Step-by-Step Guide for User Migration (Guide)

This Guide provides the detailed steps in preparing for the major migration tasks as set out below. ESS users are required to complete these tasks before migrating ESS user accounts to the enhanced e-Submission System (ESS):

1. Input mobile number and provide an up-to-date email address;
2. User accounts activation;
3. Review submission role of Publication Related Matter users;
4. Appointment of agents (if applicable); and
5. Readiness Confirmation.

Under the current ESS (https://www.esubmission.hkex.com.hk)

1. **Input your mobile number and provide an up-to-date email address**

Before user migration, all ESS users have to input their mobile numbers and provide their up-to-date email addresses in the current ESS user profiles. This is **mandatory** in order to receive a one-time password via the registered mobile phone numbers and/or email addresses for the activation of user accounts under the enhanced ESS (refer to User Activation via Software Token (MobilePASS) – step 11 of section 2 below).

Authorised Person should ensure **all your ESS users** have updated their mobile numbers and email addresses before migration. To view your entire user profile list in the current ESS, login by Security Officer and click "User Profile List" on the Company Profile page.

View entire user profile

Update the Mobile Number and the Email Address

1. Login to the current ESS with your User ID and User Password. (**Mobile number can only be updated by the account owner**).

2. Select Profile Admin in the Main Menu. The Company Details page is displayed.

3. Click My Profile button in the Company Details page. The User Details page is displayed.

4. Update your mobile number in "Mobile No.". If your number is not a Hong Kong mobile number, please input the Country Code in the first input box and Area Code (if any) together with the mobile number in the second input box. Please note that no leading zero ("0"), hyphen ("-") or space is required in the Mobile No.

5. Review the user particulars in your user profile and update where necessary (including an up-to-date email address).

6. Click Save.

Under the enhanced ESS (https://www1.esubmission.hkex.com.hk)

2. **User Account Activation**

Authorised Person has to review and define the submission role of its Publication Related Matter users (refer to section 3 below) **BEFORE** his/her Publication Related Matter users activate their user accounts. All ESS users should complete the activation before the specified date set out in the User Migration Schedule.

⚠ Download the mobile app SafeNet MobilePASS on your mobile device from App Store or Google Play™ before your first-time login.

<u>User Activation via Software Token (MobilePASS)</u>

1. Go to the enhanced ESS login page (https://www1.esubmission.hkex.com.hk), input your User ID. **User Activation** page will be displayed.

2. Fill in your Registered Email Address.

3. Setup your password, type in a new password and re-enter the new password.   User password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9).

4. Click REQUEST. The Token Policy String will be displayed on **User Activation** page.

5. Launch your MobilePASS in your mobile device.

6. Create a software token on your MobilePASS.

Google Play™	**App Store**
Click MobilePASS on the top right corner and choose "Create Token" from menu bar.	Click "**+**" on the right menu bar.

7. On your MobilePASS, input your New Token Name and tap "Activate".

8. On your MobilePASS, tap "Manual Enrollment". ("Auto Enrollment" is not applicable to ESS)
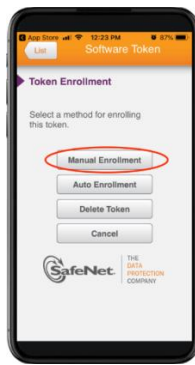
9. Input the Token Policy String (generated in step 4) to the MobilePASS and tap "Continue".
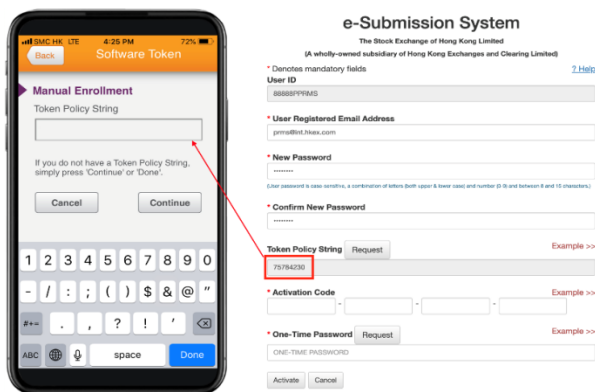
10. An Activation Code will be displayed on MobilePASS screen. Enter the Activation Code on **User Activation** page. DO NOT tap "Continue" on MobilePASS screen until you have activated your account successfully (see step 14 below).
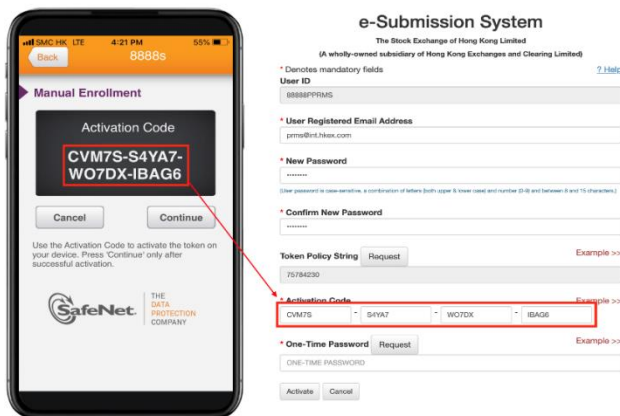
11. Click REQUEST on **User Activation** page. A One-Time Password will be sent to your registered mobile phone number via **SMS** and to your registered email address via **email**. Input One-Time Password.

HKEX e-Submission System - User Activation
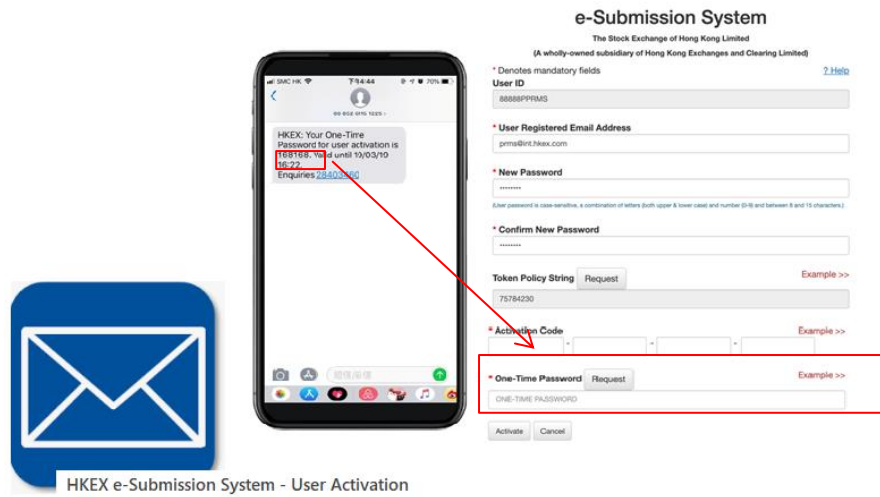
12. Click ACTIVATE.
13. If your user account has been activated successfully, the acknowledgement page will be displayed. You will be redirected to **User Main** page after 5 seconds.
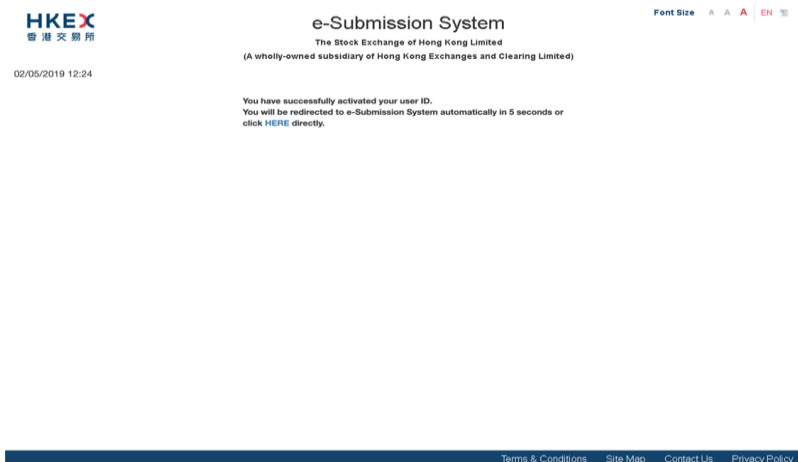
14. Tap "Continue" on MobilePASS screen to generate One-Time Passcode.

15. Login to ESS by inputting your User ID, User Password and One-Time Passcode generated from your MobilePASS.

16. Your ESS account activation has been completed

Note:
- One-Time Passcode generated from MobilePASS will be used for login to ESS, please **DO NOT** delete your activated token in the MobilePASS or remove the MobilePASS application from your device.
- Following the steps above, you can set up multiple tokens (up to 10 user accounts) within a single MobilePASS application if you have different roles in the ESS.

3. **Review the submission role of Publication Related Matter users**

Authorised Person (including listed issuers and agents) has to review and set the submission role of its Publication Related Matter users (i.e. to define submitter/approver roles) before the specified date set out in the User Migration Schedule. The one off selection of user rights to submit or approve would apply to all future submissions under the enhanced ESS. **Publication Related Matters can only activate their ESS accounts after their roles have been defined by their Authorised Person via the Role Setting function as set out below.**

Role Setting:

1. Login by Authorised Person.

2. Select Profile Admin from Admin under Main Menu. On Company Profile page, click User List.

3. The Publication Related Matter User – Role Settings page will be displayed. Click the radio button to define the submission role. Each company should have **at least one Submitter and one Approver**.

4. After you have set the role of each user, click Save. You may re-define the submission role by clicking Role Settings before that user account has been activated.

5. The Role Setting has been completed.

4. Appointment of Agents (for listed issuers only) if applicable

Authorised Person of a listed issuer can create a record to allow the designated agent(s) submit and/or approve documents on your behalf after your company is migrated to the enhanced ESS. You may follow the steps listed below to appoint an agent.

Appointment of Agents:

1. Login by Authorised Person.
2. Select Appointment of Agents from Admin on the Main Menu. At the Appointment of Agents page, click Create.

3. Enter Company Code to search for the agent. The Company Name of the agent will be displayed. Alternatively, enter the Company Name to search for the agent. Company Name of the matched agents will be listed for selection.

4. Authorised Person can limit the appointment according to:-
   - "No. of Submissions Only" to pre-set the maximum number of submissions; or
   - "Time Range Only" to pre-set time range; or
   - "Time Range and No. of Submissions" to pre-set both time range and the maximum number of submissions.

5.   Authorised Person assigns the role of the agent by selecting:-
     -   "Approval Only" to allow an agent to approve submissions on your behalf; or
     -   "Submission Only" to allow an agent to make submissions on your behalf; or
     -   "Submission & Approval" to allow an agent to make and approve submissions on your behalf.

6.   Click Confirm. If the appointment has been created successfully, an acknowledgement message will be displayed.

7.   Your appointed agent has been set. The Authorised Person of your authoised agent can view this appointment record via the same user function.
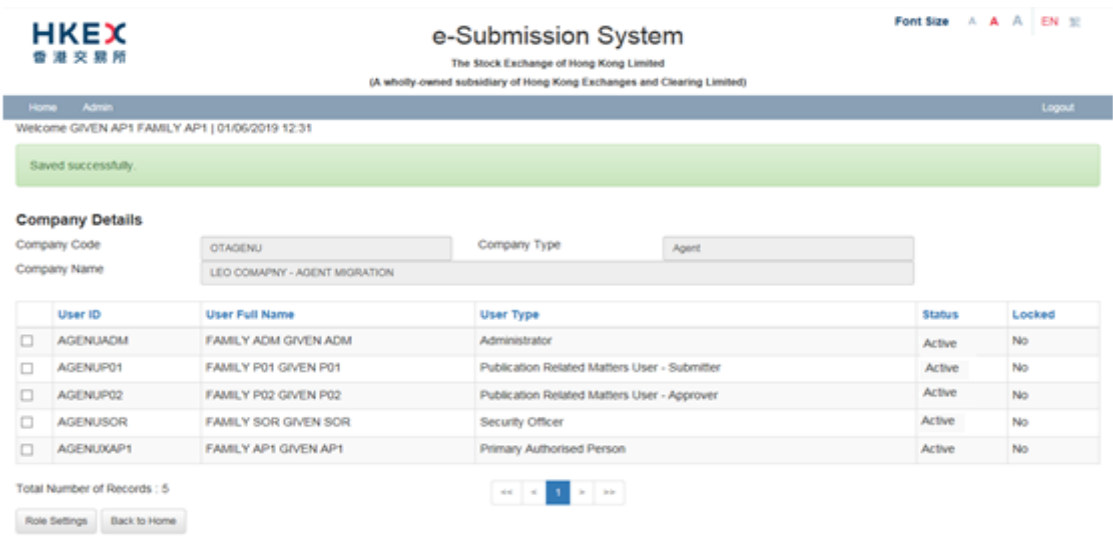
5. Readiness Confirmation

Authorised Person should have completed the following items in the migration checklist and return the confirmation of readiness before the specified date set out in the User Migration Schedule.

To download the Readiness Confirmation Form, please click HERE.

Migration Checklist:

✓	**Completed ALL ESS users' account activation (refer to section 2 above)** By selecting Profile Admin from Admin under Main Menu, you can view all users' status.
✓	**Reviewed the submission role of Publication Related Matter users (refer to section 3 above)**
✓	**Completed appointment of agents, if applicable (refer to section 4 above)**
✓	**Completed and returned the Readiness Confirmation Form**