submission for publication.
47.	**What is the timing for publication of the submission of Application Proof, PHIP and related documents (AP/PHIP)?**
	Upon the submission of AP/PHIP has been approved by the approver through the enhanced ESS, it will be automatically published on the AP/PHIP designated webpage on the HKEXnews website or the GEM website, as appropriate.

Submissions by Structured Products Issuers

48.	**What is a submission template? How can I create it?**
	The submission template is a new function to save the processing time for structured products issuers. When submission template is applied, all submission detail fields will be filled according to the template, thus the review step in the submission process will be skipped. Administrator of structured products issuers can create up to 12 submission templates. For detail instruction, please refer to the *"User Manual for Authorised Person, Administrator, DI User and Security Officer"* that can be accessed via the hyperlink at the bottom of the new ESS website.
49.	**Besides submission template, are there any new features in the enhanced ESS which apply to Structured Products Issuers?**
	Apart from the submission template, the following features are tailor-made for structured products issuers:- • **Auto-generation of titles** – Titles will be generated based on particular headlines; • **Pre-fill of contact information** – Contact information will be pre-filled according to the login user profile; • **Pre-set of Headline Tier 1** – "Debt and Structured Products" will be pre-set by default; and • **Batch Approval** – Approver can approve multiple submissions in one go. Please refer to the *"User Manual for Publication Related Matters"* for further information.

Submissions by Agents

50.	I am a professional agent representing listed issuers to submit documents on their behalf. In the past, I need to obtain Security Passwords from the listed issuers for document submission. Under the enhanced ESS, the Security Passwords will be replaced by security tokens. What should we arrange with the listed issuers in advance such that we can submit and approve documents on their behalf?
	The listed issuer in concern should appoint your company through the "Appointment of Agents" function (see question 33) prior to making any submission on the issuer's behalf. You may also check if such appointment has been made by the listed issuer via the "Appointment of Agents" function.

Technical Configurations

51.	**The enhanced ESS has new browser support, what are these new browsers?**
	In addition to Microsoft Internet Explorer, the enhanced ESS also supports the Chrome and Safari. The following Operating Systems and Browsers are recommend for accessing the enhanced ESS:- • For Windows <table><tr><td>Operating System</td><td>Microsoft Windows 7 / 8 / 10</td></tr><tr><td>Browser</td><td>Microsoft Internet Explorer 11* Chrome 55</td></tr></table> Note: * not included Microsoft Edge • For Mac <table><tr><td>Operating System</td><td>Mac OS X 10.12</td></tr><tr><td>Browser</td><td>Safari 12</td></tr></table>
52.	**Is there any requirement on the supported model or operating system version of my mobile device to install the software token application?**
	Yes, you must have the software token application installed on mobile device running on iOS (iOS 6.0 or later) or Android™ (4.0 and up). You can check on the compatibility of the MobilePASS on App Store or Play Store.