


Frequently Asked Questions for User Migration

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| 1. | <p>Is it mandatory for all ESS users to migrate to the enhanced ESS? If so, when will my company migrate to the enhanced ESS?</p> |
| | <p>Yes. All registered ESS users (including listed issuers and their authorised agents) should be migrated to the enhanced ESS.</p> <p>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 and the effective date of the enhanced ESS for each batch of ESS users.</p> |
| 2. | <p>What are the actions required from ESS users before the migration?</p> |
| | <p>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.</p> <p>In addition, the ESS Authorised Person will be required to perform the following tasks in the <u>enhanced ESS</u> before migration:-</p> <ul style="list-style-type: none"> • 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. <p>For further instructions, please refer to the “Step-by-Step Guide for User Migration” posted on the Enhanced ESS Web Corner.</p> |
| 3. | <p>Will there be sufficient time for ESS users to complete the actions required for the migration?</p> |
| | <p>Yes, ESS users will be given around three weeks to complete the required actions before migrating to the enhanced ESS.</p> |

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| 4. | 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. |
| 5. | I am a listed issuer. Can I continue to use the old ESS user account 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. |
| 6. | 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? |
| | <p>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 (see question 1), you should:-</p> <ul style="list-style-type: none"> • 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 <p>For the avoidance of doubt, user passwords for logging into the existing ESS and the enhanced ESS are independent.</p> |
| 7. | Will all submissions that I have made in the current ESS be migrated to the enhanced ESS? |
| | <p>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.</p> <p>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.</p> |
| 8. | 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. |

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| 9. | <p>How should I treat the old ESS User ID, User Password and the Security Passwords?</p> |
| | <p>All listed issuers should keep the old ESS User ID, User Password and the Security Passwords until the end of the migration period (see question 1). Thereafter, you should destroy them in a secure manner in accordance with your own internal security procedures.</p> |
| 10. | <p>What is a security token? Why do we need a security token?</p> |
| | <p>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.</p> |
| 11. | <p>Why should we use a software token (instead of a hardware token)?</p> |
| | <p>Software tokens have many benefits over hardware tokens. These include:-</p> <ul style="list-style-type: none"> • 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. <p>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.</p> |
| 12. | <p>Can an ESS user (including listed issuers and their authorised agents) request the use of hardware tokens?</p> |
| | <p>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.</p> |

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| 13. | How do I download and activate/set up the software token on my smartphone? |
| | <p>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.</p> <p>You can click the hyperlink "Help" on the User Activation Page of ESS website or refer to the instructions on how to set up the software token in the "Step-by-Step Guide for User Migration" posted on the Enhanced ESS Web Corner.</p> <p>For security reasons and to protect your interest, please ensure NOT to use a jailbroken or rooted device to download and set up the MobilePASS.</p> |
| 14. | If I cannot access the google Play Store, is there any alternate means to download the software application (MobilePASS) on my mobile device? |
| | <p>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 .</p> <p>To download the APK file</p> <ul style="list-style-type: none"> • 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;  <ul style="list-style-type: none"> • 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. <p>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.</p> |
| 15. | Should I remove the MobilePASS application from my mobile device if I have completed the user account activation? |
| | <p>No. You need the MobilePASS application to generate a one-time passcode to get access to the enhanced ESS. If you have accidentally removed the MobilePASS from your mobile device, you would need to contact ESS hotline (+852 2840 3460) to re-assign the security token and then repeat the user account activation again.</p> |