

## **Familiarisation Guide (Guide)**

### **Purpose of the User Familiarisation Session**

The purpose of the Session is to provide an opportunity for participants to get hands-on experience of the enhanced ESS functions before its launch of the new functions on the ESS. The major features/functions to be covered in the User Familiarisation Session (Session) include:

- logging onto ESS by simulating the use of a one-time passcode generated from a security token (e.g. refer to sections F1 and F5 below)
- enhanced features under the Submission function (e.g. drag & drop, multi-files selection, auto-filled/generated, refer to sections F2, F4, G(I)2 and G(II)2 below)

### **Notes:**

1. **You are advised to complete the test scripts in this Guide before conducting your own test cases (if any).**
2. Participants should ensure that the files submitted during the familiarisation sessions only contain trial data and do not contain any real-life price-sensitive information. All trial data submitted during the familiarisation sessions will subsequently be purged from the system.
3. A total of six Sessions will be held. You can find your assigned Session (with Company Code and Company Name) in the **Schedule** posted on the [Enhanced ESS Web Corner](#).
4. All ESS users (including listed issuers and authorized agents) may participate on a **voluntary** basis in the Session. No registration is required.
5. Participating listed issuers and authorised agents should nominate two representatives (a submitter & an approver) to participate in their assigned Sessions.
6. Change of the Session is not recommended in view of the large number of participants involved in each Session.
7. The Session is set up for testing purpose only. Certain features/links of the enhanced ESS will not be available in the testing environment, e.g. Registration, Forgot User Password. Participants may experience slow responses during the testing.
8. Testing documents prepared for submission will not be published on the HKEXnews website during the Session. The submission is deemed to be completed successfully when you see an Acknowledgement page upon approval.

## 9. Support browsers to access the testing site:

## (a) For Windows

Operating System	Microsoft Windows 7 / 8 / 10
Browser	Microsoft Internet Explorer 11* Chrome 55

\* Not included Microsoft Edge

## (b) For Mac

Operating System	Mac OS X 10.12
Browser	Safari 12

**A. Testing Site**

The website for ESS (<https://www1.esubmission.hkex.com.hk>) will be opened during the User Familiarisation Sessions. It can only be accessible by the assigned testing accounts (refer to section C below) during the designated Session. **The familiarisation exercise will be conducted online; therefore participants can take part in the exercise through any computers with an Internet connection at their office, residence or other places.**

**B. Testing Company Code**

A testing Company Code will be assigned which is same as your registered ESS Company Code.

**C. Testing User ID, User Password and One-time Passcode**

Two testing User IDs (a submitter & an approver) will be assigned to each company. User Password and One-Time Passcode are pre-defined for all testing users. Please note that the User Password is **case-sensitive**.

The testing User IDs follows the naming convention as set out below:-

#	User Type	Testing User ID		User Password	One-time Passcode
1	Publication Related Matter User - Submitter	Last 5 digits of your ESS Company Code	T01	Ess12345	888888
2	Publication Related	Last 5 digits of your ESS	T02		

	Matter User - Approver	Company Code			
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For example, if your company code is LM08888, your assigned testing User IDs will be 08888T01 (submitter) and 08888T02 (approver).

#### D. Testing Files

Two testing files (e-Announcement.pdf and c-Announcement.pdf) are available for download at [Enhanced ESS Web Corner](#) or via “Download Document Template” function after logging into the Testing Site during the Session (refer to sections F4, G(I)3 and G(II)4).

#### E. Company Code of Represented Issuer (applicable for Agents only)

For Agent to submit on behalf of a Listed Issuer, the “Company Code of Represented Issuer” will be LM00388.

#### F. Recommended Test Scripts for Submission (applicable for Equity issuers/ Debt issuers/ ETP issuers/ Agents)

The recommended scripts for submission of a single document are set out below for reference only. Participants may use different headline tiers and titles for submission.

##### 1. Login to the Testing Site

- a) Go to the website (<https://www1.esubmission.hkex.com.hk>)
- b) Login as Publication Related Matter User – submitter. Enter your User ID (refer to section C above)
- c) Enter User Password (i.e. **Ess12345**)
- d) Enter One-time Passcode (i.e. **888888**)
- e) Click “Login”

##### 2. Fill in Submission Details

- a) Select “Submission for Publication” in the Red Main Menu on the top of the page.
- b) *For Agent only - Enter the Company Code of Represented Issuer (i.e. **LM00388**)*
- c) Enter the contact person and contact number
- d) Select Headline Tier 1 (i.e. **Announcement & Notices**)

- e) Select two Headline Tiers 2 (i.e. **Notice of AGM** and **Closure of Books or Change of Book Closure Period**)
- f) Enter English Title (i.e. **NOTICE OF AGM**) and Chinese Title (i.e.股東周年大會通告)
- g) Click “Next”

### 3. Submission Preview

- a) Review the Headline Categories and Titles
- b) Click “Confirm”

### 4. Uploading Files

- a) Click “Choose Files” to upload the Testing Files (refer to section D above)
- b) Click “Submit & Approve”

### 5. Approving Submission

- a) Review the submission details.
- b) Enter the Approver’s User ID (refer to section C above)
- c) Input Approver’s User Password (i.e. **Ess12345**)
- d) Input One-time Passcode (i.e. **888888**)
- e) Click “Approve”

### 6. Acknowledgement

An acknowledgement page with a submission number will be displayed.

## G. Recommended Test Scripts for Submission (applicable for Structured Product issuers)

Two test cases for submission are set out below for reference only. Participants may use different headline tiers and titles for submission. You may also add the related stock codes (e.g. **20001** for Derivative Warrant and **60001** for CBBC) in your submission.

### (I.) File submission with submission template

There are three submission templates (i.e. “Submit Derivative Warrant LA/SLD”, “Submit CBBC MCE or Residual Value Announcement” and “Submit Derivative Warrant Daily

Trading Report”) for selection<sup>1</sup>. Please note the step for “Submission Preview” will be skipped if submission template is used.

### **1. Login to the Testing Site**

- a) Go to the website (<https://www1.esubmission.hkex.com.hk>)
- b) Login as Publication Related Matter User – submitter. Enter your User ID (refer to section C above)
- c) Enter User Password (i.e. **Ess12345**)
- d) Enter One-time Passcode (i.e. **888888**)
- e) Click “Login”

### **2. Fill in Submission Details**

- a) Select “Submission for Publication” in the Red Main Menu on the top of the page
- b) Select a submission template
- c) Click “Next”

### **3. Uploading Files**

- a) Click “Choose Files” to upload the Testing Files (refer to section D above)
- b) Click “Submit & Approve”

### **4. Approving Submission**

- a) Review the submission details
- b) Enter the Approver’s User ID (refer to section C above)
- c) Input Approver’s User Password (i.e. **Ess12345**)
- d) Input One-time Passcode (i.e. **888888**)
- e) Click “Approve”

### **5. Acknowledgement**

An acknowledgement page with a submission number will be displayed.

## **(II.) Auto-generation of titles for frequently used submission headline tiers**

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<sup>1</sup> The submission templates are prepared for testing only during the User Familiarisation Session.

## 1. Login to the Testing Site

- a) Go to the website (<https://www1.esubmission.hkex.com.hk>)
- b) Login as Publication Related Matter User – submitter. Enter User ID (refer to section C above)
- c) Enter User Password (i.e. **Ess12345**)
- d) Enter One-time Passcode (i.e. **888888**)
- e) Click “Login”

## 2. Fill in Submission Details

- a) Select “Submission for Publication” in the Red Main Menu on the top of the page.
- b) Check the pre-filled information (i.e. contact person and contact number)
- c) Enter Related Stock Code (i.e. **20001**)
- d) Select two Headline Tiers 2 (i.e. **Launch Announcement – DW** and **Supplemental Listing Document - DW**) (refer to the Appendix for headlines that equipped with auto-generation of title feature)
- e) Review and update the auto-generated English and Chinese Titles<sup>2</sup>
- f) Click “Next”

## 3. Submission Preview

- a) Review the Headline Categories and Titles
- b) Click “Confirm”

## 4. Uploading Files

- a) Click “Choose Files” to upload the Testing Files (refer to section D above)
- b) Click “Submit & Approve”

## 5. Approving Submission

- a) Review the submission details.
- b) Enter the Approver’s User ID (refer to section C above)
- c) Input Approver’s User Password (i.e. **Ess12345**)
- d) Input One-time Passcode (i.e. **888888**)
- e) Click “Approve”

## 6. Acknowledgement

An acknowledgement page with a submission number will be displayed.

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<sup>2</sup> English and Chinese Titles are auto-generated according to the pre-defined format (refer to the Appendix) if specific headline tiers are selected.

## Appendix

#	Headlines	Auto-generated Titles
1	<p><b>Tier 1:</b> Debt and Structured Product</p> <p><b>Tier 2:</b> Launch Announcement – DW &amp; Supplemental Listing Document - DW</p>	<p><b>English Title:</b> Launch Announcement and Supplemental Listing Document for Non-Collateralised Derivative Warrants in relation to stock code <b>Stock Code</b> issued by <b>Issuer Name</b></p> <p><b>Chinese Title:</b> <b>Issuer Name</b> 發行的無抵押認股權證代號 <b>Stock Code</b> 之推出公佈及補充上市文件</p>
2	<p><b>Tier 1:</b> Debt and Structured Product</p> <p><b>Tier 2:</b> Launch Announcement – CBBC &amp; Supplemental Listing Document - CBBC</p>	<p><b>English Title:</b> Launch Announcement and Supplemental Listing Document for CBBCs in relation to stock code <b>Stock Code</b> issued by <b>Issuer Name</b></p> <p><b>Chinese Title:</b> <b>Issuer Name</b> 發行的可贖回牛熊證代號 <b>Stock Code</b> 之推出公佈及補充上市文件</p>
3	<p><b>Tier 1:</b> Debt and Structured Product</p> <p><b>Tier 2:</b> Expiry Announcement – CBBC</p>	<p><b>English Title:</b> Notice of Occurrence of Mandatory Call Event &amp; Early Expiry in relation to stock code <b>Stock Code</b> issued by <b>Issuer Name</b> / Notice of Valuation of Mandatory Call Payoff in relation to stock code <b>Stock Code</b> issued by <b>Issuer Name</b></p> <p><b>Chinese Title:</b> <b>Issuer Name</b> 發行的可贖回牛熊證代號 <b>Stock Code</b> 之強制贖回事件及提早到期通告 / <b>Issuer Name</b> 發行的可贖回牛熊證代號 <b>Stock Code</b> 的剩餘價值之估值通告</p>

Note: **Stock Code** and **Issuer Name** will be retrieved from the Related Stock Code of the submission and login user profile respectively.