

e-Submission System

User Manual

For

Authorised Person, Administrator, Security Officer and DI Users

November 2019

Table of Contents

1	INTRODUCTION	4
1.1 1.2 1.3 1.4	User Identification User Types Site Conventions Document Conventions	5 6
2	LOGIN TO E-SUBMISSION SYSTEM	9
2.1 2.2 2.3	First-time login to e-Submission System 2.1.1 User Activation via Software Token (MobilePASS) Logging into the ESS Login with SMS Password	9 15 17
2.4 2.5	Forgot User ID Forgot User Password	
3	COMMON ADMIN FUNCTIONS	23
3.1 3.2 3.3	View Your Company's Profile View and Update Your Own User Profile Change Your Own User Password	24
4	FOR AUTHORISED PERSON	26
4.1 4.2	User Menu for Authorised Person Profile Admin	27
	 4.2.1 Create a User 4.2.2 Delete a User 4.2.3 Approve User Creation by Security Officer 	29
4.3 4.4	Change of Administrator or Security Officer Appointment of Agents	33
	 4.4.1 Appoint an Agent 4.4.2 Edit an Appointment 4.4.3 Delete an Appointment 	39
4.5	 Appointment of Approvers	41 41 44 46
4.6	4.5.4 Delete an Appointment Approve to Revoke a Security Token	
5	FOR ADMINISTRATOR	
5 .1	User Menu for Administrator.	
5.2	Profile Admin	50 50
5.3	 5.2.2 View Oser Frome List Change of Authorised Person 5.3.1 Change of Authorised Person or Add a Secondary Authorised Person 5.3.2 Remove Secondary Authorised Person 	53 53
5.4	Maintain Related Stock Code 5.4.1 Add a Related Stock Code 5.4.2 Remove a Related Stock Code	58 59
5.5	Document Submission 5.5.1 View Listing Related Matter Submission Log	61 61
5.6	Submission Template Management (applicable to Structured Products issuers only) 5.6.1 Edit Issuer Name	63 64
	 5.6.2 Create a Submission Template 5.6.3 Edit a Submission Template 5.6.4 Delete a Submission Template 	66

6	FOR SECURITY OFFICER	68				
6.1 6.2	User Menu for Security Officer Profile Admin	69				
	6.2.1 Request User Creation	69				
	6.2.2 Amend Users' Profile	72				
	6.2.3 Unlock a User	-				
	6.2.4 Disable / Enable a User Login	74				
6.3	Token Management					
	6.3.1 Change/Loss of Mobile Device	75				
7	FOR DI USER	78				
7.1	User Menu for DI User	78				
8	EXIT THE SYSTEM	79				

1 Introduction

1.1 User Identification

Your company is required to register for access to the system. If your registration is successful, HKEX will create your Company Profile on the system. HKEX will also create user accounts for your company's Authorised Person, Administrator, Security Officer, Disclosure of Interests ("DI") user and up to 8 Publication Related Matter and up to 8 Listing Related Matter users. After registration, Security Officer and/or Authorised Person can create additional user accounts for new users of the company, if required.

The URL of the e-Submission System (ESS) is <u>https://www1.eSubmission.hkex.com.hk</u>. A user account includes a User ID, a User Password and a One-Time Passcode generated from security token that are required to login to the system.

A login user should be defined as an Authorised Person, Administrator, Security Officer, DI user in order to use the functions as set out in the respective sections in this manual.

For Publication Related Matter users, please refer to User Manual for Publication Related Matters for further details.

For Listing Related Matter users, please refer to User Manual for Listing Related Matters for further details.

1.2 User Types

The following table lists the user role of Authorised Person, Administrator, Security Officer and DI user in ESS.

User Type	Role
Authorised	An Authorised Person is a person at a company who is the HKEX's
Person (Primary	primary contact for subsequent administrative matters.
Authorised Person and/or Secondary Authorised Person)	 Authorised Person can: maintain user profile list, including create/delete user accounts, approve user creation by Security Officer and change of Administrator/Security Officer; approve to revoke of user's security token; appointment of agents; and appointment of approvers.
Administrator	An Administrator is the person at a company who maintains the company's details on the ESS.
	 Administrator can: update the company's profile; maintain the company's "Related Stock Code List" (applicable for Main/GEM board and Exchange Traded Products issuers); submit the request to HKEX for change of Authorised Person; maintain submission template (applicable for Structured Product issuers); view the submission log of Listing Related Matter; and view the submission log of Publication Related Matter.
Security Officer	The Security Officer is the person who controls the access rights and manages the assigned token of the other users of his/her company.
	 Security Officer can: unlock all user accounts (except own account); update the user profile of Publication Related Matter users, Listing Related Matter users and DI users; disable login the Publication Related Matter users and Listing Related Matter users (i.e. due to resignation); submit request to Authorised Person to create user account; submit request to Authorised Person to revoke user's security token; and assign a security token to a user.
DI user (only applicable to Listed Issuers)	DI User is a person at a company who has been delegated the right to receive an email notification and access (i.e. viewing or downloading) the complete set of DI notices and related documents when a DI notice concerning his/her company is received through the DION System.

1.3 Site Conventions

Before Login

日本にある	Header	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size A A A EN 1%
22/05/2019 12:03		System Messa	ge
		User ID	
		User Password	
		One-Time Passcode (OTP)	
		Login Login with SMS Password	9
		Forgot User ID	
		Forgot User Password Registration	
	Left Panel	Footer Links	
		Terms & Conditions	Site Map Contact Us Privacy Policy

After Login

日KEX 香港交易所	e-Submission The Stock Exchange of Hony (A wholly-owned subsidiary of Hong Kong E	Kong Limited	Font Size A A	A EN 🕱
Home Admin		Main	Menu	Logout
Welcome Tai Man Chan 22/05/2019 12:06			ſ	
		Syst	em Message	
		Cor	itent Frame	
Quick Ref (Listing) Quick Ref (Publication) Contact Us Privacy Policy	User Manual (Listing) User Manual (Publication)	User Manual (Admin / Security Officer / DI user)	Terms & Conditions	Site Map

Header

- HKEX Clickable link to Home Page of the HKEX website.
- Font Size A A A Font size selection icon (i.e. Small/Normal/Large) to select the displayed font size of the Left Panel and the Content Frame of the ESS website. The font size of the button will remain intact even if the font size is changed. Normal font size is selected by default.
- EN S Language selection icon (i.e. English and Traditional Chinese) to select the displayed language.

Left Panel

• Display the system date/time and general information.

Content Frame

Before login,

• Display the login page content and links to Login with SMS Password, Forgot User ID, Forgot User Password and Registration.

After login, the Content Frame will extend to the Left Panel for display the Function page content.

• Display the Login User Name and the system date/ time at the top left.



System Message Area

- Error message is displayed on red message area.
- Information message is displayed on green message area.

Main Menu

• A drop-down menu will be displayed when placing the cursor over the menu item.

Footer Links

• Link to general information for user's reference.

1.4 Document Conventions

	-		Menu Item	Logo
Company Profile Page	7			
Company Details				
Company Code LM888888		Company Type	Main Board Issuer	
Company Name (English) XYZ Group L	td.			
Company Name (Chinese)			Field	
Company Website			Field	
Address (English) Central, Hon	g Kong	Address (Chinese)	Chinese Address line 1	
English Addr	ess line 2		Chinese Address line 2	
English Addr	ess line 3		Chinese Address line 3	
English Addr	ess line 4		Chinese Address line 4	
Fax No. Fax No.				

The following conventions will be used in this manual:

Menu Item

• In bold, e.g. Admin

Page

• In bold, italic, e.g. Company Profile

Field

• In italic, e.g. Company Webite

Action Button

• In capital letters, e.g. MY PROFILE

2 Login to e-Submission System

You must login the ESS for profile maintenance. Open the web browser and enter the web address: <u>https://www1.esubmission.hkex.com.hk</u>. The **ESS Main** page (i.e. the login page) will be displayed.

管 港 交 弱 所 21/05/2019 13:05	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Lin User ID User Password One-Time Passcode (OTP) Enter the Passcode (OTP) Login Login with SMS Password Forgot User ID Forgot User ID Forgot User ID Forgot User ID Registration	nited)	Fo	nt Size A A	A EN 10
	Te	rms & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.1 ESS Main Page

2.1 First-time login to e-Submission System

You need to setup your security token on your first-time login to the ESS. Download the software token application "SafeNet MobilePASS" on your mobile device from App Store or Google Play[™] before your first-time login.

2.1.1 User Activation via Software Token (MobilePASS)

1. At the login page, input your User ID. User Activation page will be displayed.

HKEX	e-Submission System		Font Size A	A EN 1
香港交易所	The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)			
22/05/2019 12:41	* Denotes mandatory fields 2 Help User ID			
	00000KPAP5			
	* User Registered Email Address			
	User Registered Email Advess			
	* New Password			
	face Paymentd			
	down presented in one-control or a controllow of when plant again it have control out and earlier (5.4) and 15 (Neuroscience)			
	* Confirm New Password			
	Conten New Password			
	Token Policy String Request Example >>			
	* Activation Code Example >>			
	* One-Time Password Request Example >>			
	ONE TIME PRESSIVCRD			
	Achuste Cancel			
	Terms & C	Conditions Site Ma	p Contact Us	Privacy Pol

Figure 2.2 User Activation page

- 2. Fill in your Registered Email Address.
- 3. To setup your password, type in a new password in *New Password* and re-enter the new password in *Confirm New Password*.

NOTE:

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 (see step 9 below).
- 5. Launch your MobilePASS in your mobile device.
- 6. Create a software token on your MobilePASS.

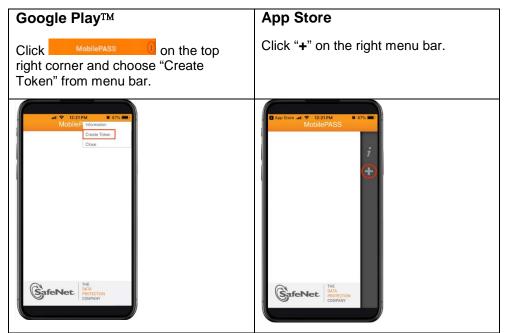


Figure 2.3 MobilePASS Application Menu

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



Figure 2.4 MobilePASS – Create New Token

8. On your MobilePASS, tap "Manual Enrollment". ("Auto Enrollment" is not applicable to ESS)



Figure 2.5 MobilePASS - Token Enrollment

9. Input the *Token Policy String* (generated in step 4) to the MobilePASS and tap "Continue".

Back Software Token								e-Submission System The Stock Exchange of Hong Kong Limited	
	Back				ire i			(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limi * Denotes mandatory fields User ID	(ed) <u>? Hel</u> t
	Man	ual E	nrol	Iment				88888PPRMS	
	Toke	n Polic	cy Str	ring			_	* User Registered Email Address	
	simpl			a Toke tinue' or	r 'Doni			New Password Scale Sentire, a contractor of latters (both space & lower case) and number () (i) and between & Confirm New Password	and 15 characters.)
1	2	3	4	56	7	8	9 (Token Policy String Request	Example >:
-	1	:	;	()	\$	&	@	* Activation Code	Example >:
#+	-	·	,	?	!	. ·	0	* One-Time Password Request	Example >>

Figure 2.6 MobilePASS - Token Policy String

 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).

	e-Submission System
ILL SMC HK LTE 4:21 PM 55%	The Stock Exchange of Hong Kong Limited
Back 8888s	(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)
	* Denotes mandatory fields 2 Help User ID
Manual Enrollment	88888PPRMS
Activation Code	* User Registered Email Address
	prms@int.hkex.com
CVM7S-S4YA7-	* New Password
WO7DX-IBAG6	
	(User password is case-sensitive, a combination of letters (both upper & lower case) and number (0-8) and between 8 and 15 characters.)
Cancel	* Confirm New Password
Cancer	
Use the Activation Code to activate the token on your device. Press 'Continue' only after successful activation	Token Policy String Request Example >>
	75784230
THE	* Activation Code Example >>
GafeNet. DATA PROTECTION COMPANY	CVM7S S4YA7 WO7DX IBAG6
	* One-Time Password Request Example >>
	ONE-TIME PASSWORD
	Activate Cancel

Figure 2.7 MobilePASS – Activation Code

11. Click REQUEST on *User Activation* page. A One-Time Password will send to your registered mobile phone number via SMS and to your registered email address via email. Input *One-Time Password*.

	e-Submission Sys	stem
	The Stock Exchange of Hong Kong Lin	
	(A wholly-owned subsidiary of Hong Kong Exchanges	and Clearing Limited)
иl SMC HK Ф ТЧ444 0 4 0 70% 🖬)	* Denotes mandatory fields User ID	2.Help
47 K0 K1	BBBBBPPRMS	
HKEX: Your One-Time	* User Registered Email Address	
Password for user activation is 168168. Valid until 19/03/19	prms@int.hkex.com	
Enquiries 2403460	* New Password	
	Alter passeord is case-sensitive, a combination of letters both upper A lower case) and nurr	ber (D-R) and between 8 and 15 characters.)
	3151000	
	Token Policy String Request	Example >>
	75784230	
	Activation Code	Example >>
🙆 🙆 (1917/81) 🙆 🔞	* One-Time Password Request	Example >>
• 🕓 🖸 🙆 🦖 🕫 🐟	ONE-TIME PASSWORD	
	Activate Cancel	

Figure 2.8 One-Time Password sent via SMS to registered mobile phone number

12. Click ACTIVATE.

 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.

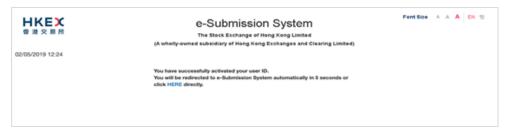


Figure 2.9 Successful activation screen

14. Tap "Continue" on MobilePASS screen to generate the One-Time Passcode.



Figure 2.10 MobilePASS – Generate the One-Time Passcode

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

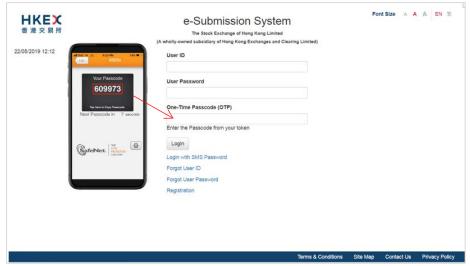


Figure 2.11 One-Time Passcode generated from MobilePASS

NOTE:

- 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.
- If your assigned token has been revoked previously (e.g. change of mobile device), your Security Officer has to assign a new token to you. You have to repeat the steps above to re-activate your user account.
- If you have tapped "Continue" on MobilePASS screen accidentally such that you could not enter the Token Policy String in step 9 or Activation Code in step 10 above, you need to remove the token from your MobilePASS application and restart the user activation from step 1 again. You can follow the steps below to remove a token.
 - Tap 🔤 on the token screen;
 - Then, tap "Delete Token" ("Deactivate Token" is not applicable to ESS);
 - Tap "Delete" to confirm, your token will be removed from your MobilePASS. A deleted token cannot be used again.



Figure 2.12 MobilePASS – Delete a token

- If you need to change the token name of your assigned token, you can follow the steps below.
 - Tap 🤷 on the token screen;
 - Then, tap "Change Token Name";
 - Enter a new token name and tap "Continue".
 - Your token will be displayed with the new token name.

1 Vite Passod 60973 Vite Passod Frei Fascod in Facolo Certerter	2	3
--	---	---

Figure 2.13 MobilePASS – Change Token Name

2.2 Logging into the ESS

1. On ESS *Main* page, enter your *User ID*, *Password* and *One-Time Passcode* (OTP) generated from the assigned security token and then click LOGIN.

日本にある。 香港交易所 2205/2019 12:23	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited) User ID			A A EN 1%
You	User Password U9973 One-Time Passcode (OTP)			
	Scode In 7 seconds Scode In 7 seconds Enter the Passcode from your token Login			
	Forgat User ID Forgat User Password Registration			
	Terms & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.14 ESS Main Page

NOTE:

- User Password is case sensitive.
- If an incorrect User Password and/or OTP generated from the security token was entered 5 consecutive times, your user account will be locked until it is unlocked by your company's security officer. A locked account cannot be used.
- If the date when you last changed your password is more than 90 days ago, the system will require you to change your user password immediately. You will not be able to use any function on the ESS until your password is changed (refer to Section 3.3 "Change Your Own User Password").
- If you leave the ESS idle for 30 minutes, you will be logged out automatically for security reason.
- Multiple logins are not allowed.
- If you have forgotten your User ID, you can click *Forgot User ID* to retrieve your login ID (refer to Section 2.4 "Forgot User ID").
- If you have forgotten your User Password, you can click *Forgot User Password* to reset your password (refer to Section 2.5 "Forgot User Password").
- If you cannot retrieve One-Time Passcode (OTP) from your assigned security token, you can click *Login with SMS Password* which serves as a **back-up channel** for you to access the ESS (refer to Section 2.3 "Login with SMS Password").

2. A **Disclaimer** page will be displayed. Read the disclaimer statement carefully. Then click ACCEPT AND CONTINUE to accept the terms and conditions to proceed or click EXIT to go back to **Main** page.

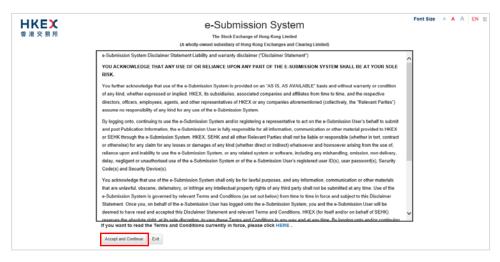


Figure 2.15 Disclaimer Statement

3. **User Home** will be displayed.

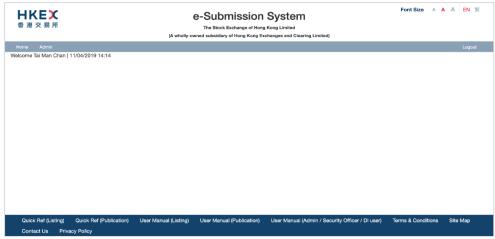


Figure 2.16 User Home Page – Authorised Person / Security Officer / DI User

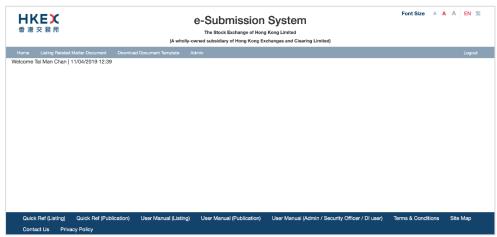


Figure 2.17 User Home Page - Administrator

2.3 Login with SMS Password

Login with SMS Password is a **back-up channel** for users to access the ESS when user cannot retrieve OTP from the assigned security token. User can click *Login With SMS Password* at the *Main* page to request a One-Time Password by providing User ID and Password. The One-Time Password will be sent through SMS to user's registered mobile number.

To login the ESS with SMS Password,

1. Click Login with SMS Password at the Main page.

	User ID User Password One-Time Passcode (OTP) Enter the Passcode from your token Login Login with SMS Password Forgot User ID Forgot User ID Forgot User Password Registration				
★ ○ 港 交 易 所 21/05/2019 13:05		ited)	Fo	ntSize A A	A EN 第

Figure 2.18 ESS Main Page

2. The *Login with SMS Password* page will be displayed. Enter your *User ID*, *User Password* and the characters in the image. Click SUBMIT.

日KEX 香港交易所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Fo	ntSize A A	A EN 1%
21/05/2019 13:10	Login with SMS Password Denotes mandatory fields User ID			
	• User Password • Enter the characters in the image n w c 8 Refresh Image			
	Submit Cancel			
	Terms & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.19 Login with SMS Password Page

3. A One-Time Password will be sent to your registered mobile phone number via SMS. Input *One-Time Password* and click LOGIN.

		Terms & Conditions	Site Map	Contact Us	Privas	y Polic
	Login Cancel Please click HCRE if you dd not receive the One-Time Password or if the One-Time Password has expred.					
	Please enter the One-Time Password sent to your mobile phone (last 4 algits *076#7). * One-Time Password					
	Login with SMS Paseword Cences mandatory fields					
11/04/2019 11:36	Your request has been submitted successfully.					
世天町大田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田田	e-Submission System The Stock Exchange of Hong King Limited (A wholly-evend subsidiary of Hong King Startanges and Clairing Limited)			nt Size 🔥 A		

Figure 2.20 Login with SMS Password page

 A *Disclaimer* page will be displayed. Read the disclaimer statement carefully. Then click ACCEPT AND CONTINUE to accept the terms and conditions to proceed or click EXIT to go back to *Main* page.

2.4 Forgot User ID

1. If you have forgotten your User ID, you may click Forgot User ID at the Main page.

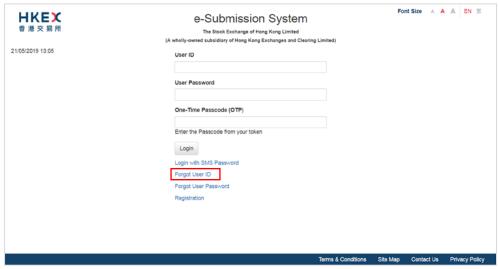


Figure 2.21 ESS Main page

2. The *Forgot User ID* page will be displayed. Fill in your *User Name (User Given Name & Family Name)*, *Registered Email Address, Company Code*, the characters in the image and click SUBMIT.

ドドビン 香港交易所 03/04/2019 10.23	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size A	a A en 👷
	Forgot User ID		
	* Denotes mandatory fields *User Given Name & Family Name		
	Given Name Family Name		
	*User Registered Email Address		
	Registered Email Address Company Code		
	ENTER COMPANY CODE		
	*Enter the characters in the image Enter the characters in the $k \neq 9 = 9$ Refresh		
	Submit Cancel		
	Terms & Conditions Site	Map Contact Us	Privacy Policy

Figure 2.22 Forgot User ID page

3. An email will be sent to the registered email address listing all User IDs matched with the information provided in step 2 above.

e-Submission System - Forgot User ID	← REPLY	≪ REPLY ALL	→ FORWARD ····
eds sender Twr 574/2019 1255 PM Index			mark as unread
Dear Sir/Madam,			
You requested to recover your User ID(s) for the e-Submission System. Below please find your registered User ID(s):			
88888AADM2 88888PSUBMIT			
If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System or the case	officer of t	ne Listing Depa	rtment.
The Stock Exchange of Hong Kong Limited 14-05-2019			
(Note: This is an automatically generated email. Please do not reply directly to this email.)			
敬餘者:			
您要求取回您在電子呈交系統的用戶賬號。以下是您的登記用戶賬號			
88888AADM2 88888PSUBMIT			
如有查詢,請於電子呈交系統的操作時間致電熱線(852)28403460或聯絡上市部內負責 貴公司之聯繫人。			
青海聯合交易所有限公司 14-05-2019			
(橫註:此郡件是由系統自動發出,請勿回覆此電郵。)			

Figure 2.23 Forgot User ID – System generated email

2.5 Forgot User Password

1. If you have forgotten your user password, you may click *Forgot User Password* at *Main* page.

日ドに 雪 港 交 易 所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Fo	ntSize A 🖡	A EN 1%
21/05/2019 13:05	User ID			
	User Password			
	One-Time Passcode (OTP)			
	Enter the Passcode from your token			
	Login Login with SMS Password			
	Forgot User ID Forgot User Password			
	Registration			
	Terms & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.24 ESS Main page

2. The *Forgot User Password* page will be displayed. Fill in your *User ID*, *Registered Email Address*, the characters in the image and click SUBMIT.

(空波交易所) 03/04/2019 10:23	Bestimultiple Bestimultiple Control User Password • Denotes mandatory fields • User ID User ID User Registered Email Address • Perter the characters in the Image Erter the characters in the Image Submit Cancel		Font Size A	A A EN T
	Terms & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.25 Forgot User Password page

3. An email contains the URL to reset your password will be sent to your registered email address. Click the URL in the email.

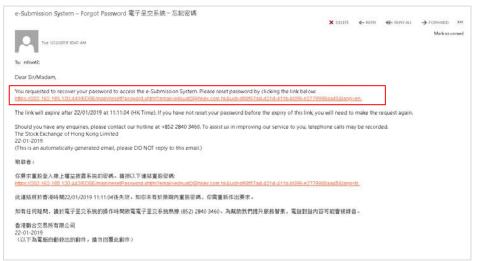


Figure 2.26 Forgot User Password – System generated email

4. The *Reset Password* page will be displayed. To reset your user password, input your *User ID*, *New Password* and *Re-type New Password*. Click SUBMIT.

* Denotes mandatory fields *User ID were Kits *Were Password There Password The -Ope New Password Montor Field Here Password Submit: Cancel	世代医学 愛 准 交 易 府 13/03/2019 14.33	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Si	ze A A	A EN T
Vuser ID Vuser Ro Prov Pressent There Pressent is case seature, a contraction of lattert (both rapper Almont Latter) and model (bit) and latement is all Statusatory is Tex-type New Pressword Model from Party Internet Submit: Cancel	All States of the All States	Reset Password			
VERVED VE		* Denotes mandatory fields			
New Password Very Password Great password We have been and the digit of the great discussion of the set of th		"User ID			
Inter Platmont Other presents in one seature, a solution of later (you, upper A later rate) instruct (by low presents and it cubicities) "Re-type New Plassword No-hold river Plassword Submit		UBER ID			
Charge provide of control and provide of home (plus) upper 4 home (non) and writers (PR) and home (non) Charge provide (PR) and home (non) Re-hope free Pargenoid Submit: Cancel		New Password			
Re-type New Password Re-type New Password Ro toor free Password Gubmet		New Pastword			
Re-box free Pagewind Submr					
Suumt Cancel		"Re-type New Password			
		Ro-type New Pastsword			
		Submit Cancel			
Terms & Conditions Site Map Contac			Terms & Conditions	Site Map	Contact Us

Figure 2.27 Forgot User Password – Reset Password

5. After your User Password has been reset successfully, an acknowledgement page will be displayed.

NOTE:

- 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). It shall not be the same as any of the last 5 passwords (including your Current Password).
- The URL to reset the User Password will be expired after 30 minutes.

3 Common Admin Functions

This section covers the common Admin functions which are applicable to Authorised Person, Administrator, Security Officer and DI user. For functions which are specific to certain user type, please refer to the corresponding Profile Admin section below.

3.1 View Your Company's Profile

1. Select **Profile Admin** under **Admin** from Main Menu.

日ドドズ 香港交易所		e-Submission The Stock Exchange of Hong vned subsidiary of Hong Kong Exc	Kong Limited	Font Size A 🖌	A A EN 繁
Home Admin Welcomo Profile Admin Change of Adminatrator or Security Officer Appointment of Agents Appointment of Approvens		Profile Admin			Logout
Quick Ref (Listing) Quick Ref (Publication) Contact Us Privacy Policy	User Manual (Listing)	User Manual (Publication)	User Manual (Admin / Security Officer / DI user)	Terms & Conditions	Site Map

Figure 3.1 Profile Admin menu

2. The *Company Details* page will be displayed.

生産が発展		e-Submission Sy The Stock Exchange of Norg Kore (A while owner subsidiary of Hing Kore Exchange	Limited	Font Size A A E
name Adres				4
ecome peter word 00/07/2019 10:	13			
ompany Profile				
ompany Details				
mpany Code	13/4448	Company Type	Main Strand Innune	
mpany Name (Englishs	International Inseing Concerny			
mpany Name (Chinese)				
npony Website	www.tz.com			
diess (Erigilian)	8 Priver of Street	Address (Chinese)	Conne Address Ins 1	
	CHEW		Christic Add total Hist 2	
	Hang Kang		Channe Address from 3	
200	English Address line 4		Consis Adventine 8	
x NO.	229(330)			
rand Corpany Politie User LM N	In Profile. Back to Home			
		x Ref (Publication) User Manual (Litting) User Manual	(Aduation) - User Marsel (Admin (Security Officer / Dissor) - 1	ferms&Conditions 19e Map Contex11b Privac

Figure 3.2 Company Details page

3.2 View and Update Your Own User Profile

- 1. Select **Profile Admin** from **Admin** under Main Menu.
- 2. At Company Details page, click MY PROFILE.
- 3. The **User Profile** page will be displayed. The fields: Salutation, Position, Phone No, Mobile No., Email (Corresponding Address and Access to DI Data are applicable to Authorised Person only) can be amended as required. Other fields are displayed for reference only. Click SAVE after you have finished editing.

Denotes mandatory fields					
User Details					
User Type	Administra	ator			
Jser ID	88888A	M			
Resigned	Yes	®No			
Family Name (English)	Chan		Given Name (English)	Tai Man	
Salutation	Mr	~	*Position	Administrator	
Phone No.	91234567				
Mobile No.	Country Code	Area Code (if any) + Mobile No.			
	852	91234567			
'Email	chantaima	in@abc.com			
Token Selection	Software 1	Foken			
Personal data collected throu	gh the e-Subm isent to the pro		rect marketing purposes. By cli	cking on Save, I confirm that the in	any). E.g. 86 for China, 853 for Macau. dividual(s) whose personal data is disclosed i

- 4. If your profile has been updated successfully, an acknowledgment message will be displayed.
- 5. Select HOME in the Main Menu on the top of the page to return to the **User Home** page.

3.3 Change Your Own User Password

- 1. Select **Profile Admin** under **Admin** from Main Menu.
- 2. At Company Details page, click MY PROFILE.
- 3. The User Profile page will be displayed. Click CHANGE USER PASSWORD.
- 4. The *Change User Password* page will be displayed. Input your *Current Password*. Type in a *New Password* and re-enter the *New Password*. Click SAVE.

日ドビズ 香港交易所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size A A A EN 🗱
Home Admin		Logout
Welcome Tai Man Chan 11/04/20	9 14:16	
Change User Password		
* MANDATORY FIELDS * Current Password		
* New Password	Dar password is cose-sensitive, a combination of latters thorth upper & lower cased and	
	number (0-0) and between 8 and 15 characters.)	
* Re-type New Password		
Save Cancel		

Figure 3.4 Change User Password page

NOTE:

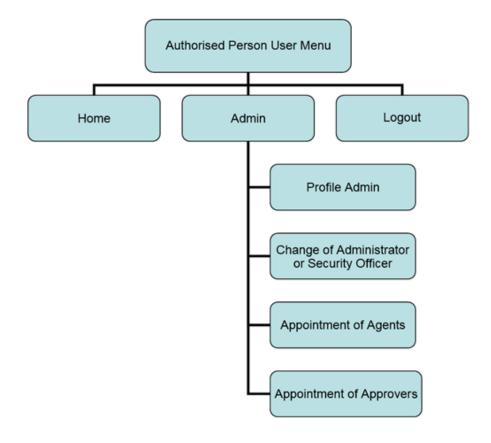
- User Password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9). It shall not be the same as any of the last 5 passwords (including your *Current Password*). User Password is not allowed to change again within 24 hours.
- 5. If your password has been changed successfully, an acknowledgement message will be displayed.
- 6. Select HOME in the Main Menu on the top of the page to return to the **User Home** page.

4 For Authorised Person

This section only covers functions unique to the Authorised Person.

4.1 User Menu for Authorised Person

The Authorised Person user menu is subdivided into the following categories:



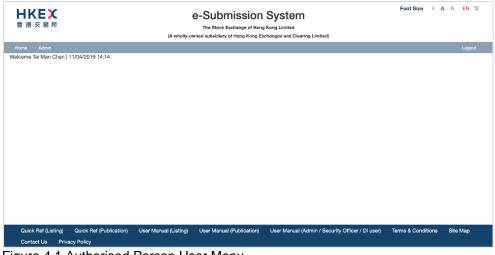


Figure 4.1 Authorised Person User Menu

4.2 **Profile Admin**

Under Profile Admin, you can create or delete a Publication Related Matter user, a Listing Related Matter user or a DI user of the company and approve the user creation initiated by Security Officer.

4.2.1 Create a User

1. Select **Profile Admin** from **Admin** under Main Menu.

世代に入りませた。	e-Submission System The Stock Exchange of Hong Kang Limited (A whichy-owned subsidiary of Hong Kang Exchanges and Clearing Limited)	Font Size A	A EN TE
Home Adme Perfile Americ Charge of Administrator or Security Office Appointment of Apens Appointment of Approven	Profile Admin		Logaut

Figure 4.2 Authorised Person User Menu

2. At Company Details page, click USER LIST.

日代日本		-Submission Sy The Stock Exchange of Hong Kong ed subsidiary of Hong Kong Exchang	Limited	Font Size A A	A EN 1
Home Document Submissi		n			Logout
Welcome Administrator	29/10/2019 18:06				
Company Profile					
Company Details					
Company Code	LM88888	Company Type	Debt Securities Issuers		
Company Name (English)	XYZ Company Limited				
Company Name (Chinese)					
Company Website					
Address (English)	10/F-12/F,	Address (Chinese)	香港		
	One International Financial Centre,		面關金融中心		
	1 Harbour View Street		第一期10년		
	Central HK		上市科		

Figure 4.3 Company Profile page

3. The User Profile List page will be displayed. Click NEW.

	北区 港交易所			Submission S The Stock Exchange of Hong Kong Subsidiary of Hong Kong Exchan	g Limited	.imited)	Font Size A	
Har								Logou
Nelco	ome Tai Man Chan 11/	04/2019 14:18						
Con	npany Details							
lom	pany Code	LM08888		Company Type	Main B	oard issuer		
Comp	pany Name	XYZ Group Ltd.						
Jse	r Profile List							
		Use	er Name		Search	h		
		User Full Name	er Name User Type			h Status	Access to DI Data	Locked
Jser							Access to DI Data No	Locked
Jser	User ID	User Full Nome	User Type	s User		Status		
Jser C	User ID 88888AADM	User Full Name Chan Tai Man	User Type Administrator Listing Related Matter	s User attars User - Approver		Status Active	No	No
User User	User ID 88888AADM 68888LSUBMIT	User Full Name Chan Tai Man Chan Tai Man	User Type Administrator Listing Related Matter Publication Related M			Status Active Active	No No	No No
User C	User ID 88858AADM 88888LSUBMIT 88888PAPPROV	User Full Name Chan Tai Man Chan Tai Man Chan Tai Man	User Type Administrator Listing Related Matter Publication Related M	atters User - Approver		Status Active Active Inactive	No No No	No No No

Figure 4.4 User Profile List page

4. A blank User Profile page will be displayed. Select the User Type. Enter the new user's details, including User Name, Contact Information etc. After you have inputted the User Name, the User ID of the new user will be displayed immediately in the User ID field. **You should note the new User ID**. Click ADD.

日KEX 香港交易所		IT	Submission Sys he Stock Exchange of Hong Kong Lir ubsidiary of Hong Kong Exchanges	nited	Font Size A	AA EN 繁
Home Admin						Logout
Welcome Security Officer 3	1/10/2019 1	3:05				
Company Code	LM8888	8	Company Type	Debt Securities Issuers		
Company Name	XYZ Gro					
User Profile - New * Denotes mandatory fields User Details	N					
*User Type	Publicat	ion Related Matters User - Appro 🗸				
*User Name 1	CHAN		User ID	7444ZPCHAN		
Resigned	Yes	No				
*Family Name (English)	Family N	lame (English)	*Given Name (English)	Given Name		
*Salutation	Please \$	Select 🗸	*Position	Position		
*Phone No.	Phone N	0.				
*Mobile No. 2	Country Code	Area Code (if any) + Mobile No.				
	852	91234567				
*Email	Email					
² Mobile No. will be used to re Personal data collected throug	e <i>ceive One</i> - Ih the e-Sul		erseas mobile number, please ent for direct marketing purposes. By	er the country code and area code (if any), E clicking on Add, I confirm that the individual(e HKEX Privacy Policy.		

Figure 4.5 User Profile page

5. If the user has been created successfully, an acknowledgement message will be displayed.

世代に入る	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size	* A A	EN 🕱
Hama Admin				Logout
Welcome Tai Man Chan 11/04/2019 14:18				
User ID 88888LLRM3 is created successfully.				

Figure 4.6 Create User – Acknowledgement message

6. Click BACK TO HOME to return to the **User Home** page.

NOTE:

 Once the user account has been created successfully, the new user can immediately setup his/her token at the first-time login to the ESS (refer to "First-time Login to e-Submission System" on relevant user manual for user activation procedure).

4.2.2 Delete a User

- 1. Select **Profile Admin** from **Admin** under Main Menu.
- 2. At *Company Details* page, click USER LIST.
- 3. The **User Profile List** page will be displayed. You may enter *User ID* and/ or *User Name* and click SEARCH to search for a specific user. Select the user to delete by checking the appropriate selection box and click USER DETAILS.

香	十KEX 昏港交易所			Submission S The Stock Exchange of Hong Ko d subsidiary of Hong Kong Excha	ng Limited			
	ome Admin							Logo
Velc	come Tai Man Chan 11.	/04/2019 14:18						
)or	mpany Details							
om	ipany Code	LM88888		Company Type	Ma	ain Board Issuer		
om	ipany Name	XYZ Group Ltd.						
	er Profile List							
Jser	D	Us	er Name		Se	earch		
	User ID	User Full Name	User Type			Status	Access to DI Data	Locked
	88888AADM		Administrator			Active	No	No
	88866AADIM	Chan Tai Man	Administrator			Active	140	140
_	8888880011	Chan Tai Man Chan Tai Man	DI User			Active	Yes	No
				rs User				
	88888DDI1	Chan Tai Man	DI User			Active	Yes	No
	888880D011 888888LLRM2	Chan Tai Man Chan Tai Man	DI User Listing Related Matter Listing Related Matter			Active Pending Approval	Yes	No No
	88888DDI1 888888LLRM2 888888LSUBMIT	Chan Tai Man Chan Tai Man Chan Tai Man	DI User Listing Related Matter Listing Related Matter Publication Related N	rs User		Active Pending Approval Active	Yes No No	No No No
	888888DD11 888888LLRM2 888888LSUBMIT 888888PAPPROV	Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	DI User Listing Related Matter Listing Related Matter Publication Related N	rs User latters User - Approver		Active Pending Approval Active Inactive	Yes No No No	No No No No
	888680DD1 888888LLRM2 888888LSUBMIT 888888PAPPROV 888888PSUBMIT	Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	DI User Listing Related Matte Listing Related Matte Publication Related M Publication Related M	rs User latters User - Approver latters User - Submitter		Active Pending Approval Active Inactive Inactive	Yes No No No No	No No No No No
	888880D11 888880LRM2 88888LSUBMIT 88888PAPPROV 88888PSUBMIT 88888PSUBMIT 88888SSOR	Chan Tai Man Chan Tai Man	DI User Listing Related Matte Listing Related Matte Publication Related M Publication Related M Security Officer	rs User latters User - Approver latters User - Submitter		Active Pending Approval Active Inactive Inactive Active Active	Yes No No No No No	No No No No No No

Figure 4.7 User Profile List page

4. The **User Profile** page will be displayed. View and confirm the user profile to be deleted, then click DELETE.

Dompany type	Math Balt Muse			Logend
Company type	Mar Bac Nor			
Company type	Mari Bairt How			
company sype	Mars Bart Insar			
Siven Name (English)	pater :			
Posten	Director			
		ener the county code and area code (if any) if a gr 40 for Cires, 633 for Macau		

Figure 4.8 User Profile page

5. The Confirmation dialog box will be prompted. Click CONFIRM.

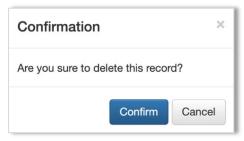


Figure 4.9 Delete User - Confirmation

6. If the user account has been deleted successfully, an acknowledgement message will be displayed. The security token of the deleted user will be revoked at the same time.

	 K E X 港 交 易 所		e-Submission Syste The Stock Exchange of Hong Kong Limite (A wholly-owned subsidiary of Hong Kong Exchanges and	d	Font Size A	A A EN 9
Hom	ne Admin					Logou
/elco	me Tai Man Chan 11/0	04/2019 14:23				
888	388LLRM3 has been de	leted successfully.				
	any Code any Name	LM88888 XYZ Group Ltd.	Company Type	Main Board Issuer		
ser II	U	Usi	er Name	Search		
	Liser ID	Liser Full Name	Licer Type		Access to DI Data	Locked
	User ID 888888AADM	User Full Name	User Type Administrator	Status	Access to DI Data	Locked
0	User ID 88888AADM 88888BDD11	User Full Name Chan Tai Man Chan Tai Man	User Type Administrator DI User		Access to DI Data No Yes	No No
0	88888AADM	Chan Tai Man	Administrator	Status Active	No	No
	88888AADM 88888BDDI1	Chan Tai Man Chan Tai Man	Administrator DI User	Status Active Active	No Yes	No No
	88888AADM 88888BDDI1 888888LLRM2	Chan Tai Man Chan Tai Man Chan Tai Man	Administrator DI User Listing Related Matters User	Status Active Active Pending Approval	No Yes No	No No No
	88888AADM 88888DDI1 88888BLLRM2 88888LSUBMIT	Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	Administrator DI User Listing Related Matters User Listing Related Matters User	Status Active Active Pending Approval Active	No Yes No No	No No No No
	88888AADM 88888DDI1 88888LLRM2 88888LSUBMIT 888888PAPPROV	Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	Administrator DI User Listing Related Matters User Listing Related Matters User Publication Related Matters User - Approver	Status Active Active Pending Approval Active Active	No Yes No No No	No No No No No

Figure 4.10 Delete User – Acknowledgement

7. Click BACK TO HOME to return to the **User Home** page.

4.2.3 Approve User Creation by Security Officer

- 1. Select **Profile Admin** from **Admin** under Main Menu.
- 2. At Company Details page, click USER LIST.
- 3. The **User Profile List** page will be displayed. The status of new user created by Security Officer is marked "Pending Approval" in red. Select the user by clicking the selection box and click USER DETAILS.

	Logo
Access to DI Data	Locker
No	No
Yes	No
al No	No
No	No
No	No
No	No
No	No
Yes	No
	No Yes No No No No No

Figure 4.11 User Profile List page

4. The *User Profile* page will be displayed. Review the new user profile and click APPROVE.

HKEX 香 港 交 易 所			Submission Syste The Stock Exchange of Hong Kong Limite d subsidiary of Hong Kong Exchanges and	em ⁴	Font Size	A A	A EN 繁
Home Admin							Logout
Welcome Tai Man Chan 11/04/20	19 14:27						
Company Code			Company Type				
Company Name	LM88888		Company type	Main Board Issuer	_		
Company Name	XYZ Group Ltd.						
User Profile - Edit							
Denotes mandatory fields							
User Details							
User Type							
User ID	Listing Related Matters U	ser					
*Resigned	88888LLRM2						
-	○ Yes	® No					
Family Name (English)	Chan		Given Name (English)	Tai Man			
*Salutation	Mr	\$	*Position	LRM User			
*Phone No.	22221111						
*Mobile No. 1 (Country Code-Area Code-Mobile No.)	852	91234567					
*Email	taiman@xyz.com						
*Token Selection	Software Token						
¹ Mobile No. will be used to receiv		a SMS.					
Approve Reject Delete C	ancel						

Figure 4.12 User Profile page

5. If the approval has been successful, an acknowledgement message will be displayed.

	KEX 港 交 易 所			Submission S The Stock Exchange of Hong Kor subsidiary of Hong Kong Exchar	g Limited	1)	Font Size	A A A E
Home								Lo
Velcom	ne Tai Man Chan 11/04	1/2019 14:27						
User	account 88888LLRM2	has been created successfully						
Compa	iny Code	LM88888		Company Type	Main Board Is	suer		
Compa	iny Name	XYZ Group Ltd.						
	Profile List	User Na	me		Search			
Jser ID		User Nat	me User Type		Search	Status	Access to DI Data	Locke
Jser ID					Search	Status Active	Access to DI Data No	Locke No
Jser ID	User ID	User Full Name	User Type		Search			
Jser ID	User ID 88888AADM	User Full Name Chan Tai Man	User Type Administrator	atters User	Search	Active	No	No
Jser ID	User ID 888888AADM 88888BDD11	User Full Name Chan Tai Man Chan Tai Man	User Type Administrator DI User		Search	Active Active	No Yes	No No
Jser ID () ()))))))))))))	User ID 888888AADM 88888BD11 88888BLI 88888BLSUBMIT 88888BLSUBMIT 88888BPAPPROV	User Full Name Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	User Type Administrator DI User Listing Related M Listing Related M Publication Relate	atters User ed Matters User - Approver	Search	Active Active Inactive Active Active	No Yes No No No	No No No No
Jser ID	User ID 888888AADM 88888BD11 88888BLIRM2 88888LSUBMIT 88888BASUBMIT 88888BPAPPROV 88888BPSUBMIT	User Full Name Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	User Type Administrator DI User Listing Related M Listing Related M Publication Relate Publication Relate	atters User	Search	Active Active Inactive Active Active Active	No Yes No No No No	No No No No No No
Jser ID	User ID 888888AADM 88888BD11 88888BLI 88888BLSUBMIT 88888BLSUBMIT 88888BPAPPROV	User Full Name Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	User Type Administrator DI User Listing Related M Listing Related M Publication Relate	atters User ad Matters User - Approver ad Matters User - Submitter	Search	Active Active Inactive Active Active	No Yes No No No	No No No No

Figure 4.13 Approve User Creation by Security Officer – Acknowledgement

- 6. Alternatively, should you find the user detail need to amend, click REJECT. If the request has been rejected, an acknowledgement message will be displayed. Security Officer has to submit a new request for user creation.
- 7. Click BACK TO HOME to return to the **User Home** page.

NOTE:

 Once the user account has been created successfully, the new user can immediately setup his/her token at the first-time login to the ESS (refer to "First-time Login to e-Submission System" on relevant user manual for user activation procedure).

4.3 Change of Administrator or Security Officer

1. Select Change of Administrator or Security Officer under Admin from Main Menu.



Figure 4.14 Change of Administrator or Security Officer menu

2. The *Change of Admistrator or Security Officer* page will be displayed. Select *Request For* as "Change Administrator" or "Change Security Officer" as appropriate.

日KEX 香港交易所		(A who	The Stock Exchang	Sion System te of Hong Kong Limited g Kong Exchanges and Clearing L		AAI	A EN	1.3
Home Admin							LO	gau
Nelcome Primary AP	9 25/07/2019 09:24							
	User Profile - Ch	nange of Administ	trator or Secur	ity Officer				
	* Denotes mandatory fields							
	Company Details							
	Company Code	LM12345		Company Type	Debt Securities Issuers			
	Company Name	ABC Company						
	User Details							
	Request For	Please Select	~					
	"User Name 1	USER NAME		User ID	User ID			
	*Family Name (English)	Family Name (English)		*Given Name (English)	Given Name (English)			
	"Salutation	Please Select	v	*Position	Position			
	*Phone No.	Phone No.						
	"Mobile No. ?	Country Code	Area Code (if any) + Mobile No				
		852	91234567					
	*Email	Email						
	¹ The User Name will form pa	int of the User ID and only accept	t 2-6 alpha-numeric chara	cters.				
	² Mobile No. will be used to re Macau.	eceive One-Time Password via 5	SMS. For overseas mobile	number, please enter the coun	try code and area code (if any). E.g. 86 for Ghina, 853 for			
		gh the e-Submission System wil I this application consent to the p			Confirm, I confirm that the individual(s) whose personal IKEX Privacy Policy.			
	Confirm Cancel							

Figure 4.15 Change of Administrator or Security Officer page

 Enter the user profile of the new Administrator or new Security Officer, including User Name, Contact Information etc. After you have inputted the User Name, the User ID of the new user will be displayed immediately in the User ID field. You should note the new User ID. Click CONFIRM.

Request For	Change Security Officer	~		
*User Name 1	CHAN		User ID	12345SCHAN
*Family Name (English)	Family Name (English)		"Given Name (English)	Given Name (English)
*Salutation	Please Select	~	"Position	Position
*Phone No.	Phone No.			
"Mobile No. 2	Country Code	Area Code (if any)	+ Mobile No.	
	852	91234567		
*Email	Email			
The User Name will form pa	art of the User ID and only accept	1 2-6 alpha-numeric charac	ters.	
Mobile No. will be used to re	eceive One-Time Password via S	MS. For overseas mobile r	number, please enter the count	ry code and area code (if any). Ε.g. 86 for China, 85:
lacau.				
uordt betoelloo steb lenoare	gh the e-Submission System will	not be used for direct man	keting purposes. By clicking on	Confirm, I confirm that the individual(s) whose perso

Figure 4.16 Request for Change of Administrator/ Security Officer

4. The Confirmation dialog box will be prompted. Click CONFIRM to confirm the change.

Confirmatio	on	×
Are you sure to	submit?	
	Confirm	Cancel

Figure 4.17 Change of Administrator or Security Officer page – Confirmation box

5. If the Administrator or Security Officer has been changed successfully, an acknowledgement message will be displayed. The assigned token of original Administrator or Security Officer will be revoked at the same time.

日KEX 香港交易所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subaidiary of Hong Kong Exchanges and Clearing Limited)	Font Size	A A A	EN 繁
Welcome Tai Man Chan 11/04/2019 14:29				
Saved successfully.				

Figure 4.18 Change of Administrator – Acknowledgement

6. Select HOME in the Main Menu to return to the *User Home* page.

NOTE:

• The new Administrator or Security Officer can immediately setup his/her assigned token at the first-time login to the ESS (refer to Section 2.1 "First-time Login to e-Submission System").

4.4 Appointment of Agents

Authorised Person of a listed issuer can appoint its representing agents to submit and/or approve documents on their behalf. You can also 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.

Authorised Person of an agent can view the list of assignments made by your clients (i.e. listed issuers) on the *Appointment of Agents* page.

The appointment is listed in the ascending order of status and its start time on the *Appointment of Agents* page.

1. Select Appointment of Agents under Admin from Main Menu.

世代に文明の書を	e-Submission System The Block Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size 🔥 🔺 Å	EN 🕱
Home Advision Welcome People Administrator or Bed Aggountment of Agents Aggountment of Agences	Appointment of Agents		Logout

Figure 4.19 Appointment of Agents menu

2. The *Appointment of Agents* page for listed issuers will be displayed with the list of appointed agents, including the status and details of the respective appointments.

	また。場所		T	Submission S te Stock Exchange of Hong Kon ubsidiary of Hong Kong Exchan	g Limited		Font Size A A A EN
He	me Admin						Logaut
10	of Ageointed Agents Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
				11/04/2019 23:59	2	an 110 mar	
8	AG68888	ABC Agent Ltd.	11/04/2019 00:00	11/04/2019 23:59	2	Expired	Submission & Approval

Figure 4.20 Appointment of Agents page (Listed Issuers)

3. The Appointment of Agents page for agents will be displayed with the list of their representing listed issuers, including the status and details of the respective appointments.

HKEX 香港交易所			Submission S The Stock Exchange of Hong K subsidiary of Hong Kong Exch	ong Limited		Font Size A A A EN			
Home Admin								6	Logout
Appointment of List of Appointed Agents Company Code	Agents Company Name	Start Time	End Time	No. of Submissions	Status	Appointm	ent Type		
LM88888		06/05/2019 00:00	15/06/2019 23:59		Active	Submission	n & Appn	oval	
Total Number of Recor Back to Home	ds : 1		<< < 1 > >	•					

Figure 4.21 Appointment of Agents page (Agents)

4.4.1 Appoint an Agent

1. Click CREATE at *Appointment of Agents* page. The relevant input boxes will be displayed.

日KEX 香港交易所	(The Stock	K Exchange of Hong Ko ry of Hong Kong Excha			Font Size A A A EN S
Home Admin						Logout
Welcome Tai Man Chan 11/04/20	19 16:01					
Appointment of Agents						
List of Appointed Agents						
Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
Total Number of Records : 0 Edit Creato Delete Back to Appointment Details "Denotes mandatory fields *Company Name *Appointment Criteria *Appointment Type Confirm	o Home CCMPANY CODE Company Name Please Select Please Select	¢ \$				

Figure 4.22 Appointment of Agents page - Create new appointment

2. 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.

日代に入 香港交易所			ubmissior Rock Exchange of Ho Ridiary of Hong Kong		Font Size A A A E				
Home Admin									Logo
Velcome Primary AP 06/01	/2020 16:36								
Appointment of Agen	its								
List of Appointed Agents									
Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appoir	tment	Type	
Otal Number of Records : 0 Edit Greate Delete Appointment Details Denotes mandatory fields	Back to Home								
Company Code	COMPANY CODE								
Company Name	ABC			x					
Appointment Criteria Appointment Type	ABC Agent Limited ABCD Financial Print Please Select	er 🗸							
Confirm									

Figure 4.23 Appointment of Agents page - Search Company

- 3. Select one of the Appointment Criteria to 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.

日KEX 香港交易所	v	The Sto	DMISSION ck Exchange of Hong iary of Hong Kong Exc	•	Fo	ontSize A A A	EN
Home Admin							Logo
elcome Primary AP 06/01	2020 17:02						
ppointment of Agen	its						
ist of Appointed Agents							
Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type	
Edit Create Delete popointment Details Denotes mandatory fields Company Code	Back to Home OTAGENT						
ompany Name	ABC Financial Printers						

Figure 4.24 Appointment of Agents page – Select Appointment Criteria

- 4. Depending on selected *Appointment Criteria*, input the appointment *Start Time / End Time* and/or *No. of Submissions*.
- 5. Assign the Appointment Type to determine 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.

HKEX 香港交易所	(A)	The Stor	OMISSION CK Exchange of Hong ary of Hong Kong Ex		Fo	ont Size A A A	EN 繁
Welcome Primary AP 06/01/20	020 17:02						
Appointment of Agents							
List of Appointed Agents							
Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type	
Edit Create Delete Bi Appointment Details *Denotes mandatory fields *Company Code	OTAGENT						
*Company Name							
	ABC Financial Printers						
*Appointment Criteria	Time Range & No. of Submission						
*Start Time	06/01/2020 00:00	*	End Time	06/01/2020 23:59			
*No. of Submissions	2						
*Appointment Type Confirm	Please Select Approval only Submission only Submission & Approval						

Figure 4.25 Appointment of Agents page – Assign Appointment Type

- 6. Click CONFIRM.
- 7. If the appointment has been created successfully, an acknowledgement message will be displayed. You may continue to appoint more agents by repeating the above steps or click BACK TO HOME to return to the **User Home** page.

	ⅠKEX 좕港 交 易 所		The	ubmission Sy Stock Exchange of Hong Kong bsidiary of Hong Kong Exchange	Limited		Font Size A A	A EN %
н	ime Admin							Logout
Velo	ome Tai Man Chan 11/	04/2019 16:01						
n	ointment of Ager	te						
		nts						
	•	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type	
	of Appointed Agents		Start Time 11/04/2019 00:00	End Time 11/04/2019 23:59	No. of Submissions	Status Active	Appointment Type Submission & Approv	al

Figure 4.26 Appointment of Agents page – Acknowledgement

NOTE:

- Agent can submit/ approve the submission on behalf of the listed issuer only if the appointment status is "Active".
- The Appointment Status will become "Expired" if its preset time range (i.e. *End Time*) has expired or the *No. of Submission* become zero.
- Expired appointment will remain on the list for 30 days for record purpose.
- The count of the No. of Submission of the Agent's appointment will be deducted by one in the following situation (including Submission for Publication and Correction of headline categories of a published document):-
 - A submission is approved by the subject agent (either submitted by the issuer or other authorising agents); or
 - A submission is submitted by the subject agent and approved by the issuer.

4.4.2 Edit an Appointment

Authorised Person of a listed issuer can edit the active appointment. If the appointment of the agent has been expired, you have to create a new appointment for that agent (refer to Section 4.4.1 for details).

1. Select the appointment you wish to edit by checking the appropriate selection box and click EDIT at *Appointment of Agents* page.

	┼KEX ↑港交易所		Th	Bubmission S e Block Exchange of Hong Kon ubsidiary of Hong Kong Exchan	g Limited		Font Size A A A EN 11
	me Admin ome Tai Man Chan 12						Logout
	Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
ø	AG88888	ABC Agent Ltd.	12/04/2019 00:00	12/04/2019 23:59	2	Active	Submission & Approval
6	AG88888	ABC Agent Ltd.	11/04/2019 00:00	11/04/2019 23:59	2	Expired	Submission & Approval
iota Ed	Number of Records : 2	Back to Home		ec c 1 5 55			

Figure 4.27 Appointment of Agents page - Select appointment for editing

2. Update the Appointment Criteria, Appointment Type, Start Time / End Time and No. of Submissions, where appropriate. Click CONFIRM.

世族交易所			Submission Sy he Stock Exchange of Hong Kong Subsidiary of Hong Kong Exchan	Limited		Font Size A A A EN 1
Home Admin		(A MILDIT - OWNED I	subsidiary of Hong Kong Exchan	jes and cleaning climited)		Logout
Welcome Tai Man Chan 12	04/2019 11:36					Artistica (
Appointment of Ager	te					
List of Appointed Agents	1.3					
Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
AG88888	ABC Agent Ltd.	12/04/2019 00:00	12/04/2019 23:59	2	Active	Submission & Approval
AG88888	ABC Agent Ltd.	11/04/2019 00:00	11/04/2019 23:59	2	Expired	Submission & Approval
Appointment Datalle	Back to Home					
Denotes mandatory fields Company Code	AG68888					
Denotes mandatory fields	AG55555 ABC Agent Ltd					
Denotes mandatory fields Company Code		Submissions •				
Denotes mandatory fields Company Code Company Name	ABC Agent Ltd.	Submissions •	*End Time	12/04/2019 23:69		
'Denotes mandatory fields 'Company Code 'Company Name 'Appointment Criteria	ABC Agent Ltd. Time Range & No. of 5	Submissions ¥	"End Time	12/04/2019 23:59		

Figure 4.28 Appointment of Agents page - Edit appointment

3. If the appointment has been updated successfully, an acknowledgement message will be displayed. Click BACK TO HOME to return to the User Home page.

	日民民業		The	ubmission Sy Stock Exchange of Hong Kong baldlary of Hong Kong Exchang	Limited		Font Size	A .	• A	EN 🛣
He	ome Admin									Logout
Nelc	come Tai Man Chan 11/	/04/2019 16:01								
	of Appointed Agents									
	· · · · · · · · · · · · · · · · · · ·	Company Name	Start Time	End Time	No. of Submissions	Status	Appointme	ent Typ	æ	
	of Appointed Agenta		Start Time 11/04/2019 00:00	End Time 11/04/2019 23:59	No. of Submissions	Status Active	Appointme			

Figure 4.29 Appointment of Agents page – Acknowledgement message

4.4.3 Delete an Appointment

Authorised Person of a listed issuer can discontinue the appointment of your authorised agent by deleting its appointment. After the appointment has been deleted successfully, the agent is no longer able to represent the issuer to submit or approve any submission.

1. Select the appointment you wish to delete by checking the appropriate selection box and click DELETE at *Appointment of Agents* page.

-	また場所		T	Submission S te Stock Exchange of Hong Kon ubsidiary of Hong Kong Exchan	g Limited		Font Size A A A EN %
	ime Admin come Tai Man Chan 12	/04/2019 11:36					Logout
	pointment of Ager						
	of Appointed Agents						
	Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
0	AG88888	ABC Agent Ltd.	12/04/2019 00:00	12/04/2019 23:59	2	Active	Submission & Approval
8	AG88888	ABC Agent Ltd.	11/04/2019 00:00	11/04/2019 23:59	2	Expired	Submission & Approval
	Number of Records : 2			<c 1="" <=""> >></c>			

Figure 4.30 Appointment of Agents page – Select appointment for deletion

2. The Confirmation dialog box will be prompted. Click CONFIRM to delete.

Confirmation	×
Are you sure to delete this record	rd?
Confirm	Cancel

Figure 4.31 Appointment of Agents – Delete confirmation

3. If the appointment has been deleted successfully, an acknowledgement message will be displayed. Click BACK TO HOME to return to the User Home page.

	⊣KEX 昏港交易所		The	Ubmission Sy Stock Exchange of Hong Kong bsidiary of Hong Kong Exchange	Limited		Font Size A A	A EN %
н	ome Admin							Logout
Velo	come Tai Man Chan 11/	04/2019 16:01						
	of Appointed Agents							
List	of Appointed Agents Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type	
	of Appointed Agents		Start Time 11/04/2019 00:00	End Time 11/04/2019 23:59	No. of Submissions	Status Active	Appointment Type Submission & Appr	

Figure 4.32 Appointment of Agents page – Acknowledgement message

4.5 Appointment of Approvers

Authorised Person of listed issuers and agents can exercise control over the approval of document submissions of each approver according to its own internal control procedures of your company by enabling the Appointment of Approvers function. You can set criteria to control approvals to be made by your appointed approvers, either by the number of approvals or a time range or both.

The default setting is <u>disabled</u> (meaning that every approver can approve document submissions without restrictions). Authorised Person should practically consider to decide "Enable" or "Disable" this function according to its own internal control procedure. If this function has been enabled, there would be a need to maintain the appointment list on a continuing basis.

4.5.1 Enable Appointment of Approvers function

To enable this function:

1. Select **Appointment of Approvers** under **Admin** from Main Menu.



Figure 4.33 Appointment of Approvers menu

2. The *Appointment of Approvers* page will be displayed. It is set to be Disabled by default. Click the ENABLE radio option button to enable appointment of approvers.

世代的なな	e-Submission System The Stock Excharge of Hong Kong Linited (A wholly-earned subsidiary of Hong Kong Excharges and Clearing Linited)	Font Size A A EN 11
Home Admin		Logout
Welcome Tai Man Chan 21/05/2019 11:46		
Appointment of Approvers		
Notes:		
By clicking "Enable" - Authorized Persons can specify a	tme period and/or a maximum number of submissions for each Approver in its own company to approve submissions.	
By clicking 'Disable" - No restrictions are imposed on su	trnission approvals by the Approvers in its own company:	
The default setting is set as "Disable".		
Appointment of Approvers CEnable	#Disable	

Figure 4.34 Appointment of Approvers page

3. The Confirmation dialog box will be prompted. Click CONFIRM to enable.

Confirmation		×
Are you sure to ena Approvers''?	ble the "App	ointment of
	Confirm	Cancel

Figure 4.35 Enable the Appointment of Approvers – Confirmation

4. After the **Appointment of Approvers** function has been enabled, you need to appoint at least one approver to ensure a smooth submission process. For detail, refer to Section 4.5.2 to appoint an approver.

NOTE:

- After the Appointment of Approvers function has been enabled, only the approver with "Active" appointment can approve submission for publication, correction of headline categories of a published document and submission for AP/PHIP.
- Email notification will be sent to Authorised Person and/or Approver of Publication Related Matter user reminding the expiry of the appointment according to the following scenarios:
 - Email notification will be sent to Authorised Person(s) and appointed approver on the <u>7 business days</u> before the appointment will expire; and

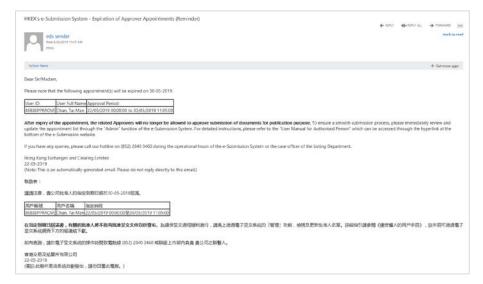


Figure 4.36 Expiration of Approver appointments(reminder)

- Email notification will be sent to Authorised Person(s) and appointed approver on the expiration day of the appointment; and

HKEX's e-Submission System – Expiration of Approver appointments (Today)		
	♣ REPLY ♣ REPLY ♣ REPLY ALL	-> FORWARD
eds sender		mark as a
Tue 5/21/2015 3/21 PM		
2008		
Action Barns		+ Get more app
Dear Sir/Madam,		
Please note that the following appointment(s) will be expired today (21-05-2019).		
Prease note that the ronowing appointment(s) will be expired today (22-03-2023).		
User ID User Full Name Approval Period:		
88888PAPPROV Chan, Tai Man 21/05/2019 00:00:00 to 21/05/2019 23:59:00		
accessed through the hyperlink at the bottom of the e-Submission website. If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System Hong Kong Exchanges and Clearing Limited 21-05-2019 Note: This is an automatically generated email. Please do not reply directly to this email.)	n or the case officer of the Listing Department.	
(1) (1) (1) (1) (1) (1) (1) (1) (1) (1)		
遂請主章,貴公司批准人的指定到期日將於今天21-05-2019圓滿。		
用戶帳號 用戶名編 描定時段		
88888PAPPROV Chan, Tai Man 21/05/2019 00:00:007721/05/2019 23:59:00		
在指定對關日因滿後,有關的都准人將不能再批准呈交文件以供發布。為確保呈交過程順利進行,請馬上透過電子呈交系統的 冊),該手冊可透過電子呈交系統網頁下方的超進站下載。	的「管理」功能,檢視及更新批准人名華。詳細指引請參閱《獲授權。	人的用戶手
如有查詢,講於電子星交系統的操作時間改電熱線 (852) 2840 3460 或聯絡上市部內負責 員公司之聯繫人。		
書港交易及結算所有限公司		
21-05-2019		

Figure 4.37 Expiration of Approver appointments(today)

- Email notification will be sent to Authorised Person(s) <u>on the next business day</u> when all appointments of the company have expired.

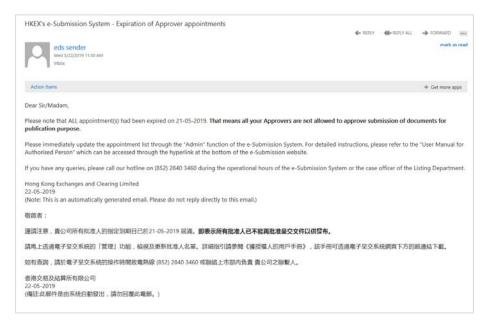


Figure 4.38 Expiration of Approver appointments

4.5.2 Appoint an Approver

1. Click CREATE at *Appointment of Approvers* page. The relevant input boxes will be displayed.

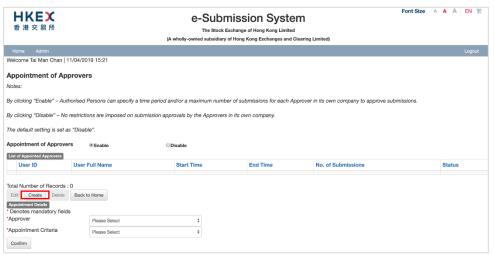


Figure 4.39 Appointment of Approvers page – Create new appointment

- 2. All Approvers will be listed in the pull-down menu. Select an *Approver* to be appointed.
- 3. Select Appointment Criteria to 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.

日KEX 雪港交易所	(A wholi)	The Stock Exchange	ion System of Hong Kong Limited Kong Exchanges and Clearing Limited)	Font Size	A A A EN S
Velcome Tai Man Chan 12/04	/2019 11:58				
Appointment of Appro-	vers				
lotes:					
The default setting is set as "Di	ictions are imposed on submission approvals sable".	oj 0.0.1 (kj. 0100000000000000000000000000000000000	. unique y		
	*Enable Disable				
		e Start Time	End Time	No. of Submissions	Status
List of Appointed Approvers User ID	User Full Name		End Time 11/04/2019 23 59	No. of Submissions	Status Expired
User ID S8888PAPPROV otal Number of Records : 1 Edit Create Detelle Ba Appointment Detallo	User Full Name Chan Tai Man	Start Time 11/04/2019 00:00			
User ID S8888PAPPROV otal Number of Records : 1 Eat Create Delete Ba Applotheme Definition Denotes mandatory fields Approver	User Full Name Chan Tai Man kk to Home	Start Time 11/04/2019 00:00	11/04/2019 23:59		
User ID B8888PAPPROV otal Number of Records : 1 Edit Create Delete Ba Acestimana Details Denotes mandatory fields Approver	User Full Name Chan Tai Man	Start Time 11/04/2019 00:00	11/04/2019 23:59		
Late of Appointed Approvens User ID S8888PAPPROV S8888PAPPROV otal Number of Records : 1 Eac Create Deside Ba Appointment DataBa Denotes mandatory fields Approven Appointment Criteria Start Time	User Full Name Chan Tai Man kk to Home	Start Time 11/04/2019 00:00	11/04/2019 23:59	1	
88888PAPPROV fotal Number of Records : 1	User Full Name Chan Tai Man ck to Home 66565RAPPROV Chan Tai Man Time Range & No. of Submissions	Start Time 11/04/2019 00:00	11.04/2019 23.59	1	

Figure 4.40 Appointment of Approvers page – Appointment Details

- 4. Depending on selected Appointment Criteria, input the appointment Start Time / End Time and/or No. of Submissions. Click CONFIRM.
- 5. After the appointment has been created successfully, an acknowledgement message will be displayed.

1 T	 K E X 港 交 易 所		The Stock Exchange	ion System of Hong Kong Limited Kong Exchanges and Clearing Limited)	Font Size	AA	A EN
Ha	ne Admin						Loge
Welco	ome Tai Man Chan 11/04/2019	15:21					
Up	dated successfully.						
By cli The c	cking "Disable" – No restriction lefault setting is set as "Disable"	s are imposed on submission a	d and/or a maximum number of sub approvals by the Approvers in its ow	111	in company to approve submissions.		
List o	Appointed Approvers						
	User ID	User Full Name	Start Time	End Time	No. of Submissions		Status
	88888PAPPROV	Chan Tai Man	11/04/2019 00:00	11/04/2019 23:59	2		Active
			<4 <	- 10 C			

Figure 4.41 Appointment of Approvers page – Acknowledgement

6. Click CREATE to appoint more approvers or click BACK TO HOME to return to the *User Home* page.

NOTE:

- The count of the *No. of Submission* in the appointment will be deducted by one on the following situation:-
 - Approved submission for publication; or
 - Approved submission for correction of headline categories; or
 - Approved submission for AP/PHIP (applicable for agent only).
- The Appointment Status will become "Expired" if its preset time range (i.e. End Time) has expired or the No. of Submission become zero. After expiry of the appointment, the related Approvers will no longer be allowed to approve submission of documents for publication purpose.
- Expired appointment will remain on the list for 30 days for record purpose.
- To ensure a smooth submission process, an up-to-date appointment list should be maintained on a continuing basis.
- Authorised Person should consider its own operational needs and internal control procedures when presetting the Appointment Criteria.

4.5.3 Edit an Appointment

You can only edit the active appointment. If the appointment has been expired, you have to create a new appointment for that approver (refer to Section 4.5.2 for details).

1. Select the appointment you wish to edit by checking the appropriate selection box and click EDIT at *Appointment of Approvers* page.

Homa Admin Velcome Tai Man Chan 11/04/2019 15: Appointment of Approvers	21				Logo
	21				
ppointment of Approvers					
otes:					
y clicking "Enable" – Authorised Person	se la la compañía de		100000000000	company to approve submissions.	
y clicking "Disable" – No restrictions are	e imposed on submission a	approvals by the Approvers in its own	n company.		
he default setting is set as "Disable".					
ppointment of Approvers	ble	Olisable			
List of Apputnied Approvers					
User ID	User Full Name	Start Time	End Time	No. of Submissions	Status
O BOT TO					

Figure 4.42 Appointment of Approvers page – List of appointments

2. Update the *Appointment Criteria*, *Start Time / End Time* and *No. of Submissions*, where appropriate. Then, click CONFIRM.

日本にある			tock Exchange of	On Syste Hong Kong Limited ng Exchanges and (1	Font Siz	e A	AA	EN 👷
Home Admin									Logout
Welcome Tai Man Chan 11/	04/2019 15:21								
Appointment of Appr	overs								
Notes:									
The default setting is set as Appointment of Approvers List of Appointed Approvers	®Enable	Disable	rovers in its own						
User ID	User Full Name	Start Time		End Time		No. of Submissions		S	Status
88888PAPPROV	Chan Tai Man	11/04/2019	00:00	11/04/201	9 23:59	2		A	Active
Appointment Details • Denotes mandatory fields • Approver	Back to Home 88888PAPPROV Chan Tal Man	\$	<< < 1	> >>					
*Appointment Criteria	Time Range & No. of Submissions	٠							
*Start Time	11/04/2019 00:00		End Time		11/04/2019 23:59				
*No. of Submissions	2								
Confirm									

Figure 4.43 Appointment of Approvers page – Edit appointment

3. If the appointment has been updated successfully, an acknowledgement message will be displayed. Click BACK TO HOME to return to the **User Home** page.

HKEX 意源文品所	e-Submission System The Block Exchange of Hong Kong Lanked IA wholly-served subliding of Hong Kong Exchanges and Chearing Liether(Fort Size	A .	
Hare Adres				Ligna
Melcome Tai Mari Chan 11/04/2019 15/21				
Limited a crambile				
Updated successfully				

Figure 4.44 Appointment of Approvers page – Acknowledgement message

4.5.4 Delete an Appointment

You can discontinue the appointment of your approver by deleting his/her appointment. After the appointment has been deleted successfully, the approver is no longer able to approve any submission.

1. Select the appointment you wish to delete by checking the appropriate selection box and click DELETE at *Appointment of Approvers* page.

1	 		The Stock Exchange	ion System of Hong Kong Limited Kong Exchanges and Clearing Limited)	Font Size	A A	
leico	me Tai Man Chan 11/04/20	019 15:21					
pp	ointment of Approve	rs					
lotes	:						
		Onenne ann seastàr a time nada	d another a minutes on an and or of a shift	missions for each Account in its sec	n company to approve submissions.		
- CH	xing Enable - Authonsed	Persons can specily a ame perior	a encror a maximum number or suc	enissions for each Approver in its ow	n company to approve submissions.		
r că	king "Disable" - No restrict	ions are imposed on submission a	approvals by the Approvers in its ow	m company.			
he d	efault setting is set as "Disal	ble".		0.000000			
	anne alla anne						
ppo	intment of Approvers	® Enable	Oisabie				
ppo	Intment of Approvers	* Enable					
ppo	intment of Approvers		©Disable Start Time	End Time	No. of Submissions		Status
ppo	Intment of Approvers	* Enable			No. of Submissions		Status Active
ppo	Intment of Approvers	® Enable User Full Name	Start Time	End Time			
	Accelled Assesses User ID 88888PAPPROV 88888PAPP	e Enable User Full Name Chan Tai Man	Start Time 11/04/2019 00:00	End Time 11/04/2019 23:59	2		Active
	Intment of Approvers Account Accounts User ID B8888PAPPROV	e Enable User Full Name Chan Tai Man	Start Time 11/04/2019 00:00	End Time 11/04/2019 23:59	2		Active

Figure 4.45 Appointment of Approvers page – Appointment list

2. The Confirmation dialog box will be prompted. Click CONFIRM to delete the appointment.

Confirmation	×
Are you sure to delete this record	?
Confirm	Cancel

Figure 4.46 Appointment of Approvers – Delete confirmation

3. If the appointment has been deleted successfully, an acknowledgement message will be displayed. Click BACK TO HOME to return to the **User Home** page.

日本にある		The Stock Exchange	ion System at Hong Kong Limited Kong Exchanges and Clearing Limited)	Font Size	A A A EN M
Home Admin					Logout
Welcome Tai Mari Chan 11	/04/2019 15:21				
Updated successfully.					
Appointment of App	rovers				
Notes:					
By clicking "Enable" – Autho	vised Persons can specify a time perio	d and/or a maximum number of sub	missions for each Approver in its ow	n company to approve submissions.	
By clicking "Disable" – No re	strictions are imposed on submission	pprovals by the Approvers in its ow	n company.		
The default setting is set as	"Disable"				
Appointment of Approvers	* Enable	Oisable			
List of Appointed Approvers User ID	User Full Name	Start Time	End Time	No. of Submissions	Status
B8888PAPPROV	Chan Tai Man	11/04/2019 00:00	11/04/2019 23:59	2	Active
			_		
Total Number of Records : 1		<< <	1 > >>		

Figure 4.47 Appointment of Approvers page – Acknowledgement message

4.6 Approve to Revoke a Security Token

When Security Officer revokes the assigned token of your company's user, a dialog box will be prompted for your approval:

Verification		×
* Name of Authorised Person	Chan Tai Man	Chan Siu Man
User ID	88888XPAP	
* User Password		
* One-Time Passcode (OTP)	One-Time Passcode (OTP)	Request One-Time Password
		Confirm Cancel

Figure 4.48 Approval of token revocation

1. Input your User Password and One-Time Passcode (OTP) generated from your assigned token for approval. Click CONFIRM.

NOTE:

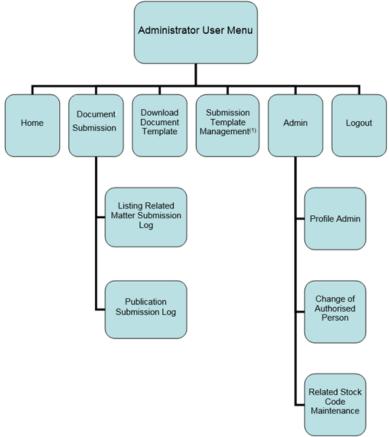
- You will only use the REQUEST ONE-TIME PASSWORD button as a back-up channel when you cannot retrieve OTP from the assigned token. Enter your User Password, then clicks REQUEST ONE-TIME PASSWORD button. An OTP will be sent to your registered mobile number via SMS. Enter the OTP in the One-Time Passcode field.
- For details of Security Officer to revoke an assigned security token, please refer to Section 6.3 "Token Management".

5 For Administrator

This section only covers functions unique to the Administrator. For the procedures of download document template, please refer to the Section 5 of User Manual for Listing Related Matters.

5.1 User Menu for Administrator

The Administrator user menu is subdivided into the following categories:



NOTE:

(1) Applicable to Structured Product Issuers only.



Figure 5.1 Administrator User Menu

5.2 **Profile Admin**

Under Profile Admin, you can maintain your company's profile and view your company's user profile list.

5.2.1 Maintain Company's Profile

1. Select **Profile Admin** under **Admin** from Main Menu.

日ドビズ 香港交易所	(A wholi)	e-Submission S The Stock Exchange of Hong Kon -cowned subsidiary of Hong Kong Exchan	g Limited	Font Size	AAA EN 繁
Home Document Submiss		Admin			
Welcome Administrator	29/10/2019 18:02	Profile Admin			
		Change of Authorised Person			
		Related Stock Code List Maintenance			
			Profile Admin		

Figure 5.2 Profile Admin menu

2. The *Company Details* page will be displayed. Click AMEND COMPANY PROFILE.

日KEX 香港交易所	T	Submission Syste The Stock Exchange of Hong Kong Limite subsidiary of Hong Kong Exchanges and	ed	Size	Α	A	A E	EN 繁
Home Document Submissio	n Download Document Template Admin						L	.ogout
Welcome Administrator	29/10/2019 18:06							
Company Profile								
Company Details				_				
Company Code	LM88888	Company Type	Debt Securities Issuers					
Company Name (English)	XYZ Company Limited							
Company Name (Chinese)				1				
Company Website				1				
Address (English)	10/F-12/F,	Address (Chinese)	香港					
	One International Financial Centre,		國際金融中心					
	1 Harbour View Street		第一期10樓					
	Central HK		上市科					
Fax No.	N/A							
Amend Company Profile User	List My Profile Back to Home							

Figure 5.3 Company Details page

3. The fields Company Name, Company Website, Address, and Fax No. can be amended as required. Others are for reference only. Click SAVE after you have finished updating your profile.

Home Document Submis		ed subsidiary of Hong Kong Exchang	es and Clearing Limited)	Logo
Welcome Administrator	29/10/2019 18.11			Lugi
Company Profile	- Edit			
Company Details				
Company Code	LM88888	Company Type	Debt Securities Issuers	
Company Name (English) Company Name (Chinese)	XYZ Company Limited		×	<
Company Website				
Address (English)	10/F-12/F,	Address (Chinese)	5 H	
	One International Financial Centre,		國際金融中心	
	1 Harbour View Street		然 —1610被	
	Central HK		上市料	
	N/A			

Figure 5.4 Amend Company Profile

- 4. If the company profile has been updated successfully, an acknowledgement message will be displayed.
- 5. Select HOME in the Main Menu to return to the **User Home** page.

Note:

Under the Listing Rules, every listed issuer must have its own website for publication
of regulatory filings. Listed issuers should fill in the *Company Website* field with the
hyperlink which should direct investors to the regulatory filings, and not the home
page of its company's website. The Exchange uses this information to update a list
of company's website addresses on the HKEXnews website.

5.2.2 View User Profile List

- 1. Select **Profile Admin** under **Admin** from Main Menu.
- 2. The *Company Details* page will be displayed.
- 3. Click USER LIST. The **User Profile List** page will be displayed.

HKEX		e-Submission S The Back Escharge of Nong K (A wholly-served substituty of Nong Kong Esch	ang Limited		Fort Size	• • •	IN
Ricome Ta Man Chan I 11/04/2	Constant Despress Temples 1 2019 12:47						- Les
Company Details							
Company Code	Lonsess	Company Type	Mart Bluerd Issuer				
Company Name	XYZ Group Ltd.						
lser Profile List ter 10	User Name		Search				
User ID	User Full Name	User Type	Status	Access to DI Data		Locked	
MCAABBBB	Chen Tai Man	Administrator	Active	No		No	
essecont	Chan Tai Man	Di User	Active	Yes		No	
INBUSIES INFORMED	Chan Tai Man	Listing Related Matters User	Active	No		No	
M8888550R	Chan Tai Man	Security Officer	Active	No		No	
assaurp	Chan Tai Man	Primary Authorised Person	Active	Yes		No	
Total Number of Records : 5 Back to Home		44 4 1 8 44					

Figure 5.5 User Profile List page

- 4. You may enter *User ID* and/ or *User Name* and click SEARCH to search for a specific user. Users who matched with the specified criteria will be listed.
- 5. Click BACK TO HOME to return to **User Home** page.

5.3 Change of Authorised Person

Administrator can submit the request to HKEX for a change of Primary or Secondary Authorised Person and add or remove the Secondary Authorised Person.

5.3.1 Change of Authorised Person or Add a Secondary Authorised Person

1. Select Change of Authorised Person under Admin from Main Menu.

	く E) 交易所	(A who	e-Submission System The Stock Exchange of Hong Kong Limited Hy-owned subsidiary of Hong Kong Exchanges and Clear		EN 📰
Home Welcome	Document Submission Administrator 29/10/2	Download Document Template 0019 18:17	Admin Prolie Admin Change of Authorised Person Reluted Stock Code Liel Multiferance	Change of Authorised Person	Logout

Figure 5.6 Change of Authorised Person menu

2. The *Change of Authorised Person* page will be displayed.

日KEX 香港交易所		The Stock I	Exchange	ion System of Hong Kong Limited Kong Exchanges and Clearing Lim	Font Size A A A EN
Home Document Submission		cument Template Admin	of Hong	Kong Exchanges and Charing En	Logo
Icome Administrator for PMI [:	29/10/2019 18	18			
User Profile - C	hange o	f Authorised Persor	١		
Company Details					
Company Code	LM7444Z			Company Type	Debt Securities issuers
Company Name	Internal Ac	ministrator for Disclaimer			
Request For					
Request For	Please Se	lect	~		
User Details					
User Type	Please Se	lect	~		
"User Name 1	USER NA	ИЕ		User ID	
*Family Name (English)	Family Na	ne (English)		*Given Name (English)	Given Name (English)
*Salutation	Please Se	lect	*	*Position	Pasition
*Phone No.	Phone No.				
Corresponding Address (if Correspondence				Companyation	
Address (English)	English Add	Vess line T		Correspondence Address (Chinese)	Chinese Address line 1
	English Add	Setta line 2			Chinese Address line 2
	English Add	Sreijs Time 3			Chinese Address line 3
	English Add	Iress line 4			Chinese Address line 4
"Mobile No. 2	Country Code	Area Code (if any) + Mobile No.			
	852	91234567			
*Email	Email				
*Access to DI Data 3	OYes	ONo			
¹ The User Name will form pa	ut of the User I	D and only accept 2-6 alpha-numeri	ic charac	ters.	
² Mobile No. will be used to re Macau.	eceive One-Tin	e Password via SMS. For overseas	i mobile i	number, please enter the count	ry code and area code (if any). E.g. 86 for China, 853 fo
³ Access to view and downlot	ad Disclosure o	f Interests ("DI") notices filed with th	ie Excha	nge concerning on its own com	pany. (Applicable to listed issuers only)
ile(s) Upload	Add Fil	e(s)			
le Description		Upl	loaded F	ile(s) List	
ersonal data collected through sclosed in the use of this appli	the e-Submise ication consent	ion System will not be used for dire to the processing of their personal	ct marke data in a	ting purposes. By clicking on Si ccordance with the HKEX Priva	ubmit, I confirm that the individual(s) whose personal dated we Policy.
Submit Cancel					

Figure 5.7 Change of Authorised Person page

- 3. Select the *Request For* "Change of Primary Authorised Person" or "Change of Secondary Authorised Person" or "Add Secondary Authorised Person" as appropriate.
- 4. Enter the new Authorised Person's details, including *User Name*, *Contact Information* etc. The User ID of the new Authorised Person will be displayed after you have inputted the User Name.

User Profile - Change of Authorised Person						
Company Details						
Company Code	LM88888	Company Type	Debt Securities Issuers			
Company Name	XYZ Company Limited					
Request For						
Request For	Change of Primary Authorised Person	•				
User Details						
User Type	Primary Authorised Person	1				
*User Name 1	CHAN	User ID	88888XCHAN			

Figure 5.8 Change of Authorised Person – Change or Add Authorised Person

- Click ADD FILES to upload the supporting document(s). Repeat until all file(s) are uploaded. Enter the *File Description* for each uploaded file. You may upload up to 5 supporting files (in PDF, TIFF, JPG or DOCX format) (such as board resolutions). The file size of each supporting file should not exceed 10MB.
- 6. Review the submission details. Click SUBMIT.
- 7. A Confirmation dialog box will be prompted. Click CONFIRM to submit the request.

Confirmation		×
Please review the i Confirm to submit.	information a	nd click
	Confirm	Cancel

Figure 5.9 Change of Authorised Person page – Confirmation

8. If the request has been submitted successfully, an acknowledgement message will be displayed.

HKEX	e-Submission System The facts Estimate of Hong Kong Linited (A wholly-owned adaption of Hong Kong Estimates and Clearing Linited)	Fort Size + A A DV 12
Welcome Tai Man Chan 11/04/2018 12:47	(Anna)	Logod
Your request has been submitted subservaluely		

Figure 5.10 Change of Authorised Person – Acknowledgement

9. Select HOME in the Main Menu to return to the *User Home* page.

NOTE:

• After successful submission, an email notification will be sent to the Administrator.

HKEX e-Submission System - Change of Primary Authorised Person Request Acknowledgement	← REPLY	 R EPLY ALL	→ FORWARD
eds sender Tue \$/21/2019 3:56 PM Inbox			mark as read
Dear Sir/Madam,			
This is to inform you that the following request has been received.			
Company Name: ABC Company Limited Request: Change of Primary Authorised Person			
If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System	or the case	officer of the L	isting Department.
Hong Kong Exchanges and Clearing Limited 21-05-2019 (Note: This is an automatically generated email. Please do not reply directly to this email.)			
敬政者:			
茲通知關下,以下的申請已經收到·			
公司名稱: ABC Company Limited 申請: 更改主要獲授權人			
如有查詢,請於電子呈交系統的操作時間致電熱線 (852) 2840 3460 或聯絡上市部內負責 貴公司之聯繫人。			
香港交易及結算所有限公司 21-05-2019 (備註:此部件是由系統自動發出,請勿回覆此電部·)			

Figure 5.11 Sample Email - Change of Authorised Person Request Acknowledgement

 If the change of Authorised Person has been approved, an email notification will be sent to the Administrator and the New Authorised Person. You may also find the User ID of the new Authorised Person in the email notification. The previous Authorised Person will be removed from the User Profile List. The new Authorised Person can proceed to setup his/her security token on the first-time login to the ESS (refer to Section 2.1 "First-time login to e-Submission System").

HKEX e-Submission System - Request for Change of Primary Authorised Person has been processed	← REPLY	 R EPLY ALL	→ FORWARD	***
eds sender Tus 5/21/2019 400 PM Index			mark	as read
Dear Sir/Madam,				
This is to inform you that the following request has been processed.				
Company Name: ABC Company Limited Request: Change of Primary Authorised Person User II: of New Authorised Person: 888807AP3 Name of related Authorised Person: Chan Tai Man				
If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System or the case	officer of th	ne Listing Depa	rtment.	
Hong Kong Exchanges and Clearing Limited 21-05-2019				
(Note: This is an automatically generated email. Please do not reply directly to this email.)				
敬政者: 茲通如關下,以下89申請已經完成。				
公司名稱 ABC Company Limited 申請				
如有查詢,講於電子呈交系統的提作時間致電熱線(852)28403460或關絡上市部內負責 貴公司之聯繫人。				
香港交易及結算所有限公司 21-05-2019				
(構註此部件是由系統自動發出,請勿回覆此電郵)				

Figure 5.12 Sample Email – Request for change of Authorised Person processed

5.3.2 Remove Secondary Authorised Person

- 1. Select Change of Authorised Person under Admin from Main Menu.
- 2. The *Change of Authorised Person* page will be displayed.
- 3. Select the Request For "Remove Secondary Authorised Person".
- 4. The details of the Secondary Authorised Person will be displayed for reference. Click ADD FILES to upload the supporting document(s). Enter the File Description for each uploaded file, such as board resolutions. Click SUBMIT.

With any Name Second parter word [Distriction 11:15] User Profile - Change of Authorised Person Company Datalis Ourspany Datalis Ourspany Rame Company Type Rever Benchark halong Oneuv Ferrest Eor Rever Benchark halong Company The mental halong Company Vaer O Second parter Vaer O Second parter ''Aany Name (English) Second parter ''Deplich Address Ins 1 Second parter ''Deplich Address Ins 1 Second parter ''Deplich Address Ins 2 Oreme Address Int 1 <th>Font Size A A A EN</th>	Font Size A A A EN
User Profile - Change of Authorised Person Company Deals Company Topic Markaman Company Topic Markaman Company Topic Markaman Company Topic Markama Company Topic Markaman Company	Log
Company Details Company Type Main Basing Company Company Type Main Basing Company Company Type Main Basing Company Processor Immendeend Basing Company Company Type Main Basing Company Processor Immendeend Basing Company Company Type Main Basing Company User Type Societary Automation Provide Valer Type Societary Automation Provide Valer Type Societary Automation Provide "Standary Automation Company Automation Provide "Societary "Standary Automation Company Automation Provide Company Company "Standary Automation Company Automation Provide Company Company "Standary Automation Company Automation Provide Pr	
Company Topic Materia Baser Company Topic Materia Baser Company Topic Materia Baser Company Topic Materia Baser	
Company Name Immendia Tacking Company Regulards For Immendia Tacking Company User Type Secondary Automate Presson User Type Secondary Automate Presson "Salesting Tope Salesting Tope	
Company Name Immunities Instructioner Schweinersen Rescureds F. Grift Impunet Print Impunet Schweinersen Aufbrankt Present User Det Details Impunet Schweinersen Aufbrankt Present User Top Impunet Schweinersen Aufbrankt Present User Top Impunet Schweinersen Aufbrankt Present Schwein Name (Engelen) Top "Standbrin Impunet Schwein Present Standbrin Impunet Schwein Present Standbrin Er (1) Standbrin Er (1)	
Percental E Or Higgand Par Liter Type Secondary Automate Person User To User Type "Same Secondary Automate Person "Secondary Automate Person "Secondary Automate Person "Secondary Automate Person Correspondence Automate Person Correspondence Automate Person (English Automate Person Correspondence Automate Person Correspondence Automate Person "Station Inte 2 English Automate Inte 2 Correspondence Automate Person Correspondence Automate Person Correspondence Automate Person "Station Inte Automate Inte 2 English Automate Inte 2 Correspondence Automate Person Correspondence Automate Inte 2 Correspondence Automate Inte 2 Correspondence Automate Inte 2 Correspondence Automate Automate Inte 2 Correspo	
Register Fair Review Reviewitary Authorsaus Presson User Detailis Scondary Authorsaus Presson User To Scondary Authorsaus Presson "Games Reviewitary Authorsaus Presson "Games Reviewitary Authorsaus Presson "Games Reviewitary Authorsaus Presson "Games Reviewitary Authorsaus Presson "Games Reviewitary Automassing "Games Reviewitary Automassing Testant "Games Reviewitary Automassing Consequences Dimeter Presson Dimeter Presson "Option Automassing of Automassing Forders Into Company Automassing Dimeter Presson Dimeter Presson Option Automassing Into Testant "Option Automassing Into Testant Into Company Automassing Into Testant IntoTestant Into Testant	
User Type Secondary Alternation Princio User Type Secondary Alternation Princio "Santa Yanne (English) Secondary Alternation Princio "Santa Yanne (English) Tous Princip "Santa Yanne (English) Secondary Alternation Princip "Shore Name (English) Tous Princip "Shore Name Secondary Alternation Princip Secondary Alternation Princip Secondary Alternation Princip "Shore Name Secondary Alternation Princip "Shore Name Secondary Princip Secondary Alternation Princip Secondary Princip "Shore Name Secondary Princip Secondary Princip Secondary Princip Secondary Prin	
Liter Type Executery Attenues Presso User To 644304/2 "Family Name (English) Code "Status Name (English) Tas Sam Consequentions Address (English Name Nin) Consequentions Address Nin 1 Consequentions Name (English) Consequentions Name (English) English Address Nin 1 Address (English) English Address Nin 1 Consequentions Name (English) English Address Nin 1 Address (English) English Address Nin 1 Consequentions Name (E	
Unter O Link of Company 1° aniny Name (English) Come "Given Name (English) Tak Mari 1° aniny Name (English) Come "Postion Deschr 1° door Name (English) Sad 2000 "Postion Deschr 1° door Name (English) Comespondence Deschr Comespondence Comespondence English Name In 1 Comespondence Comespondence Address (English) English Address In 1 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence English Address In 2 English Address In 2 Comespondence Comespondence	
Varianty Name (Engling) Varianty Name (Engling) Varianty Name (Engling) Varianty Name Varianty Name (Engling) So Varianty Name Varianty Name Varianty Name (Engling) Varianty Name Varianty Name Varianty Name (Engling) Varianty Name Consequence Name Consequence Name (Engling) Consequence Name Consequence Name Address (Engling) (Engling) Consequence Name Consequence Name Consequence Name (Engling) Consequence Name Consequence Name Address (Engling) (Engling) (Engling) Consequence Name (Engling) (Engling) (Engling) (Engling) (Engling) (Engling) (Engling) <	
**Added not **Added not Descion **Added not paid-adde Consequencies Conse	
"Phone No." Secure Compandence Address () deferred from Company Address) Company Address () Company Address () Expline Address () Address (Engline) Expline Address () Company Address () Company () Company () Company ()	
Correspondence Address (English) Consepondence Address (English) Triglien Adams tim 1 Consepondence Consepondence Consepondence Consepondence Address (Chinese) Consepondence C	
Consequences Address (Englan) Englan Address for 3 Englan Address for 4 Patients Address for 4 Centere Address f	
Address (Chinese) Foglan Adverse for 2 Foglan Adverse for 4 Fog	
English: Address tor 3 Critisms: Address tor 3 English: Address tor 4 Critisms: Address tor 4 "Address No.1" Contrast: Address tor 4 Contrast: Address tor 4 Contrast: Address tor 4	
Inspire/Address for 4 Centres Address Address for 4 Centres Addres	
"Mobile No. 1 Country Area Code (if any) + Mobile No. Code 212 (91234667	
Code (2017) - Here Code (2017) - Hone (14)	
802 9/234667	
"Email substruighter.com.tr	
"Access to DI Data ² "Yes No	
1 Mone has well be used to receive One-Time Password va SMS. For overseas moore number, prease enter the country code and area code (7 any), E.g. 86 for China, 853 for Macau	
² Access to vew and downoad Disclosure of Interests (*Dif) notices field with the Exchange concerning on its own company. (Applicable to listed issues only)	
File(s) Upload Add File(s)	
File Description Uploaded File(s) List	
Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Submit, I confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the HKEX Privicy Policy.	
Submit Cancel	

Figure 5.13 Change of Authorised Person page - Remove Secondary Authorised Person

5. A Confirmation dialog box will be prompted.

Confirmation		×
Please review the Confirm to submi		nd click
	Confirm	Cancel

Figure 5.14 Change of Authorised Person page - Confirmation

6. Click Confirm to submit the request.

7. If the request has been submitted successfully, an acknowledgement message will be displayed.



Figure 5.15 Change of Authorised Person – Acknowledgement

8. Select HOME in the Main Menu to return to the User Home page.

NOTE:

• After successful submission, an email notification will be sent to the Administrator.

ЗH	KEX e-Submission System - Remove Secondary Authorised Person Request Acknowledgement				
		E REPLY	REPLY ALL	-> FORWARD	5000
10	eds sender			mark	as read
- 8	eas senaer by 3//2019 k54 9M				
- 17	No and the second				
- 7					
D	ear Sir/Madam,				
т	is is to inform you that the following request has been received.				
0	ompany Name: XYZ Group Ltd.				
	equest: Remove Secondary Authorised Person				
lf	you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System or the	case officer	r of the Listing	Department.	
н	ong Kong Exchanges and Clearing Limited				
	7-05-2019				
05	lote: This is an automatically generated email. Please do not reply directly to this email.)				
-	(政者:				
-	通知關下,以下的申請已經收到一				
124					
	司名稿: XYZ Group Ltd. 請: 移除第二獲授權人				
	36-19-1450—2012年A				
- 01)有查詢,請於電子呈交系統的操作時間致電熱線 (852) 2840 3460 或聯絡上市部內負責 贵公司之聯繫人。				
	港交易及結算所有限公司				
	/-05-2019				
(1	\$ 註:此郵件是由系統自動發出,請勿回覆此電郵)				

Figure 5.16 Sample Email – Remove Secondary Authorised Person request acknowledgement

 After the request for removal of the Secondary Authorised Person has been approved, an email notification will be sent to the Administrator. The User account of the Secondary Authorised Person will be removed from the User Profile List.

HKEX e-Submission System – Request for removal of Secondary Authorised Person has been processed				
	← REPLY	€€ REPLY ALL	→ FORWARD	(aaa)
eds sender			mark	as read
Dis Serioei				
Index				
Dear Sir/Madam,				
This is to inform you that the following request has been processed.				
Company Name: XYZ Group Ltd. Request: Remove Secondary Authorised Person				
Request: Remove Secondary Authorised Person Name of the related Authorised Person: Chan Siu Man				
Name of the related Automised Person Chan Sid Man				
If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System or the	e case office	r of the Listing	Department.	
Hong Kong Exchanges and Clearing Limited				
07-05-2019				
(Note: This is an automatically generated email. Please do not reply directly to this email.)				
敬放者:				
茲通知關下,以下的申請已經完成				
公司名籍: XYZ Group Ltd.				
申請移除第三選授權人				
有關授權人士名稱: Chan Siu Man				
如有查詢,請於電子呈交系統的操作時間敗電熱線 (852) 2840 3460 或聯絡上市部內負責 贵公司之聯繫人。				
雷港交易及結算所有限公司				
07-05-2019 (備註:此幣件是由系統自動發出,請勿回覆此電影·)				
(1883年1月1日)11-1211年1月1日1日1日1日1日1日1日1日1日1日1日1日1日1日1日1日1日1				

Figure 5.17 Sample Email – Request for removal of Secondary Authorised Person processed

5.4 Maintain Related Stock Code

The "Related Stock Code List" is a list of stock codes maintained by listed issuers in ESS for their related listed issuers and listed securities. It is used for validating the stock codes entered into the "Stock Code of Related Issuer(s)" field in each submission. For the avoidance of doubt, the "Related Stock Code List" will not be applicable to debt issuers and structured product issuers.

To maintain the related stock code list:

1. Select **Related Stock Code List Maintenance** under **Admin** from Main Menu.

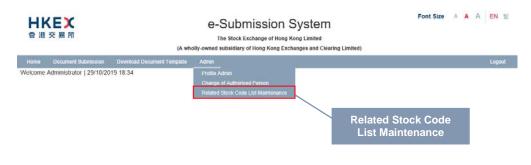


Figure 5.18 Related Stock Code List Maintenance menu

2. The *Related Stock Code Maintenance* page will be displayed. The related stock code list will be displayed in the list in ascending order of stock code.

	XEX 2 8 M		-Submission System The Back Esthange of Rong Kang Limited at adaptivey of Hung Kang Esthanges and Charitog Limited	Fort Size + A A UN 1
	Tai Man Chan (11/04/2018 12:47	Descriet Terrore Advent		Logist
	ited Stock Code Main	tenance	Соптрану Турн	Mark Bland Islam
	ny Nama	XYZ Droge LM		
Compar	Name	XYZ Group LM		
Compar		XYZ Group LM		
Corpe	Sach to Harris	XVZ Group LM.	Stock Name	

Figure 5.19 Related Stock Code Maintenance page

5.4.1 Add a Related Stock Code

1. Click ADD at the *Related Stock Code Maintenance* page. The Related Stock Code input box will be displayed.

HKEX		Submission System The Block Escharge of Hong Kang Limbed Indestivy of Hong Kang Escharges and Charteg Limbed	Font Size A A A EN 1
Welcome Tai Man Chan 11/04/2019 12			laged
Related Stock Code M	aintenance		
Company Code	LMORADO	Company Type	Main Board Innar
Company Name	XVZ Geogr Ltd.		
Alt Back to Hone Back to Hone Back Code Back Name Cenotes mandatory fields Base			
Block Code a		Stock Name	

Figure 5.20 Related Stock Code List Maintenance menu

- 2. Enter the *Stock Code* and its stock short name will be displayed for reference. Click SAVE.
- 3. If the related stock code has been added successfully, an acknowledgement message will be displayed.

HKEX		Submission System to their Entering of Nong Kang Limber adaptory of Nong Kang Enterings and Country Limbert	Font Size A A A EN 1
Welcome Tai Mari Chan 11/04/2018 1			Loged
Saved successfully.			
Related Stock Code M	laintenance		
	laintenance	Company Type	Main Board Issuer
Company Code		Company Type	And Bard Inner
Related Stock Code M Company Code Company Name Ad2 Back to Hume	Linearen	Company Type	Anin Board Smart
Company Code Company Name	Linearen	Company Type	Alan Board Issuer

Figure 5.21 Related Stock Code List Maintenance - Acknowledgement

4. Click BACK TO HOME to return to the **User Home** page.

NOTE:

• If the related stock code is not a valid stock code, an error message will be displayed.

##XEX	e-Submission System The lace Echange of hong Kang Limited (A whole-owned substituty of Hong Kang Ecchanges and Clearing Limited)	Fort Size	*	A	EN	20
Necone Tal Man Chan 11/04/2018 12:47	April	_			Uy	est.
Invaliet Related Stock Cook.						

Figure 5.22 Related Stock Code List Maintenance - Error

5.4.2 Remove a Related Stock Code

1. At the *Related Stock Code Maintenance* page, click REMOVE next to the stock code you wish to remove.

B # 2 B #		e-Submission System The Back Entergy of Party Kang Limited Andy-sevent administry of Party King Encloses and Chartry Limited	Fort Day A A A EN 11
Welcome Tai Man Chan I 11/04/2	Constant Descrives Terrolans (Advect	6	Laport
Related Stock Code M			
Company Code	Committee .	Company Type	Ware Road Insure
Conpany Name	872-Orospi 148		
All Book to these			
s Stock Code a		Stock Name	
1 80000		ABC Congeny	(Salaria)

Figure 5.23 Related Stock Code List Maintenance - Remove a related stock

2. A Confirmation dialog box will be prompted. Click CONFIRM to remove.

Confirmation		×
Are you sure to del	ete this recor	d?
	Confirm	Cancel

Figure 5.24 Related Stock Code List Maintenance - Confirmation

3. If the related stock code has been deleted successfully, an acknowledgement message will be displayed.

HKEX	100000	Submission System he back forbarys of Nong Kang Landed adentary of Nong Kang Endange and Charles Landed	Fort Size A A A EN 12
nes Incretherase (net			Logent
Welcome Tai Man Chan 11/04/2019 12	:47		
Rend successfully			
Related Stock Code Main	Itenance		
	tenance	Company Type	Man Board Inser
Company Code		Company Type	Mat Bard mart
Company Clote	LABORE .	Company Type	Algor Reard Secure
Related Stock Code Main Company Code Company Name And Biox to Name	LABORE .	Company Type	Algo Road Search
Company Gode Company Name	LABORE .	Company Type	Algo Road Search

Figure 5.25 Related Stock Code List Maintenance - Acknowledgement

4. Click BACK TO HOME to return to the **User Home** page.

5.5 Document Submission

Administrator can view the submission log of both Listing Related Matter and Publication Related Matter of the company.

5.5.1 View Listing Related Matter Submission Log

The Administrator can view the submission log in the last 365 days submitted by:-

- users of your company, regardless of whether they have been submitted on behalf of your own company or other companies; and
- users of other companies on behalf of your company.

To view the Listing Related Matter Submission Log:

1. Select Listing Related Matter Submission Log under Document Submission from Main Menu.



Figure 5.26 Listing Related Matter Submission Log Menu

2. The Document Submission Log page will be displayed. You can use different criteria (by *Subject Company Code, Case Number* and *Submission Date Range*) to filter the document submission log and click RETRIEVE. Search results matched with the criteria will be listed in descending order by submission date/time.

HKE 香港交易		The St	bmission System ock Exchange of Hong Kong Limited lary of Hong Kong Exchanges and Ch	n	Font Size A A A EN 💥
		oad Document Template Admin			Logout
Welcome Admi	nistrator 31/10/2019 12.30				
Documer	nt Submission L	pq			
Subject Comp		0	Case No.		
Submission D	ate From		То		
31/10/2018			31/10/2019		
Retrieve					
Submission Histo	9				
				Uploaded Documents	
Case Type	Subject Company	Submitted By (Company)	Submitted By (Person)		Date/Time Submitted

Figure 5.27 View Document Submission Log

3. Select HOME in the Main Menu to return to the *User Home* page.

5.5.2 View Publication Submission Log

An Administrator can view the submission history of Publication Related Matter, including the submission which is:-

- submitted/approved by the company user; or
- submitted/approved by the authorised agent on behalf of your company.

To view the Publication Submission Log:

1. Select **Publication Submission Log** under **Document Submission** from Main Menu.

	く E ズ 交 易 所	(A whol	e-Submission System The Stock Exchange of Hong Kong Limited y-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size	A	A	A	EN	籔
Home	Document Submission	Download Document Template	Admin					Logo	ut
Welcome	Listing Related Matter Su Publication Submission L								
			Publication Submission Log						

Figure 5.28 Publication Submission Log Menu

2. The Publication Submission Log for the last 7 days will be listed by default. You can use different criteria (*Submission Type*, *Submission Number*, Stock Code of Issuer, Case Number, Tier 1 Headline and *Last Modified Date Range*) to filter the document submission log and then click SEARCH. Search results matched with the criteria will be listed in descending order by submission date/time, and then by ascending order of status will be listed.

HK					The	ubmission here forbangs of here entry of here Kong fo				Fort Siz	A A A EN
-	tores barrans	Counting	lassreet for	una jap	10				_	_	Logo
Submi	ission Hist	ory									
Submissio	п Туре			i.			1				
Submissio	n Number					51	nus.		1	w	
Stock Cod							se No.				
jappicable	for Submission fo	r Publication o	051				plicable for Submission of & PHIP only(for Applicatio	•		
Tier 1 Heat	dine			8							
Last Modif	led Date From (DD	MM/YYYYY)		6-040018		10		11.0	40218		
Seath.											
Education 1	Hillory										
Stock Code of Issuer / Case No.	Tier 1 Headline / Document 7pps	Submission Number	Status	Date/Time Submitted	Submitted By	Approved Tajecter Date Tane	Approved/Rejected By	Correction of Headline Categories Date Time	of	Approved/Rejected Correction of Headline Categories Date Time	Approved/Rejected Correction of Headline Categories By
80655	Financial Statements/ESG Information	PRM- 190411- 00017	Approved	11/04/2019 15:39:16	BBBBBPSUBMT	11/04/2019 15:39:1	8 88888PAPPROV	S		-	
Total Num	ber of Records : 1					44 (4)	1.64				

Figure 5.29 View Publication Submission Log

3. Select HOME in the Main Menu to return to the *User Home* page.

5.6 Submission Template Management (applicable to Structured Products issuers only)

Administrator of Structured Product Issuers can create up to 12 submission templates.

To view the list of submission templates:

1. Select Submission Template Management from Main Menu.

HKEX ##XEM	The Block Excite	ssion System ny of Hong Kong Linded ng Kong Exclusion and Charling Linded	Fort Size A A A EN S
Vecome Tel Man Chan 21/06/2019 12:27	Lumaar Ingide Heapmer	Submission Template Management	, Lapor

Figure 5.30 Submission Template Management menu

2. The **Submission Template Management** page will be displayed. The Issuer Name template is listed at the top of the template list; other submission templates are listed in ascending order of the template name.

	(EX 2, 第月		The Block Each	ssion System area at Hong Kang Limbed ang Kang Embarges and Clearing Limbed	Fort Size A A A DN
	Tai Man Chan 21/05	2019 12:27	Bulanisasin Tangkala Managainent	~~~	
Subm	ission Templa	te Management			
		ie management			
				Last Update Date/Trive	
	18578-20178			Last Update Date/Tane 11/04/2019 15 01 44	

Figure 5.31 Submission Template Management page

5.6.1 Edit Issuer Name

The Issuer Name is used for auto-generated titles in Publication Related Matter submission, refer to Section 5.1 of User Manual for Publication Related Matters for further details. To edit the Issuer Name template:

1. On the *Submission Template Management* page, select the template name is "Issuer Name". Click EDIT.

	XEX R B R	The Block Exche	ssion System ny of Nong Kang (Jantad ng Kang Banharges and Caseing (Jantad	Fort Size A A A EN 12
Weicom	Tai Max Chan I 21/05/2019 12:27	Ruberinsson Templaka Managament	N0	Logari
Subr	nission Template Management			
	Template Name		Last Update Date/Time	
æ. –	fasuer Name		11/04/2019 15:01:44	
12	Submosion Template		12/04/2019 17:09:31	
	etier of Records 2 Edit Deletier Cancel	[W]4	a 10	

Figure 5.32 Submission Template Management page – Select Issuer Name

2. The *Issuer Name Template* page will be displayed. Update the *English Issuer* Name and Chinese Issuer Name where appropriate. Click SAVE.

##R##		The Block Exche	ssion System nya at Hong Kong Limbad ng Kong Eschanges and Clearing Limbad	Fort Size		N TO
Vecome Tai Man Chan I 21/05 Submission Template	2019 12:27	Nuteriaanen Tarryaala Mariagameert Varme	Adma			-
English Issuer Name	ARC Drive Ltd. (RM)					
Chinese Issuer Name	#2548					
Not face						

Figure 5.33 Issuer Name Template page – Edit Issuer Name

NOTE:

- Update in the English and Chinese Issuer Name will not update the company name in the company profile.
- 3. If the Issuer Name template has been updated successfully, an acknowledgement message will be displayed on page will be displayed.

HKEX ^{世港交面用}	e-Submission System The Black Exclusion of Hong King Linking (A wholly-connect substitivey of Hong King Exclusions and Elearing Linking	Fact Size A A A EN 3
Welcome Tai Man Chan I 21/05/2	Downland Decument Sergness Submission Template Management Admin 219 12:27	Lagna
Babmasson lengtate has been up	detect successfully	

Figure 5.34 Submission Template Management page – Acknowledgement

4. Click OK to return to **User Home** page.

5.6.2 Create a Submission Template

1. At the **Submission Template Management** page, click NEW. A blank submission template will be displayed. Fill in the submission details, including the *Template Name*, *Contact Information*, *Headline Categories*, *Title*(s) etc. Click SAVE.

HKEX		e-Submission System The Back Escharge of Nong Kang Limited (4 which-several addedary of Nong Kang Escharges and Charles Limited)	Fort Size A A A EN 12
Weicome Tei Man Chan 121/		Relativestical Template Management Admin	Logar
	e Management - Create	/ Edit Template	
* Template Name			
Centaut Parson		Contact Humber	
The Lineadore	Internet States and States		
The 2 meeting		Ter 2 Headles - Available Service	
Bales Lango Document - CBIO Delly Trading Resent - CBIO Copy: Announcement - CBIO Laurith Announcement - CBIO Laurith Announcement - CBIO Laurith (Provided Service - C Marting Decision Exert - CBI Announcement - CBI	MC	.A6	
		That 2 meadline - Delected Nem(s)	
			<u></u>
Engran Title Chinese Title			
By closing on Save I confirm that the	a indvistal(s) vitina personal data is d	account in my use of this application consent to the processing of their personnel data in accordince	e why the INCEX Privacy
		line laws	

Figure 5.35 Submission Template Management page – Create Template

2. If the submission template has been created successfully, an acknowledgement page will be displayed.

#KEX ##XB#		e-Submission The Back Estherage of Nor (A whole series adjustery of Norg Kong B	King Limbud	Fort Size A A A EN
		Submission Template Management Admin		Linger
Nelcome Tai Man Chan	121/05/2019 12:27			
Submission templatie has b	wen lastenet subcessfulls			
Submission Temp Dennes nandatory feits Dennes harre	plate Management - Create /	Edit Template		
Contect Person	Over Nation	Contact Number	_2022++++	
Ter 1 readine	Dath and Displayed Products			
Ter 2 Healthe	Last Annaisanan Child			
	Representations Descent (2002)			
English Title	Cogniti facual 1988			
Chinese Title	Colome Same New			

Figure 5.36 Submission Template Management page – Acknowledgement

5. Click OK to return to **Submission Template Management** page.

5.6.3 Edit a Submission Template

1. At the **Submission Template Management** page, select the template you wish to edit by checking the appropriate selection box. Click EDIT.

HKEX ##X##		e-Submission System The time Exchange of Imag King Limited (A wholly-served addestory of Hung King Exchanges and Charles Limited)	Font Size A A A EN 1
Vieicom	hi Mer Chen 12105/2019 12:27 ission Template Managemen	num Bulannunn Turglah Manganant Admin	Logard
	Template Name	Last Update Dete/Time	
12	Iterate Marrie	11.04/2015 15.01.44	
н.,	SubinizationTemplate	12/04/2019 17:29:31	
	ther of Records 2	Test to test	

Figure 5.37 Submission Template Management page – Template selection

The Submission Template Management – Edit Template page will be displayed.
 Update the details of the submission template where appropriate. Click SAVE.

HKEX		e-Submission The Stack Factures of Here 24 whethy served autoestary of Here Kong to	Kong Limbed	Fort Size	* *	A 1	EN
Testa Delored Science		Submission Template Management Advant				- 4	
Necome Tai Man Chan I :	21/06/2019 12:27						
Submission Templ	ate Management - Crea	ate / Edit Template					
Temptate Name	Thompsone i						
Contact Person	then to loan	Contact Number	22227900				
Tar 1 Headine	Dels and Studiest Prefum				•		
Tar 2 Healths		Tar I Headine - Available femotio					
Cataste Buildear Contract Additional Information - Ex Aquatiments Tommand Bere Lating Document - D Belge Antonioament - D Belge Antonioam	utir CBBC Contitures - CBBC SBC BC BC + CBBC						
		AM					
		Ter I has line - beacted family					
Land Americanus (10)	N						
Separate Listing Docum	wa-0380			~	. 100		
English Title	English Haves Title						
Chilese Title	Directal News New						
By skining on Save Lovinian th Policy	at the individual(s) white personal data	is disclosed in my use of this application Lement to the pro-	cessing of their periodic data in a	collerce with the refiz	C Privacy		

Figure 5.38 Submission Template Management page – Edit Template

- 3. If the submission template has been updated successfully, an acknowledgement page will be displayed.
- 4. Click OK to return to **Submission Template Management** page.

5.6.4 Delete a Submission Template

1. At the **Submission Template Management** page, select the template (except the Issuer Name template) you wish to delete by checking the appropriate selection box. Click DELETE.

A A EN 1	Port Size A	e-Submission System The Back Esthange of Nong King Linited It which remain admittery of Hing King Endanges and Charles Linited			KEX # 2 # #
Logent		Arm	Submission Template Management		me Tai Man Chan I 21/0
		Last Update Date/Time		• 0	Template Name
		11/04/2019 15:01:44			focurer Name
		12/04/2010 17:09/21		- child	SubmissionTamp
		1 () () () () () () () () () (Number of Records 2
		2 (F) (F)			Kumber of Records 2

Figure 5.39 Submission Template Management page – Template selection

2. A Confirmation dialog box will be prompted. Click CONFIRM to delete.

Confirmation		×
Do you want to cont	inue?	
l	Confirm	Cancel

Figure 5.40 Submission Template Management page – Delete Template

3. If the submission template has been deleted successfully, an acknowledgement message will be displayed.

	XEX x ##	e-Submission System The Brist Balange of Nong Kang Linded (A whole wened addedary of Nong Kang Balanges and Clearing Linded)	Port Size A A A EN 12
	Tei Man Chan I 21/05/2019 12/27	Submission Templete Management Admin	Logent
Televis	sion leangiliate has been deteriod subcaldully		
	ission Template Management		
	ission Template Management	Last Update DetailTime	
Subm		Last Update DetaTime 11.94/2019 15.01.44	
Subm G	Template Name		

Figure 5.41 Submission Template Management page – Acknowledgement

4. Select HOME in the Main Menu to return to the **User Home** page.

6 For Security Officer

This section only covers functions unique to the Security Officer.

6.1 User Menu for Security Officer

The Security Officer user menu is classified into the following categories:

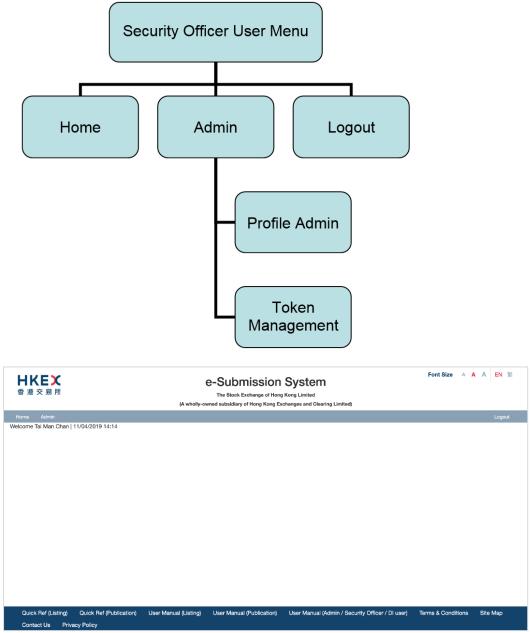


Figure 6.1 Security Officer User Menu

6.2 **Profile Admin**

Under Profile Admin, you can perform the following user profile administrative function:-

- submit the request to your Authorised Person for creation of a Publication Related Matter user, Listing Related Matter user or a DI user; and
- amend the user profiles of Publication Related Matter/ Listing Related Matter users/ DI user; and
- unlock other user accounts except own account; and
- disable / enable the login of the Publication Related Matter/ Listing Related Matter user.

6.2.1 Request User Creation

To create a Publication Related Matter user, Listing Related Matter user or a DI user:

1. Select **Profile Admin** from **Admin** under Main Menu.

日ドビズ 香港交易所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size A A A EN 👷
Home Admin		
Welcome Profile Admin Token Management	Profile Admin	

Figure 6.2 Security Officer User Menu

2. At *Company Details* page, click USER LIST.

日民民文		E-Submission Sy The Stock Exchange of Hong Kong red subsidiary of Hong Kong Exchang	Limited	Font Size	Α	A	A	EN 👻
Home Admin								Logout
Welcome Security Officer 3	1/10/2019 12:51							
Company Profile Company Details								
Company Code	LM88888	Company Type	Debt Securities Issuers					
Company Name (English)	XYZ Group Ltd.							
Company Name (Chinese)								
Company Website								
Address (English)	10/F-12/F,	Address (Chinese)	12.H					
	One International Financial Centre,		國際金融中心					
	1 Harbour View Street		爾一兩10個					
	Central HK							

Figure 6.3 Company Profile page

3. The *User Profile List* page will be displayed. Click NEW.

世 勝 交 編			(A wholly	e-Submission Sy The Stock Exchange of Hong Kong owned subsidiary of Hong Kong Exchang	Limited	Font Size	A A EN 1
Home Adm							Logeu
Velcome Tal Ma	n Chan 11/	04/2019 14:18					
Company D	etails						
Company Code		LM88888		Company Type	Main Board Issuer		
Company Name		XYZ Group Ltd.					
lser ID		Us	or Name		Search		
User ID		User Full Name	User Type		Status	Access to DI Data	Locked
BBBBBAAD		Chan Tai Man	Administrator		Active	No	No
		Chan Tai Man	Listing Related		Active	No	No
88888LSL		Chan Tai Man	Publication Rela	ted Matters User - Approver	Inactive	No	No
BBBBBPAP							
		Chan Tai Man	Publication Rela	ted Matters User - Submitter	Inactive	No	No
88888PAP	JBMIT		Publication Rela Security Officer	ited Matters User - Submitter	Inactive Active	No No	No No

Figure 6.4 User Profile List page

4. A blank User Profile page will be displayed. Select the User Type. Enter the new user's details, including User Name, Contact Information etc. After you have inputted the User Name, the User ID of the new user will be displayed immediately in the User ID field. You should note the new User ID. Click ADD.

HKEX 香 港 交 易 所			-Submission Sys The Stock Exchange of Hong Kong Li subsidiary of Hong Kong Exchanges	imited	EN 👳
Home Admin					Logout
Welcome Security Officer	31/10/2019 1	3:05			
Company Code	LM8888	8	Company Type	Debt Securities Issuers	
Company Name	XYZ Gro	up Ltd.			
User Profile - N	~~~~				
* Denotes mandatory fields User Details	i				
User Type	Dubling				
*User Name 1	CHAN	ion Related Matters User - Appro 🗸	User ID	7444ZPCHAN	
Resigned	Yes	No		14442FCHAN	
*Family Name (English)		lame (English)	*Given Name (English)	Given Name	
*Salutation	Please \$		*Position	Position	1
*Phone No.	Phone N	lo.			
Mobile No. 2	Country	Area Code (if any) + Mobile			
	852	No. 91234567			
*Email	Email				
		er ID and only accept 2-6 alpha			
				ter the country code and area code (if any). E y clicking on Add, I confirm that the individual	
isclosed in the use of this a	application co	nsent to the processing of their p	personal data in accordance with the	he HKEX Privacy Policy.	
Add Cancel					

5. If the request for user creation has been submitted, an acknowledgement message will be displayed. A new user is created with status "Pending Approval" marked in red in the User Profile List.

e-Submission System The Stock Exchange of Hong Kong Limited holly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	
	Logout
Authorised Person.	
Company Type Main Board Issuer	
Main Doard Tobuer	
Search	
e Status Access to DI Data	Locked
ator Active No	No
Inactive Yes	No
lated Matters User Active No	No
lated Matters User Active No	No
lated Matters User Pending Approval No	No
n Related Matters User - Approver Active No	No
n Related Matters User - Submitter Active No	No
Officer Active No	No
uthorised Person Active Yes	No
y Authorised Person Active No	No

Figure 6.6 Create User - Acknowledgement

NOTE:

- The new user account creation is not completed yet. The Authorised Person of your company has to approve the user creation by the security officer (refer to Section 4.2.3 "Approve User Creation by Security Officer").
- 6. Click BACK TO HOME to return to the **User Home** page.

6.2.2 Amend Users' Profile

To amend the user profile of a Publication Related Matter user, Listing Related Matter user or a DI user:

- 1. Select **Profile Admin** from **Admin** under Main Menu.
- 2. At Company Details page, click USER LIST.
- 3. The *User Profile List* page will be displayed. Select the record you wish to amend by checking the appropriate selection box and click USER DETAILS.

日本に の 港 交 第 所			-Submission S The Stock Exchange of Hong Kong of subsidiary of Hong Kong Exchan	g Limited		Font Size A	A A EN 1
Velcome Tai Man Chan 11/D	4/2019 14:18						
Company Details							
Company Code	LM86888		Company Type	1	Main Board Issuer		
Company Name	XYZ Group Ltd.						
Jser Profile List							
Juer ID		or Name					
ANR ID	09	er rearing		_ 1	Search		
User ID	User Full Name	User Type			Status	Access to DI Data	Locked
B8888AADM	Chan Tai Man	Administrator			Active	No	No
68688LSUBMIT	Chan Tai Man	Listing Related Matte	rs User		Active	No	No
68888PAPPROV	Chan Tai Man	Publication Related 1	Aatters User - Approver		inactive	No	No
68888PSUBMIT	Chan Tai Man	Publication Related I	Aatters User - Submitter		Inactive	No	No
	Chan Tai Man	Security Officer			Active	No	No
8888855OR		Primary Authorised F			Active	Yes	No

Figure 6.7 User Profile List page

4. The User Profile page will be displayed. Make the necessary amendment for the user - Salutation, Position, Phone No or Email. Other user details including User Type, User ID, Family Name and Given Name, Mobile No., and Access to DI are not editable. Click save after you have finished amending the user profile.

User Details					
User Type	Publicatio	on Related Matters User - Approver			
User ID	88888PA	ABC			
Resigned	Oves	No			
amily Name (English)	Chan		Given Name (English)	Tai Man	
Salutation	Mo	~	*Position	Associate	
Phone No.	9123456	x x			
Mobile No. 1	Country Code	Area Code (if any) + Mobile No.			
	852	61031627			
Email	chantaim	an@abc.com			
Token Selection	Software	Token			
Personal data collected throug	h the e-Submis		marketing purposes. By clicking	untry code and area code (if any). E.g. 66 for China, 65 on Save, I confirm that the individual(s) whose persona	

Figure 6.8 User Profile page

- 5. If the user profile has been updated successfully, an acknowledgement message will be displayed.
- 6. Click BACK TO HOME to return to the *User Home* page.

6.2.3 Unlock a User

The user account will be locked when the user enters an invalid User Password and/or OTP generated by security token for 5 consecutive times. The user cannot login the system until the Security Officer unlocks the account.

To unlock a user:

- 1. Select **Profile Admin** from **Admin** under Main Menu.
- 2. At Company Details page, click USER list.
- 3. The User Profile List page will be displayed. The user's Locked status is displayed as "Yes". Select the locked user by checking the appropriate selection box and click UNLOCK.

世紀交易所		e-Submission The Stock Exchange of Hon (A wholly-owned subsidiary of Hong Kong E	g Kong Limited	ited)		
Home Admin						Lopest
Welcome Tai Man Chan 1	2/04/2019 18:22					
Company Details						
Company Code	CARDOONS	Company Type	Main Boar	d loover		
Company Name	XYZ Group LM					
Jser ID User ID	User No	User Type	Search	Status	Access to DI Data	Locked
			Search	Status Active	Access to DI Data	Locked
User ID	User Full Name	User Type				
User ID BSSSBAADM2	User Full Name Chan Tai Man	User Type Administrator		Active	No	No
User ID B 55555AADM2 # 55556PAPPROV	User Full Name Chan Tai Man Chan Tai Man	User Type Administrator Publication Related Matters User - Approv		Active Active	No No	No Yes
User ID 85558AADsQ # 65558PAPPROV 86558PSUBMIT	User Full Name Chan Tai Man Chan Tai Man Chan Tai Man	User Type Administrator Publication Related Matters User - Approv Publication Related Matters User - Submit		Active Active Active	No No No	No Yes No

Figure 6.9 User Profile List page

4. If the user has been unlocked successfully, an acknowledgment message will be displayed. The user's Locked status is displayed as "No".

	日本の新聞			nission Syst xonange of Hong Kong Lim of Hong Kong Exchanges a	the		Font Size	 EN 1
	and Adres							Lograd
Neio	come Tai Man Chan J 12/0	4/2019 10:22						
5	aved successfully.							
	mpany Details	CARMINE	Comp	any Type	Main Doard Issu	-		
	pany Name	XYZ Group Litt				ττ		
Com Use	er Profile List	and group the						
Com	er Profile List				Search			
Jse	er Profile List	and group the	User Type			Status	Access to DI Data	Locked
Com Use	er Profile List	xv2 Geoglus User Name	User Type Administrator				Access to Di Data	Locked

Figure 6.10 Unlock User - Acknowledgement

5. Click BACK TO HOME to return to **User Home** page.

6.2.4 Disable / Enable a User Login

If a user resigns from the company, his/her account should be set to "resigned". When the "Resign" flag is marked 'Yes', a user's login will be disabled. This function can also be used to temporarily suspend a user from submitting documents through the ESS. If you have resumed the access of that user, you have changed the "Resign" flag to "No" such that s/he can login to ESS with the original assigned token.

The Security Officer can disable/enable the access to ESS of a Publication Related Matter user and Listing Related Matter user. To disable a user:

- 1. Select **Profile Admin** from **Admin** under Main Menu.
- 2. At Company Details page, click USER LIST.
- 3. The **User Profile List** page will be displayed. Select the record you wish to terminate by checking the appropriate selection box and click USER DETAILS.

	KEX 1 交照所		e-Submissio The Stock Exchange of (A wholy-owned subsidiary of Hong Ko	Hong Kong Limite				
Home	Acres							Lopost
Velcome	e Tai Man Chan 12/04	4/2019 18/22						
Compa	any Details							
tompany	ry Code	L1000008	Company Type		Main Board toop	er i		
Company	y Name	XYZ Group LM						
loos D	Profile List							
	-TOTING LIST							
	-Tohie List	User No	3734		Search			
Jser ID	Iver ID	User No User Full Name	uthe User Type		Search	Status	Access to DI Data	Locked
Jaar 10 Ui					Search	Statue Active	Access to Di Data	Locked
Jser ID U B 88	Iver ID	User Full Name	User Type	prover	Search			
01 1945 10 88 (1) 88 (1)	Iser ID SSSBAADM2	User Full Name Chan Tai Man	User Type Administrator		Search	Active	No	No
Un vect. UN 88 (1) 88 (1)	INFE ID SSSBAADM2 SSSBPAPPROV	User Full Name Chan Tai Man Chan Tai Man	User Type Administrator Publication Related Matters User - App		Search	Active Active	No No	No Yes
Jser 10 U 8 8 8 8 8 8 8 8 8 8 8 8	Iser ID SSSSAADM2 SSSSPAPPROV SSSSPSJBMIT	User Full Name Chan Tai Man Chan Tai Man Chan Tai Man	Uter Type Administrator Publication Related Matters User - Ap Publication Related Matters User - Su		Search	Active Active Active	No No No	No Yes No

Figure 6.11 User Profile List page

4. The **User Profile** page will be displayed. Change the radio button of Resigned from "No" to "Yes" and click SAVE.

and the second se		(A wholly-cleated subsidiary of itsing King Elicharge		
Here Area Hereine peter wong (engingene 1)				Inge
Receive betal word (sammarria st				
ompony Code	(Married)	Company Type	Part Bort Issue	
organy Name	elevations fracing Concerts			
ser Profile - Edit				
Ser Prome - Edit.				
ter Details				
MI TYDE				
wiit)	Publication Residual Mattern Coar - Sciamillar			
leagned	44448791			
white Name (Targists		Gent Name (Trainin)		
adation	*914	A Prestor	(env	
NONE NO.	10	. House	- Seeco	
nore no.	2290309 Country Code - Assa Code (Family + Mobile No			
Conternal.	Country Code: A real Code (1 any) + Model No. 982 (234582)			
nat	est-cline (Pressore 19			
den Satechon	inferra loss			
	Ine-Tane Passaord va ISMS. For normeas mobile turnoer, piesee enter the o			
	Submasion bystem will not be used for direct manieting purposes. By clickin	g on Save. I contini that the individuality, whose pe	monal data is disclosed in the use of this approation consent to the p	pocessing of their personal data in accordance with the HHEX
acy Policy				

Figure 6.12 User Profile page

- 5. If the user profile has been updated successfully, an acknowledgement message will be displayed.
- 6. Click back to home to return to the User Home page.

6.3 Token Management

Users' tokens are managed by their company's Security Officer. Security Officer can revoke a user's token (to be approved by Authorised Person) and assign a new token to a user.

6.3.1 Change/Loss of Mobile Device

If your company's user reported his/her mobile device (containing the software token) has been changed, lost or stolen, you should immediately revoke his/her token (to be approved by Authorised Person) to prevent unauthorized access.

1. Select **Token Management** under **Admin** from Main Menu.



Figure 6.13 Token Management menu

2. The **Token Management** page will be displayed. A list of users in ascending order of User ID. Select the user who reported change/loss of mobile device by checking the appropriate selection box. Click REVOKE TOKEN.

	法 交累所		e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-comed subsidiary of Hong Kong Exchanges and Clea		Font Size A A A EN 1
Velco	me Tai Man Chan 12/04/2019 12	:15			
Tok	en Management				
	en wanagement				
	User ID A	User Full Name	Hardware Token Serial No.	Token Status	Token Type
e	88888AADM2	Chan Tai Man		Assigned	Software Token
3	88888DD11	Chan Tal Man		Activated	Software Token
8	88888LLRM1	Chan Tai Man		Ucessigned	Hardware Token
8	88888LLRM2	Chan Tai Man		Assigned	Software Token
8	88888PAPPROV	Chan Tai Man		Activated	Software Token
0	88888PSUBMIT	Chan Tai Man		Activated	Software Token
8	88888330R1	Chan Tai Man		Activated	Software Token
		Chan Tai Man		Activated	Software Token
8	88888XPAP				

Figure 6.14 Token Management page – Select a user's token

3. A dialog box will be prompted for approval by Authorised Person. Authorised Person should enter the User Password and One-Time Passcode to confirm.

* Name of Authorised Person	Chan Tai Man	Chan Siu Man
User ID	88888XPAP	
User Password		
• One-Time Passcode (OTP)	One-Time Passcode (OTP)	Request One-Time Password

Figure 6.15 Token Management page – Revoke Token Approval

NOTE:

- If there is more than one Authorised Person in your company, select an Authorised Person by clicking the radio button.
- If the token to be revoked is belonged to the Authorised Person, s/he enter the User Password, then clicks REQUEST ONE-TIME PASSWORD button. An OTP will be sent to his/her registered mobile number via SMS. Enter the OTP in the One-Time Passcode to revoke the token.
- 4. If the token has been revoked successfully, an acknowledgement message will be displayed. The token status is now changed to "Revoked".

	 		e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Cle		
Hoe					Logov
elco	me Tai Man Chan 21/05/2019 16	5:05			
	en Management				
oken	User ID A	User Full Name	Hardware Token Serial No.	Token Status	Token Type
	88888AADM2	Chan Tai Man		Activated	Software Token
1	88888DDI1	Chan Tai Man		Assigned	Software Token
	88888LLRM1	Chan Tal Man		Unassigned	Hardware Token
1	88888LLRM2	Chan Tai Man		Revoked	Software Token
1	88888PAPPROV	Chan Tai Man		Activated	Software Token
2	88888PSUBMIT	Chan Tai Man		Activated	Software Token
2	88888550R1	Chan Tal Man		Activated	Software Token
1.	88885XPAP3	Chan Tal Man		Assigned	Software Token
				- angles	
atel 1	Number of Records : 8		AN 8 1 2 20		

Figure 6.16 Token Management page – Revoke Token Acknowledgement

5. If the user has been equipped with a new mobile device, you can assign a new token to the user. Select the user by checking the appropriate selection box and click ASSIGN TOKEN. A Token Assignment Detail dialog box will be prompted.

dram				
				Lograd
Man Chan 21/05/2019 16:	:05			
r ID 🔺	User Full Name	Hardware Token Serial No.	Token Status	Token Type
88AADM2	Chan Tai Man		Activated	Software Token
88DDI1	Chan Tai Man		Assigned	Software Token
BBLLRM1	Chan Tal Man		Unassigned	Hardware Token
88LLRM2	Chan Tai Man		Revoked	Software Token
SEPAPPROV	Chan Tai Man		Activated	Software Token
BBPSUBMIT	Chan Tai Man		Activated	Software Token
88SSOR1	Chan Tal Man		Activated	Software Token
SEXPAP3	Chan Tal Man		Assigned	Software Token
1 8 8 8 8 8	anagement ID A SAADM2 SDD11 SLLRM1 SLLRM2 SPAPPROV SPSUBMIT SSSOR1	Bit User Full Name SAADM2 Chan Tai Man SD01 Chan Tai Man SULPM1 Chan Tai Man SULPM12 Chan Tai Man SULPM12 Chan Tai Man SULPM12 Chan Tai Man SULPM12 Chan Tai Man SPSUBMIT Chan Tai Man SSSOR1 Chan Tai Man	Bandometalisation Temp User Full Name Hardware Token Serial No. SAADM2 Chan Tei Man SD011 Chan Tai Man SLUFM1 Chan Tai Man SRAPRDV Chan Tai Man SPSUBAIT Chan Tai Man SPSUBAITT Chan Tai Man SSSOR1 Chan Tai Man	Name Hardware Token Serial No. Token Status SAADM2 Chan Tai Man Activated SD01 Chan Tai Man Activated SULPA11 Chan Tai Man Activated SULPA12 Chan Tai Man Chan Status SULPA12 Chan Tai Man Chan Status SULPA12 Chan Tai Man Activated SULPA12 Chan Tai Man Activated SPSUBMIT Chan Tai Man Activated SPSUBMIT Chan Tai Man Activated SSSOR1 Chan Tai Man Activated

Figure 6.17 Token Management page – Select User to assign Software Token

6. Review the assignment detail and click Confirm.

Token Assignment Detail					
User ID User Full Name	88888LLRM2 Chan Tai Man				
		Confirm Close			

Figure 6.18 Token Assignment Detail dialog box

7. If the token has been assigned successfully, an acknowledgement message will be displayed. The token status is now changed to "Assigned". New token User is requried to re-activate his/her user account (refer to the section "First-time login to e-Submission System" of respective user manual for details).

	ⅠKEX i港交易所	(A whole	e-Submission System The Stock Exchange of Hong Kong Limited y-cwned subsidiary of Hong Kong Exchanges and	1	Font Size A A A EN 😒
Но	me Admin				Logout
Nel	come Tai Man Chan 16/04	/2019 18:20			
SI	aved successfully.				
	ken Managemen	t			
	User ID 🔺	User Full Name	Hardware Token Serial No.	Token Status	Token Type
8	88888AADM2	Chan Tai Man		Activated	Software Token
	88888AADM2 88888DDI1	Chan Tai Man Chan Tai Man		Activated	Software Token Software Token
8			AR441266		
8	88888DDI1	Chan Tai Man	AR441266	Activated	Software Token
8	88888DDI1 88888LLRM1	Chan Tai Man Chan Tai Man	AR441286	Activated Assigned	Software Token Hardware Token
	88888DDI1 88888LLRM1 88888LLRM2	Chan Tai Man Chan Tai Man Chan Tai Man	AR441286	Activated Assigned Assigned	Software Token Hardware Token Software Token
	86888DDI1 86888LLRM1 86888LLRM2 86888PAPPROV	Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	AR441286	Activated Assigned Assigned Activated	Software Token Hardware Token Software Token Software Token
	88888DDI1 86888LLRM1 86888LLRM2 86888PAPPROV 86888PAPPROV	Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man Chan Tai Man	AR441206	Activated Assigned Assigned Activated Activated	Software Token Hardware Token Software Token Software Token Software Token

Figure 6.19 Token Management page – Assign Token Acknowledgement

8. Select HOME in the Main Menu to return to the *User Home* page.

NOTE:

- To Revoke a user's token, please refer to step 2 to step 4.
- To Assign a new tokent to a user, please refer to step 5 to step 7.
- Once the token has been revoked, user is required to re-activate his/her user account and set-up a new token in his/her mobile device. If user is using a same mobile device, the original token should be deleted. If user is equipped with a new mobile device, it is also recommended to uninstall the mobile app Safenet MobilePASS from his/her old mobile device.

7 For DI User

DI User has been delegated the right to receive an email notification and access (i.e. viewing or downloading) the complete set of DI notices and related documents when a DI notice concerning his/her company is submitted through the DION System. There are only user maintenance functions for DI user in ESS.

7.1 User Menu for DI User

The DI user menu is classified into the following categories:

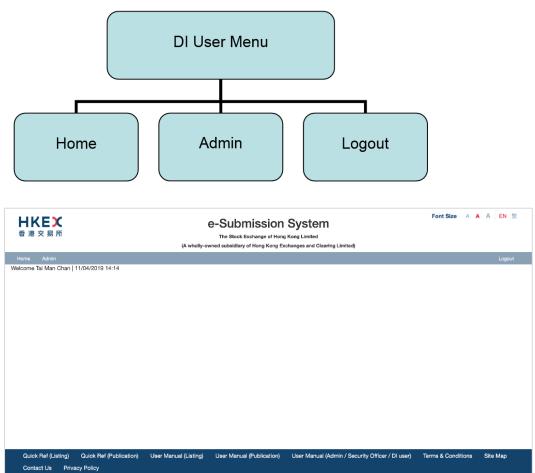


Figure 7.1 Security Officer User Menu

NOTE:

• For the Admin function of DI user, refer to Section 3 "Common Admin Functions" above.

8 Exit the System

It is recommended that you logout the system if you finish your session or are about to leave your computer unattended. The function that is partially completed will be lost when you logout the system. You should therefore complete the function before logging out of the system.

To exit the ESS:

1. Select LOGOUT in the Main Menu on the top of the page.

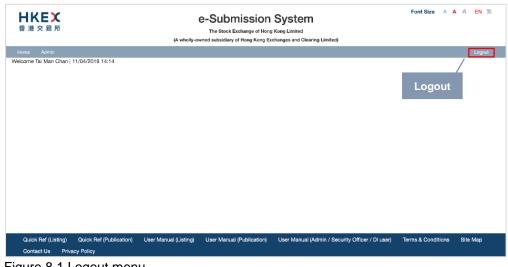


Figure 8.1 Logout menu

- 2. The ESS Main page will be displayed.
- 3. Close the browser window.