



e-Submission System

User Manual

For

**Authorised Person, Administrator,
Security Officer and DI Users**

November 2019

Table of Contents

1	INTRODUCTION	4
1.1	User Identification	4
1.2	User Types	5
1.3	Site Conventions.....	6
1.4	Document Conventions	8
2	LOGIN TO E-SUBMISSION SYSTEM	9
2.1	First-time login to e-Submission System	9
2.1.1	User Activation via Software Token (MobilePASS).....	9
2.2	Logging into the ESS	15
2.3	Login with SMS Password	17
2.4	Forgot User ID	19
2.5	Forgot User Password	21
3	COMMON ADMIN FUNCTIONS	23
3.1	View Your Company's Profile	23
3.2	View and Update Your Own User Profile	24
3.3	Change Your Own User Password.....	25
4	FOR AUTHORISED PERSON	26
4.1	User Menu for Authorised Person	26
4.2	Profile Admin	27
4.2.1	Create a User	27
4.2.2	Delete a User	29
4.2.3	Approve User Creation by Security Officer	31
4.3	Change of Administrator or Security Officer.....	33
4.4	Appointment of Agents	35
4.4.1	Appoint an Agent	36
4.4.2	Edit an Appointment	39
4.4.3	Delete an Appointment	40
4.5	Appointment of Approvers	41
4.5.1	Enable Appointment of Approvers function	41
4.5.2	Appoint an Approver	44
4.5.3	Edit an Appointment	46
4.5.4	Delete an Appointment	47
4.6	Approve to Revoke a Security Token	48
5	FOR ADMINISTRATOR	49
5.1	User Menu for Administrator.....	49
5.2	Profile Admin	50
5.2.1	Maintain Company's Profile	50
5.2.2	View User Profile List.....	52
5.3	Change of Authorised Person	53
5.3.1	Change of Authorised Person or Add a Secondary Authorised Person.....	53
5.3.2	Remove Secondary Authorised Person	56
5.4	Maintain Related Stock Code	58
5.4.1	Add a Related Stock Code	59
5.4.2	Remove a Related Stock Code	60
5.5	Document Submission.....	61
5.5.1	View Listing Related Matter Submission Log	61
5.5.2	View Publication Submission Log.....	62
5.6	Submission Template Management (applicable to Structured Products issuers only)	63
5.6.1	Edit Issuer Name	64
5.6.2	Create a Submission Template	65
5.6.3	Edit a Submission Template.....	66
5.6.4	Delete a Submission Template.....	67

- 6 FOR SECURITY OFFICER68**
- 6.1 User Menu for Security Officer68
- 6.2 Profile Admin69
 - 6.2.1 Request User Creation69
 - 6.2.2 Amend Users' Profile72
 - 6.2.3 Unlock a User73
 - 6.2.4 Disable / Enable a User Login74
- 6.3 Token Management.....75
 - 6.3.1 Change/Loss of Mobile Device75
- 7 FOR DI USER.....78**
- 7.1 User Menu for DI User78
- 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 <https://www1.eSubmission.hkex.com.hk>. 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 Person (Primary Authorised Person and/or Secondary Authorised Person)	<p>An Authorised Person is a person at a company who is the HKEX's primary contact for subsequent administrative matters.</p> <p>Authorised Person can:</p> <ul style="list-style-type: none"> - 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	<p>An Administrator is the person at a company who maintains the company's details on the ESS.</p> <p>Administrator can:</p> <ul style="list-style-type: none"> - 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	<p>The Security Officer is the person who controls the access rights and manages the assigned token of the other users of his/her company.</p> <p>Security Officer can:</p> <ul style="list-style-type: none"> - 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)	<p>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.</p>

1.3 Site Conventions

Before Login

The screenshot shows the login interface of the e-Submission System. The header includes the HKEX logo, the system name, and font size/EN options. The main content area contains a login form with fields for User ID, User Password, and One-Time Passcode (OTP), along with a 'Login' button and links for 'Login with SMS Password', 'Forgot User ID', 'Forgot User Password', and 'Registration'. A 'System Message' box is positioned above the form. The left panel displays the date and time. The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

Header

22/05/2019 12:03

System Message

User ID

User Password

One-Time Passcode (OTP)

Enter the Passcode from your token

[Login with SMS Password](#)
[Forgot User ID](#)
[Forgot User Password](#)
[Registration](#)

Content Frame

Left Panel

Footer Links

[Terms & Conditions](#) [Site Map](#) [Contact Us](#) [Privacy Policy](#)

After Login

The screenshot shows the dashboard after a successful login. The header is similar to the login page but includes a 'Logout' link. The main content area features a 'Main Menu' bar with 'Home' and 'Admin' options. Below this, a 'System Message' box is displayed. The 'Content Frame' is the central area for the user's activities. The footer contains a comprehensive list of links including 'Quick Ref (Listing)', 'Quick Ref (Publication)', 'User Manual (Listing)', 'User Manual (Publication)', 'User Manual (Admin / Security Officer / DI user)', 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

Header

Home Admin **Main Menu** Logout


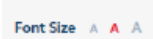

Welcome Tai Man Chan | 22/05/2019 12:06

System Message

Content Frame

[Quick Ref \(Listing\)](#) [Quick Ref \(Publication\)](#) [User Manual \(Listing\)](#) [User Manual \(Publication\)](#) [User Manual \(Admin / Security Officer / DI user\)](#) [Terms & Conditions](#) [Site Map](#)
[Contact Us](#) [Privacy Policy](#)

Header

-  – Clickable link to Home Page of the HKEX website.
-  – 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.
-  – Language selection icon (i.e. English and Traditional Chinese) to select the displayed language.

Left Panel

- Display the system date/time and general information.

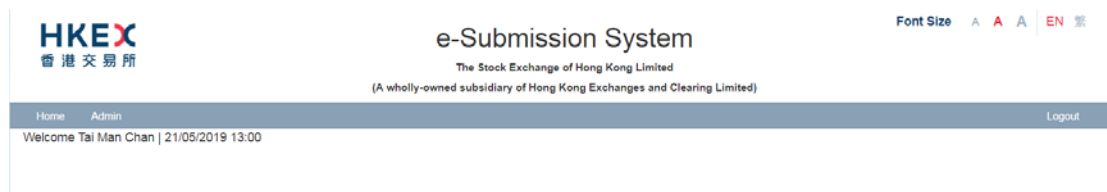
Content Frame

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

The screenshot shows the 'e-Submission System' interface. At the top, there's a header with the HKEX logo and the system name. Below this is a navigation bar with 'Home' and 'Admin' links. The main content area is titled 'Company Profile' and contains a form for 'Company Details'. The form includes fields for 'Company Code', 'Company Name (English)', 'Company Name (Chinese)', 'Company Website', 'Address (English)', 'Address (Chinese)', and 'Fax No.'. Annotations with boxes highlight specific elements: 'Menu Item' points to the 'Admin' link; 'Page' points to the 'Company Profile' title; 'Field' points to the 'Company Name (Chinese)' input field; and 'Action Button' points to the 'Amend Company Profile' button at the bottom.

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 Website*

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: <https://www1.esubmission.hkex.com.hk>. The **ESS Main** page (i.e. the login page) will be displayed.

The screenshot shows the 'e-Submission System' login page. At the top left is the HKEX logo and the date '21/05/2019 13:05'. The main heading is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. The login form includes fields for 'User ID', 'User Password', and 'One-Time Passcode (OTP)'. Below the OTP field is a note 'Enter the Passcode from your token' and a 'Login' button. There are also links for 'Login with SMS Password', 'Forgot User ID', 'Forgot User Password', and 'Registration'. At the bottom right, there are links for 'Terms & Conditions', 'Site Map', 'Contact Us', and '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.

The screenshot shows the 'User Activation' page. It has the same header as the login page. The form includes fields for 'User ID' (with a value '8088888888888888'), 'User Registered Email Address', 'New Password', and 'Confirm New Password'. There are also fields for 'Token Policy String' (with a 'Request' button), 'Activation Code', and 'One-Time Password' (with a 'Request' button). At the bottom, there are 'Activate' and 'Cancel' buttons. The footer contains the same links as the login page.

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.




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

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)

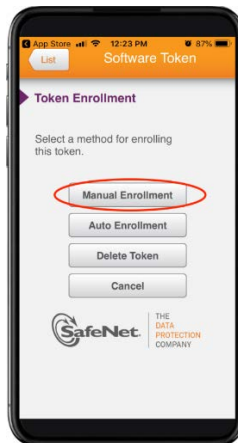


Figure 2.5 MobilePASS - Token Enrollment

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

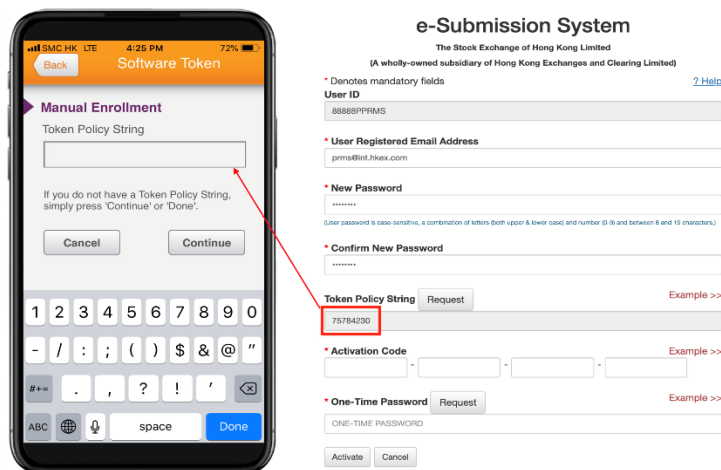


Figure 2.6 MobilePASS - Token Policy String

10. An Activation Code will be displayed on MobilePASS screen. Enter the *Activation Code* on **User Activation** page. DO NOT tap “Continue” on MobilePASS screen until you have activated your account successfully (see step 14 below).

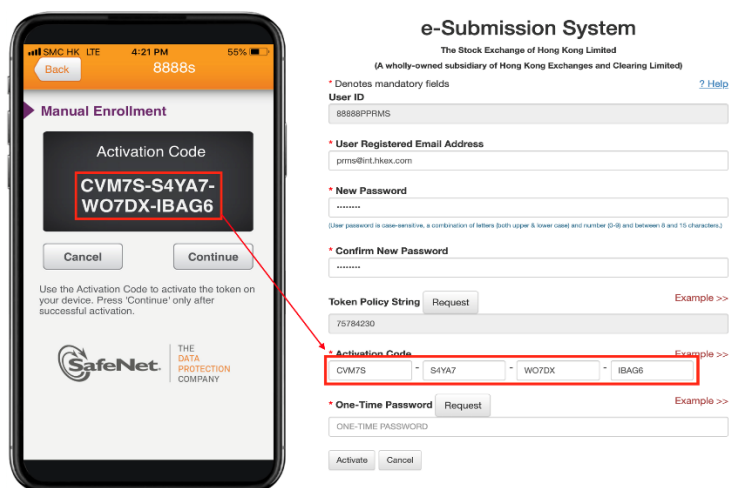


Figure 2.7 MobilePASS – Activation Code

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*.

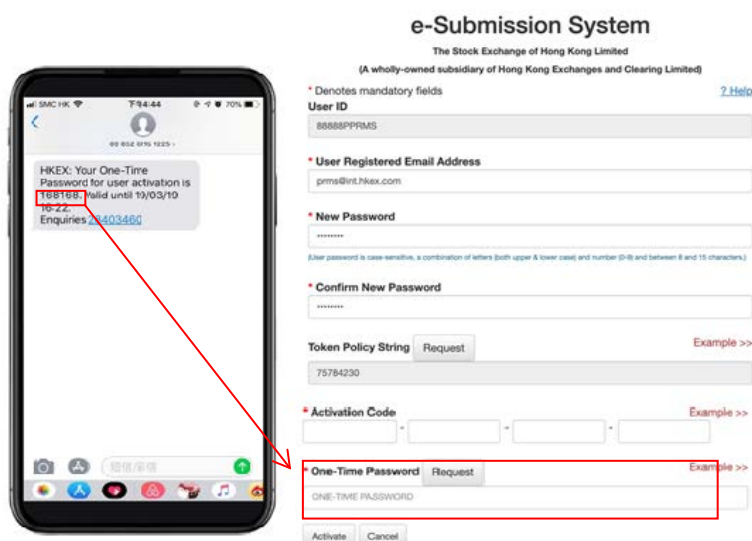


Figure 2.8 One-Time Password sent via SMS to registered mobile phone number

12. Click ACTIVATE.

13. If your user account has been activated successfully, the acknowledgement page will be displayed. You will be redirected to **User Main** page after 5 seconds.

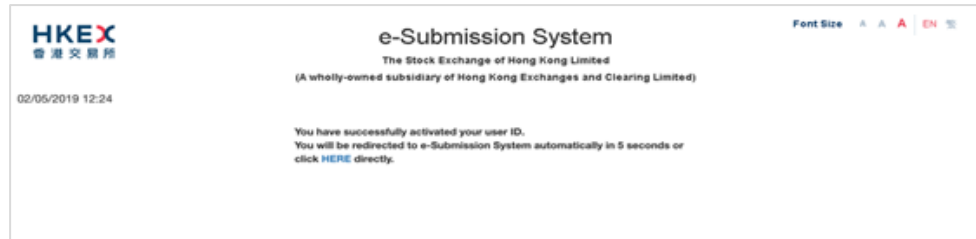


Figure 2.9 Successful activation screen

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.

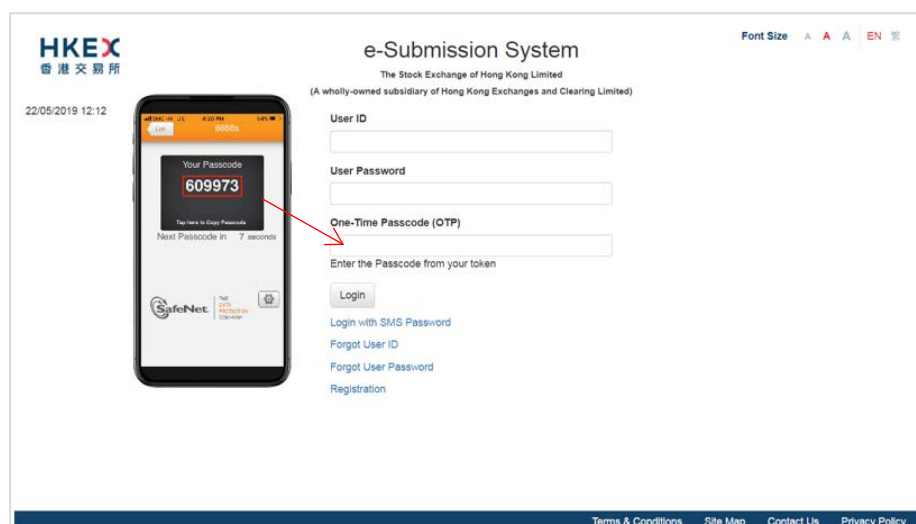


Figure 2.11 One-Time Passcode generated from MobilePASS

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.



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.

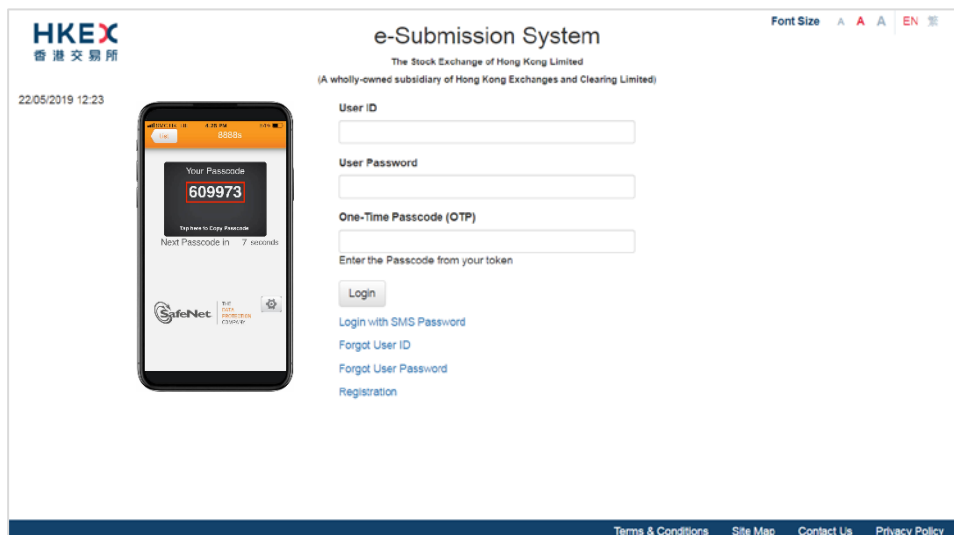


Figure 2.14 ESS Main Page

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.

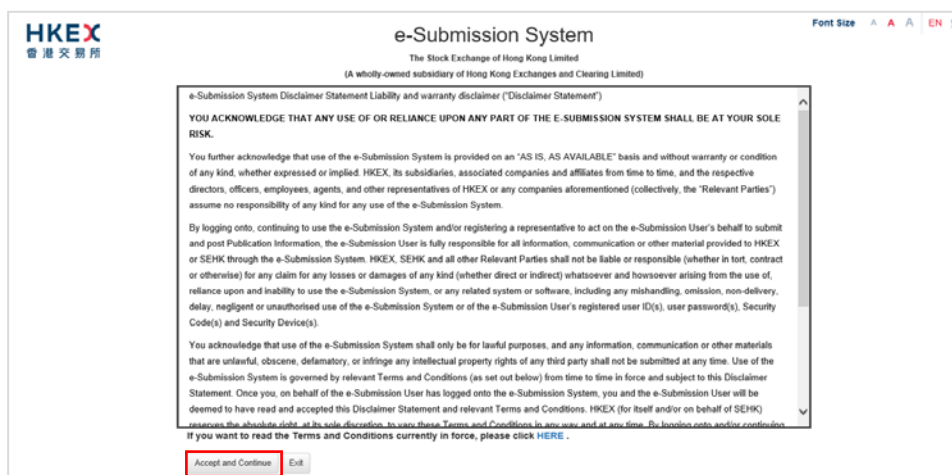


Figure 2.15 Disclaimer Statement

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

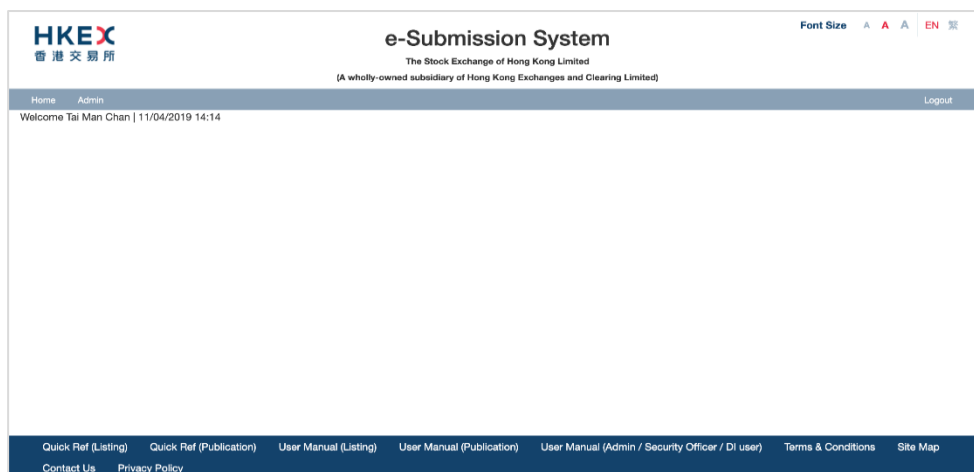


Figure 2.16 User Home Page – Authorised Person / Security Officer / DI User

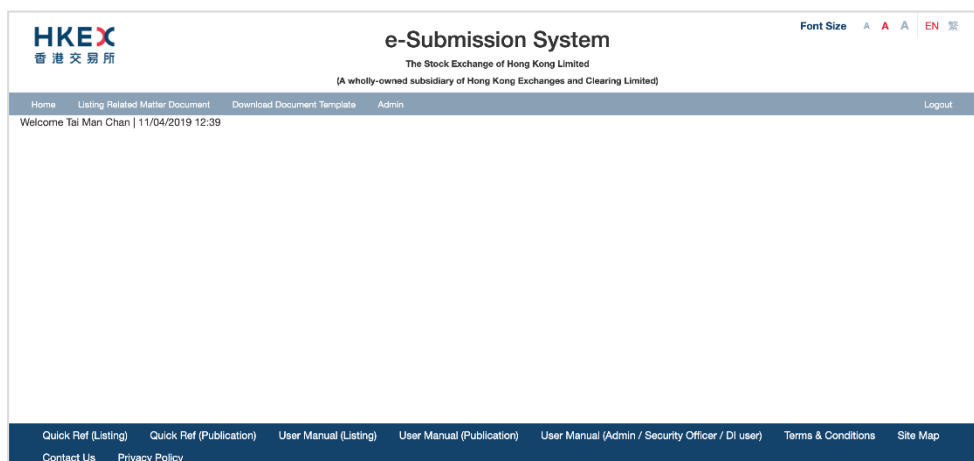


Figure 2.17 User Home Page - Administrator

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.

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.

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.

HKEX
香港交易所

11/04/2018 11:38

e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Your request has been submitted successfully.

Login with SMS Password

* Denotes mandatory fields

Please enter the One-Time Password sent to your mobile phone (last 4 digits "0768").

* One-Time Password

Login Cancel

Please click [HERE](#) if you did not receive the One-Time Password or if the One-Time Password has expired.

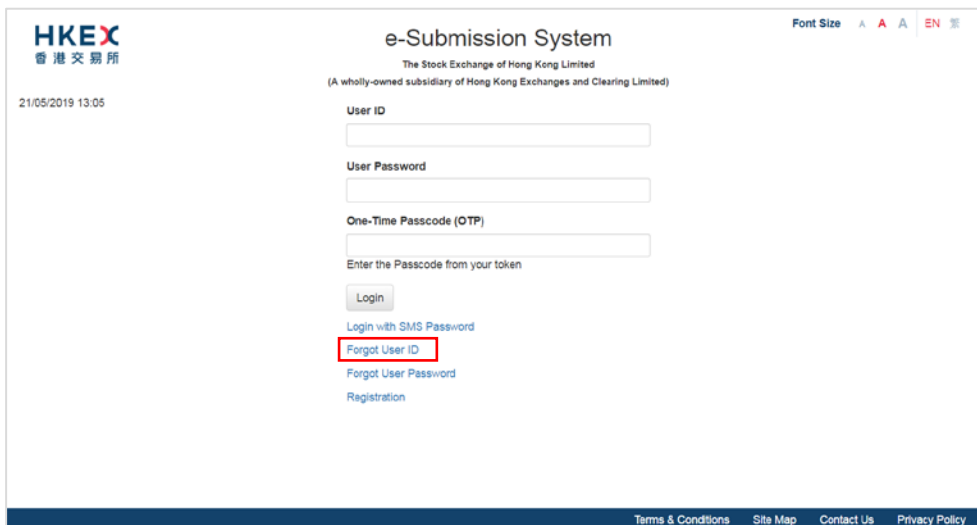
[Terms & Conditions](#) [Site Map](#) [Contact Us](#) [Privacy Policy](#)

Figure 2.20 Login with SMS Password page

4. 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

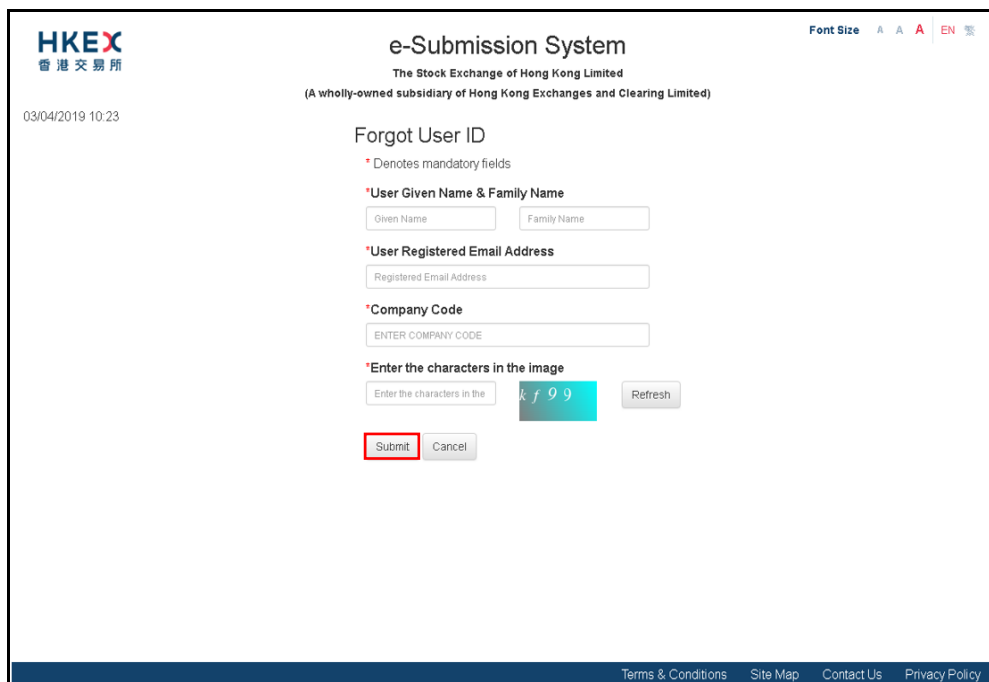
1. If you have forgotten your User ID, you may click *Forgot User ID* at the **Main** page.



The screenshot shows the 'e-Submission System' login page. The header includes the HKEX logo and the text 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. The main form contains fields for 'User ID', 'User Password', and 'One-Time Passcode (OTP)'. Below these fields are buttons for 'Login', 'Login with SMS Password', and a link for 'Forgot User ID' which is highlighted with a red rectangular box. Other links include 'Forgot User Password' and 'Registration'. The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

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.



The screenshot shows the 'Forgot User ID' page. The header is identical to the previous page. The main form is titled 'Forgot User ID' and includes a note: '* Denotes mandatory fields'. The form contains the following fields:

- *User Given Name & Family Name**: Two input fields for 'Given Name' and 'Family Name'.
- *User Registered Email Address**: A single input field.
- *Company Code**: A single input field with the placeholder text 'ENTER COMPANY CODE'.
- *Enter the characters in the image**: An input field next to a CAPTCHA image showing the characters 'kf99'. A 'Refresh' button is located to the right of the CAPTCHA.

 At the bottom of the form, there are two buttons: 'Submit' (highlighted with a red rectangular box) and 'Cancel'. The footer is the same as the previous page.

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.

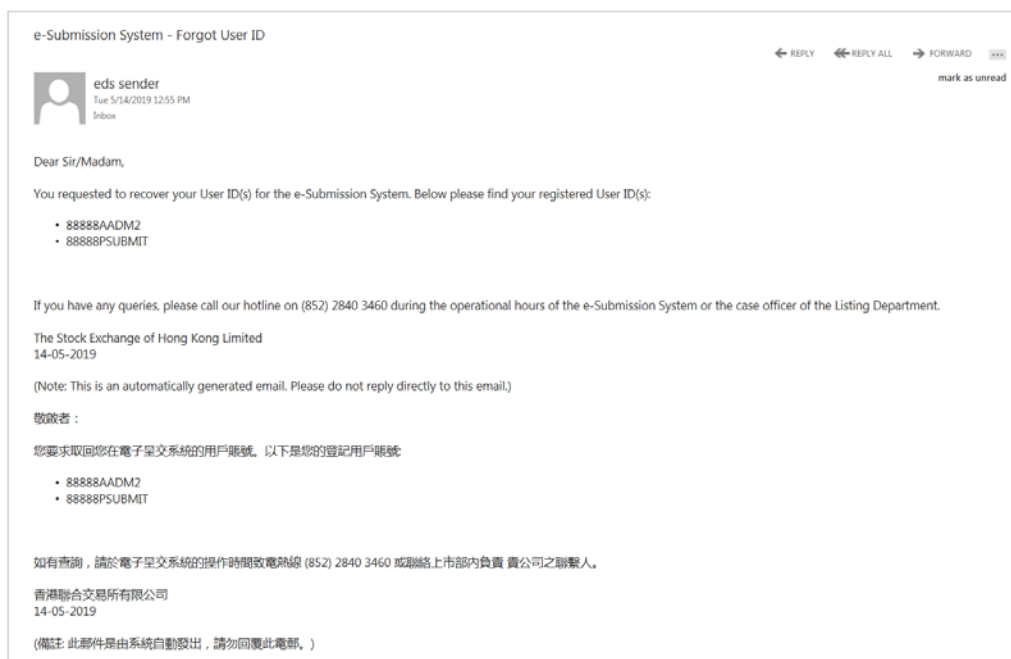


Figure 2.23 Forgot User ID – System generated email

2.5 Forgot User Password

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

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.

Figure 2.25 Forgot User Password page

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

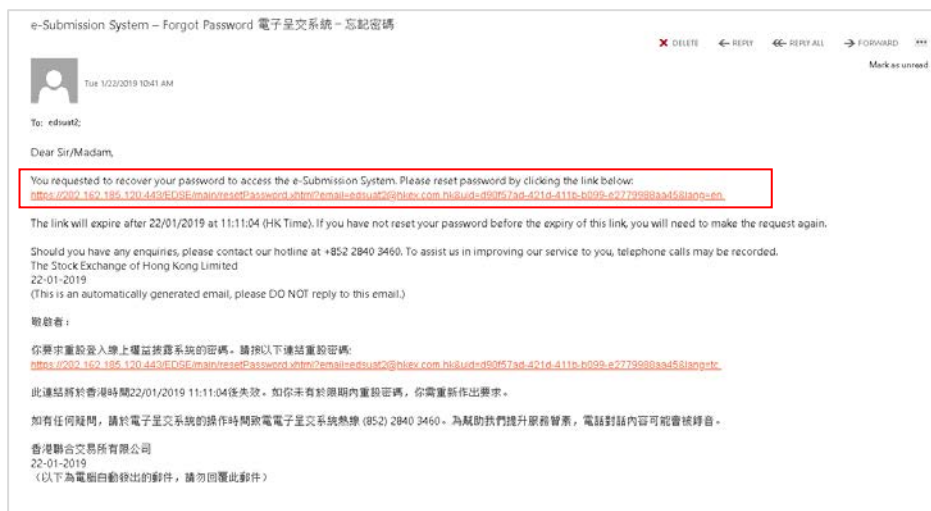


Figure 2.26 Forgot User Password – System generated email

- 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**.

Figure 2.27 Forgot User Password – Reset Password

- 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.

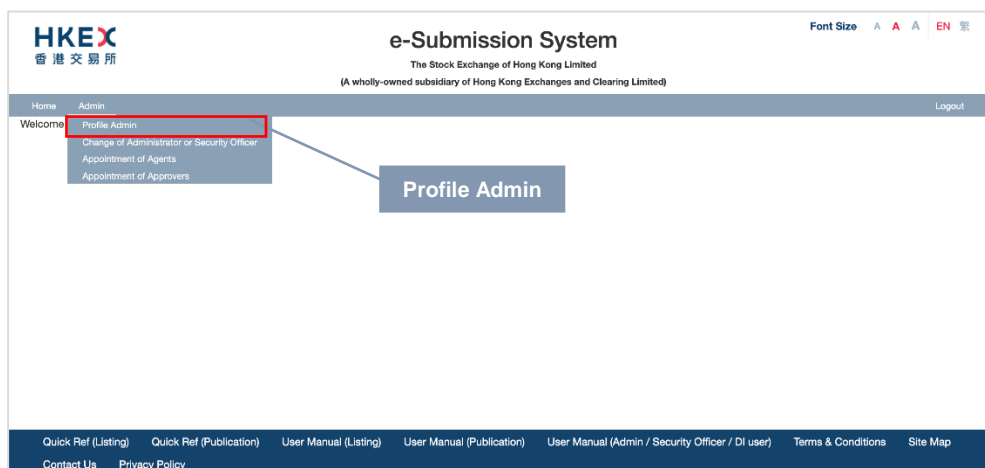


Figure 3.1 Profile Admin menu

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

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.

User Profile - Edit

* Denotes mandatory fields

User Details

User Type: Administrator

User ID: 88888ADM

*Resigned: ☐ Yes ☒ No

Family Name (English): Chan

*Salutation: Mr

*Phone No.: 91234567

*Mobile No. ¹: Country Code: 852, Area Code (if any) + Mobile No.: 91234567

*Email: chantainan@abc.com

*Token Selection: Software Token

Given Name (English): Tai Man

*Position: Administrator

¹ Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.

Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Save, 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 [Privacy Policy](#).

Save Change User Password Cancel

Figure 3.3 User Profile page of Authorised Person

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.

The screenshot shows the 'Change User Password' page. At the top, there's a header with the HKEX logo and 'e-Submission System' title. Below that, a navigation bar includes 'Home' and 'Admin'. The main content area is titled 'Change User Password' and contains three input fields: 'Current Password', 'New Password', and 'Re-type New Password'. A red box highlights the 'Save' button. A note below the fields states: '(User password is case-sensitive, a combination of letters (both upper & lower case) and number (0-9) and between 8 and 15 characters.)'

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:

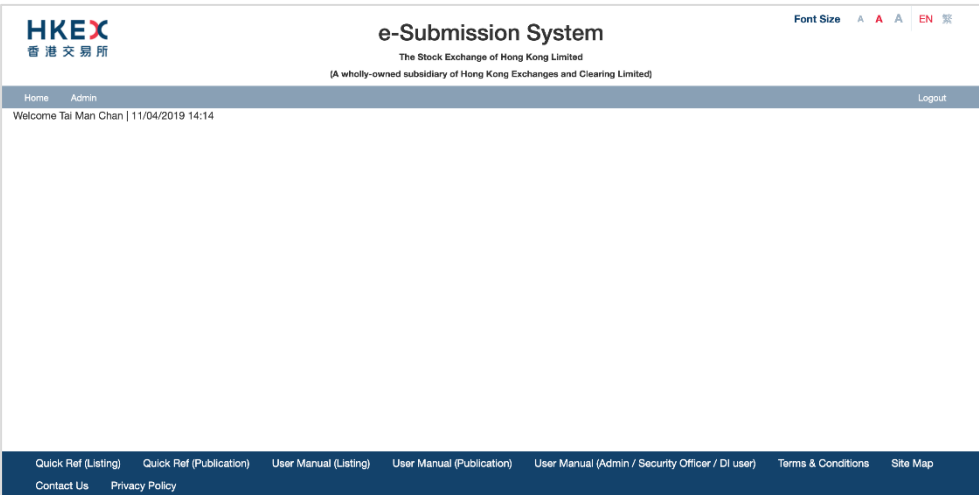
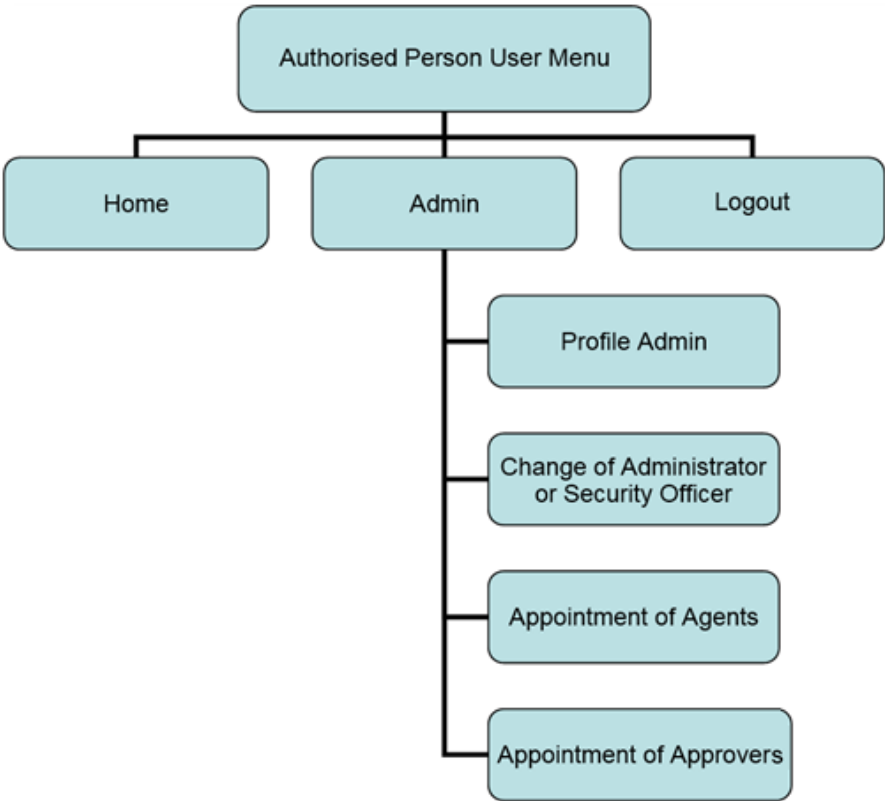


Figure 4.1 Authorised Person User Menu

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.



Figure 4.2 Authorised Person User Menu

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

The screenshot shows the 'Company Profile' page under 'Company Details'. It contains various input fields for company information. At the bottom, there are four buttons: 'Amend Company Profile', 'User List' (highlighted with a red box), 'My Profile', and 'Back to Home'.

Figure 4.3 Company Profile page

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

The screenshot shows the 'User Profile List' page. It includes a search bar and a table of users. The 'New' button at the bottom left is highlighted with a red box.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
8888AACDM	Chan Tai Man	Administrator	Active	No	No
8888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Inactive	No	No
8888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
8888SSOR	Chan Tai Man	Security Officer	Active	No	No
8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	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.

HKEX
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)

Home Admin Logout

Welcome Security Officer | 31/10/2019 13:05

Company Code: LM8888 Company Type: Debt Securities Issuers
Company Name: XYZ Group Ltd.

User Profile - New
* Denotes mandatory fields

User Details

*User Type: Publication Related Matters User - Appro

*User Name¹: CHAN User ID: 7444ZPCHAN

Resigned: ☐ Yes ☒ No

*Family Name (English): Family Name (English)

*Salutation: Please Select

*Phone No.: Phone No.

*Mobile No.²: Country Code: 852 Area Code (if any) + Mobile No.: 91234567

*Given Name (English): Given Name

*Position: Position

*Email: Email

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.
² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.
Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Add, 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 Privacy Policy.

Add Cancel

Figure 4.5 User Profile page

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

HKEX
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)

Home Admin Logout

Welcome Tai Man Chan | 11/04/2019 14:18


User ID 8888LLRM3 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).

- 

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

EN

HomeAdmin

Welcome Tai Man Chan | 11/04/2019 14:18

Logout

Company Details

Company Code

LM8888

Company Type

Main Board Issuer

Company Name

XYZ Group Ltd.

User Profile List

User ID

User Name

Search

	User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/>	88888AADM	Chan Tai Man	Administrator	Active	No	No
<input type="checkbox"/>	88888DDI1	Chan Tai Man	DI User	Active	Yes	No
<input type="checkbox"/>	88888LLRM2	Chan Tai Man	Listing Related Matters User	Reding Approval	No	No
<input type="checkbox"/>	88888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
<input type="checkbox"/>	88888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Inactive	No	No
<input type="checkbox"/>	88888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/>	88888SSOR	Chan Tai Man	Security Officer	Active	No	No
<input type="checkbox"/>	88888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

Total Number of Records : 8

<<

<

1

>

>>

New

User Details

Back to Home

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

Font Size A A A EN / ZH

e-Submission System

The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

[Home](#) [Admin](#)
[Logout](#)

Welcome visitor wang (09/01/2019 10:28)

Company Code	UNM1103	Company Type	Main Board Issuer
Company Name	International Trading Company		

User Profile - Edit

* Denotes mandatory fields

User Details

User Type	Publication Related visitors User - Supplier		
User ID	4444001		
Utypecode	<input type="radio"/> New	<input checked="" type="radio"/> Not	
Family Name (English)	wang	Given Name (English)	peter
"Salutation"	Mr	"Position"	Director
"Phone No."	22923006		
"Mobile No."¹			
Country Code	Ares Code (if any) + Mobile No.		
862	12345678		
"E-mail"	ssshothn@ex.com.hk		
"Trade Selection"	Software Tools		

¹ Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile numbers, please enter the country code and area code (if any). E.g. 86 for China, 852 for Macau.

Page 29

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

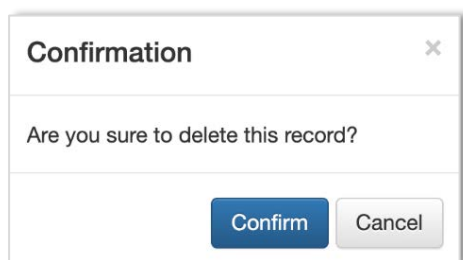


Figure 4.9 Delete User - Confirmation

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.

The screenshot shows the e-Submission System dashboard. At the top, there's a header with the HKEX logo and 'e-Submission System' title. Below the header, a navigation bar includes 'Home', 'Admin', and 'Logout'. A welcome message 'Welcome Tai Man Chan | 11/04/2019 14:23' is displayed. A green banner indicates '88888LLRM3 has been deleted successfully.' Below this, there are input fields for 'Company Code' (LM88888) and 'Company Name' (XYZ Group Ltd.). The 'User Profile List' section features search filters for 'User ID' and 'User Name', and a 'Search' button. A table lists user profiles with columns: User ID, User Full Name, User Type, Status, Access to DI Data, and Locked. The table contains 8 records. At the bottom, there are buttons for 'New', 'User Details', and 'Back to Home', along with a pagination control showing '1' of 8 records.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
88888AADM	Chan Tai Man	Administrator	Active	No	No
88888DDI1	Chan Tai Man	DI User	Active	Yes	No
88888LLRM2	Chan Tai Man	Listing Related Matters User	Pending Approval	No	No
88888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
88888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Active	No	No
88888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
88888SSOR	Chan Tai Man	Security Officer	Active	No	No
88888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	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.

HKEX 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)

Home Admin Welcome Tai Man Chan | 11/04/2019 14:18 Logout

Company Details

Company Code: LM8888 Company Type: Main Board Issuer
Company Name: XYZ Group Ltd.

User Profile List

User ID: User Name: Search

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 8888AADM	Chan Tai Man	Administrator	Active	No	No
<input type="checkbox"/> 8888DDI1	Chan Tai Man	DI User	Active	Yes	No
<input type="checkbox"/> 8888LLRM2	Chan Tai Man	Listing Related Matters User	Pending Approval	No	No
<input type="checkbox"/> 8888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
<input type="checkbox"/> 8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Inactive	No	No
<input type="checkbox"/> 8888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 8888SSOR	Chan Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

Total Number of Records : 8

New **User Details** Back to Home

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
e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Welcome Tai Man Chan | 11/04/2019 14:27 Logout

Company Code: LM8888 Company Type: Main Board Issuer
Company Name: XYZ Group Ltd.

User Profile - Edit

* Denotes mandatory fields

User Details

User Type: Listing Related Matters User
User ID: 8888LLRM2
*Resigned: ☒ Yes ☐ No
Family Name (English): Chan Given Name (English): Tai Man
*Salutation: Mr *Position: LRM User
*Phone No.: 22221111
*Mobile No.¹: 852 91234567
*Email: tai.man@xyz.com
*Token Selection: Software Token

¹ Mobile No. will be used to receive One-Time Password via SMS.

Approve Reject Delete Cancel

Figure 4.12 User Profile page

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

The screenshot shows the e-Submission System interface. At the top, the HKEX logo and 'e-Submission System' title are visible. A green banner displays the message: 'User account 8888LLRM2 has been created successfully.' Below this, there are input fields for 'Company Code' (LM8888), 'Company Name' (XYZ Group Ltd.), and 'Company Type' (Main Board Issuer). The 'User Profile List' section includes a search bar and a table of users.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 8888AADM	Chan Tai Man	Administrator	Active	No	No
<input type="checkbox"/> 8888DDI1	Chan Tai Man	DI User	Active	Yes	No
<input type="checkbox"/> 8888LLRM2	Chan Tai Man	Listing Related Matters User	Inactive	No	No
<input type="checkbox"/> 8888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
<input type="checkbox"/> 8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Active	No	No
<input type="checkbox"/> 8888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
<input type="checkbox"/> 8888SSOR	Chan Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

Total Number of Records : 8

Navigation: << 1 >>

Buttons: New, User Details, Back to Home

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 Administrator or Security Officer** page will be displayed. Select *Request For* as “Change Administrator” or “Change Security Officer” as appropriate.

User Profile - Change of Administrator or Security 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 Name¹: USER NAME User ID: User ID

*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: 852 Area Code (if any) + Mobile No.: 91234567

*Email: Email

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.

² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.

Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Confirm, 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 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.

User Details

Request For: Change Security Officer

*User Name ¹: CHAN User ID: 123455CHAN

*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 852 Area Code (if any) + Mobile No. 91234567

*Email: Email

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.

² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.

Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Confirm, 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 [Privacy Policy](#).

Confirm Cancel

Figure 4.16 Request for Change of Administrator/ Security Officer

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

Confirmation ✕

Are you sure to submit?

Confirm Cancel

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

- 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.

HKEX
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 繁

Home Admin Logout

Welcome Tai Man Chan | 11/04/2019 14:29

Saved successfully.

Figure 4.18 Change of Administrator – Acknowledgement

- 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.

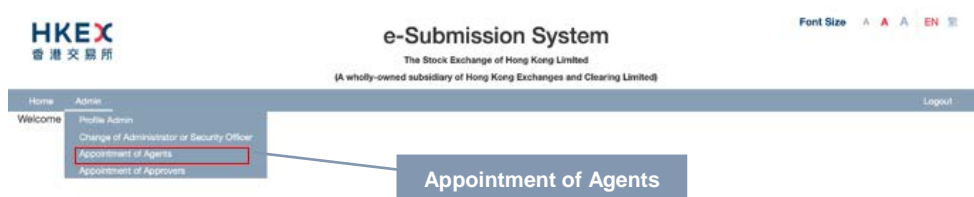


Figure 4.19 Appointment of Agents menu

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.

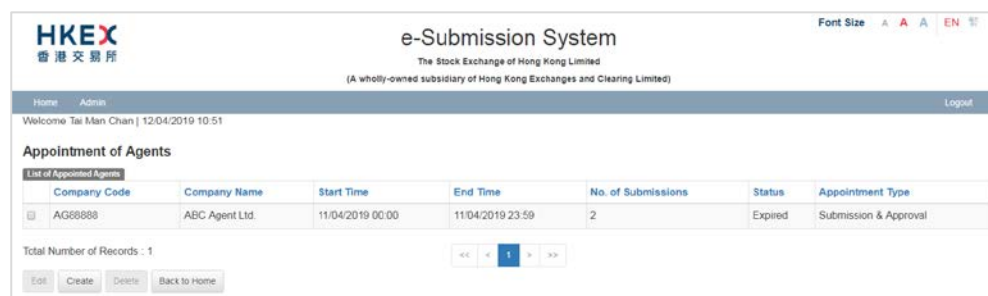


Figure 4.20 Appointment of Agents page (Listed Issuers)

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.

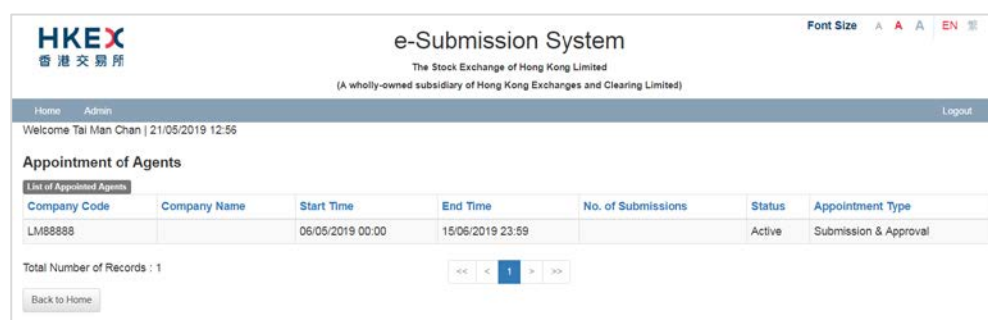


Figure 4.21 Appointment of Agents page (Agents)

4.4.1 Appoint an Agent

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

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.

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.

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.

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.

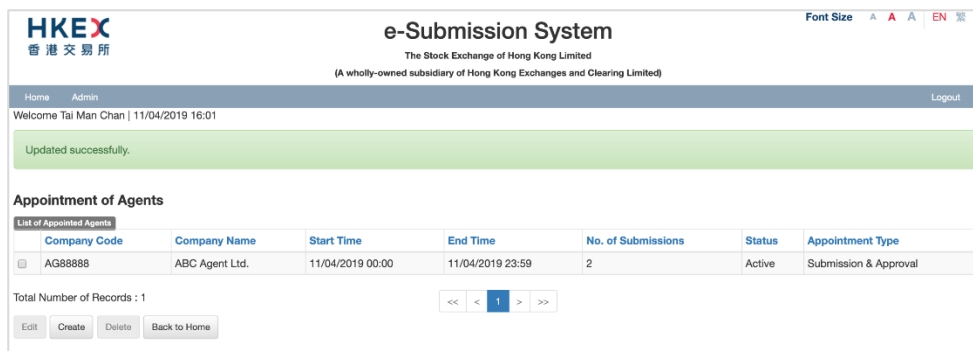


Figure 4.26 Appointment of Agents page – Acknowledgement

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.

The screenshot shows the 'Appointment of Agents' page. At the top, there's a header with the HKEX logo and 'e-Submission System'. Below that, a navigation bar includes 'Home', 'Admin', and 'Logout'. A welcome message says 'Welcome Tai Man Chan | 12/04/2019 11:36'. The main section is titled 'Appointment of Agents' and contains a table with the following data:

Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
<input checked="" type="checkbox"/> AG68888	ABC Agent Ltd.	12/04/2019 00:00	12/04/2019 23:59	2	Active	Submission & Approval
<input type="checkbox"/> AG68888	ABC Agent Ltd.	11/04/2019 00:00	11/04/2019 23:59	2	Expired	Submission & Approval

Below the table, it says 'Total Number of Records: 2'. At the bottom, there are buttons: 'Edit' (highlighted with a red box), 'Create', 'Delete', and 'Back to Home'.

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.

The screenshot shows the 'Appointment Details' form. It includes the following fields:

- *Company Code: AG68888
- *Company Name: ABC Agent Ltd.
- *Appointment Criteria: Time Range & No. of Submissions
- *Start Time: 12/04/2019 00:00
- *End Time: 12/04/2019 23:59
- *No. of Submissions: 2
- *Appointment Type: Submission & Approval

At the bottom, there is a 'Confirm' button highlighted with a red box. Above the form, there are buttons: 'Edit', 'Create', 'Delete', and 'Back to Home'.

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.

The screenshot shows the 'Appointment of Agents' page after a successful update. A green banner at the top says 'Updated successfully.'. Below it, the table shows the appointment is now 'Active':

Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
<input type="checkbox"/> AG68888	ABC Agent Ltd.	11/04/2019 00:00	11/04/2019 23:59	2	Active	Submission & Approval

Below the table, it says 'Total Number of Records: 1'. At the bottom, there are buttons: 'Edit', 'Create', 'Delete', and 'Back to Home'.

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.

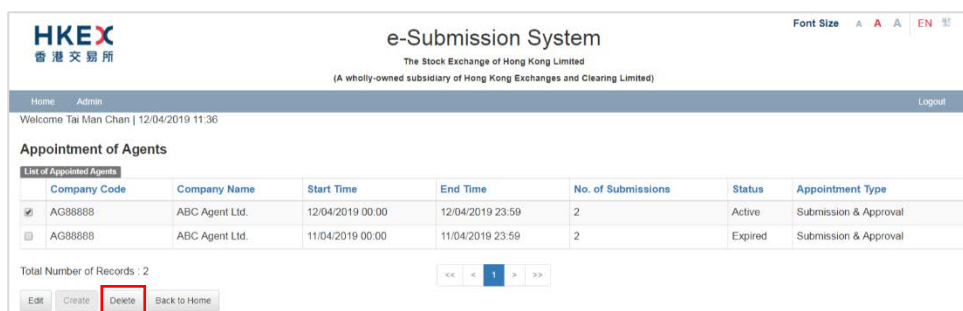


Figure 4.30 Appointment of Agents page – Select appointment for deletion

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

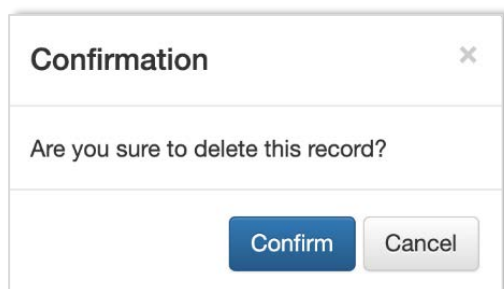


Figure 4.31 Appointment of Agents – Delete confirmation

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.

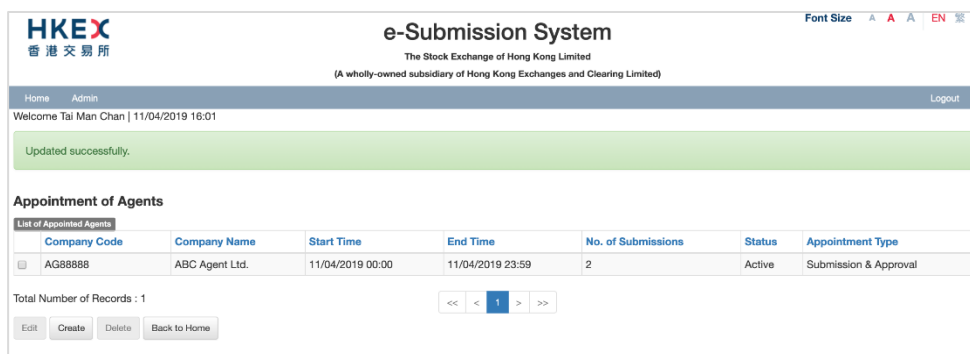


Figure 4.32 Appointment of Agents page – Acknowledgement message

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 **disabled** (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.



Figure 4.34 Appointment of Approvers page

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

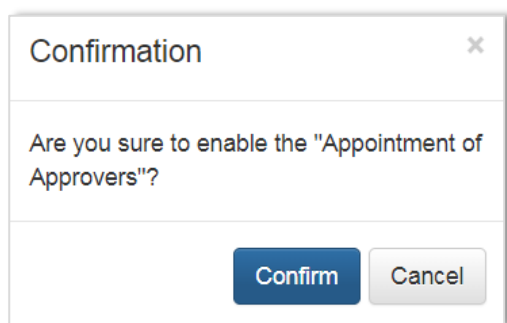


Figure 4.35 Enable the Appointment of Approvers – Confirmation

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 7 business days before the appointment will expire; and

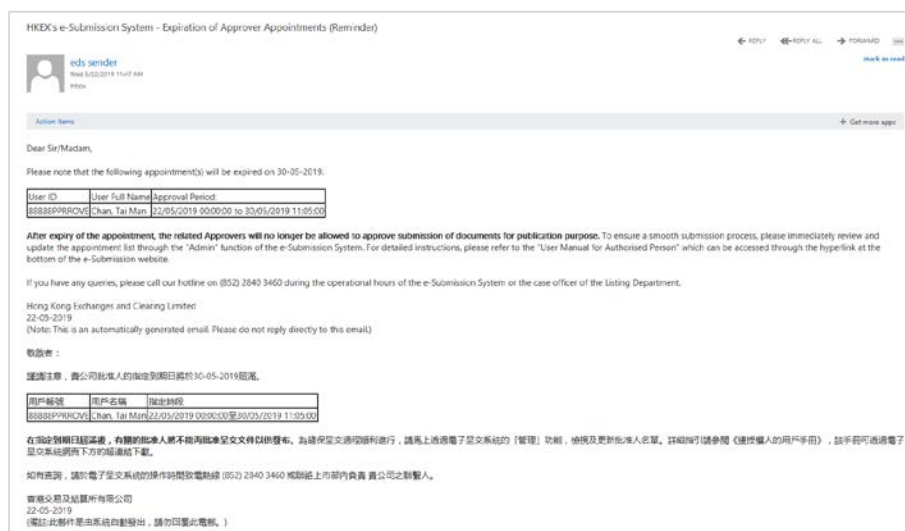


Figure 4.36 Expiration of Approver appointments(reminder)

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

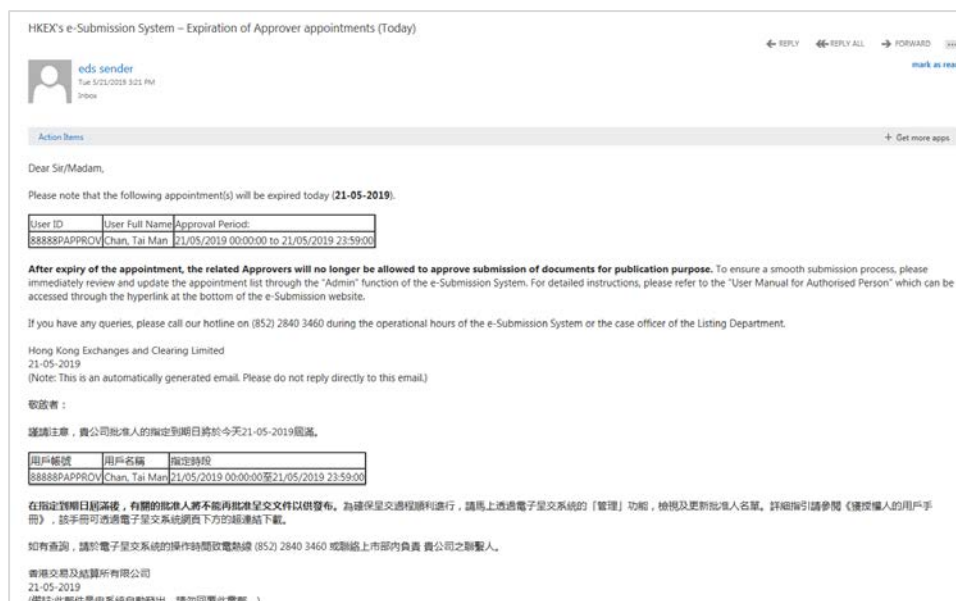


Figure 4.37 Expiration of Approver appointments(today)

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

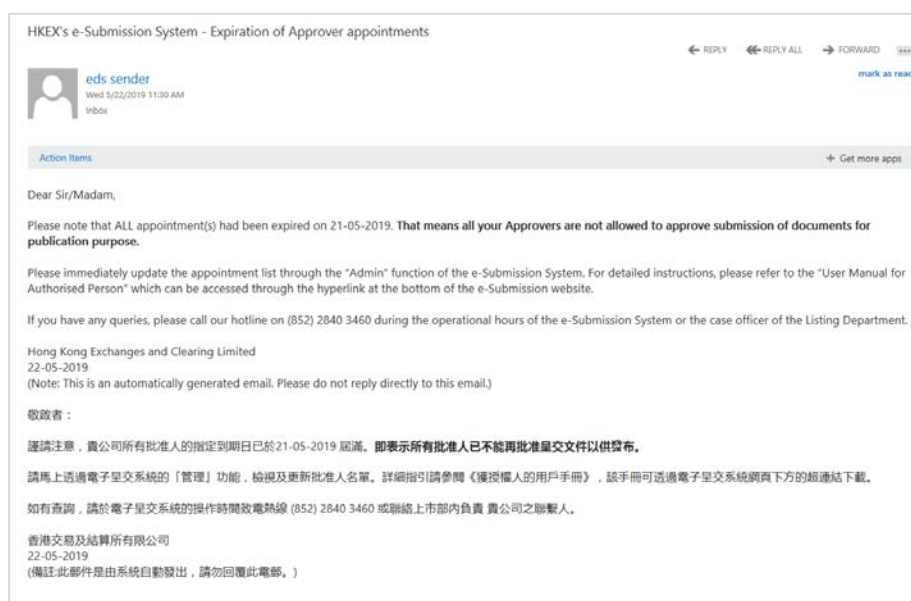


Figure 4.38 Expiration of Approver appointments

4.5.2 Appoint an Approver

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

The screenshot shows the 'Appointment of Approvers' page in the e-Submission System. The page includes a header with the HKEX logo and system name. Below the header, there are navigation links (Home, Admin) and a user welcome message. The main content area is titled 'Appointment of Approvers' and contains several sections:

- Notes:**
 - By clicking "Enable" – Authorised Persons can specify a time 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 submission approvals by the Approvers in its own company.
 - The default setting is set as "Disable".
- Appointment of Approvers:**
 - Buttons: ☒ Enable, ☐ Disable
 - List of Appointed Approvers:** A table with columns: User ID, User Full Name, Start Time, End Time, No. of Submissions, Status. The table is currently empty.
 - Total Number of Records : 0
 - Buttons: Edit, **Create** (highlighted with a red box), Delete, Back to Home
 - Appointment Details:**
 - * Denotes mandatory fields
 - * Approver: Please Select (dropdown menu)
 - * Appointment Criteria: Please Select (dropdown menu)
 - Confirm button

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.

The screenshot shows the 'Appointment of Approvers' page with the 'Appointment Details' section expanded. The 'List of Appointed Approvers' table now contains one record:

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	1	Expired

Below the table, the 'Appointment Details' section is visible:

- Appointment of Approvers:** ☒ Enable, ☐ Disable
- List of Appointed Approvers:** Same as above.
- Total Number of Records : 1
- Buttons: Edit, Create, Delete, Back to Home
- Appointment Details:**
 - * Denotes mandatory fields
 - * Approver: 88888PAPPROV Chan Tai Man (dropdown menu)
 - * Appointment Criteria: Time Range & No. of Submissions (dropdown menu)
 - * Start Time: 12/04/2019 00:00
 - * End Time: 12/04/2019 23:59
 - * No. of Submissions: 1
 - Confirm button

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.

The screenshot shows the 'Appointment of Approvers' page in the e-Submission System. At the top, there's a header with the HKEX logo and the system name. Below the header, a green banner displays 'Updated successfully.' The main content area includes a section titled 'Appointment of Approvers' with a 'Notes' section explaining the 'Enable' and 'Disable' options. Below this, there are radio buttons for 'Enable' (selected) and 'Disable'. A table titled 'List of Appointed Approvers' contains one entry for 'Chan Tai Man' with a 'No. of Submissions' of 2 and a status of 'Active'. At the bottom, there are buttons for 'Edit', 'Create', 'Delete', and 'Back to Home'.

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

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.

The screenshot shows the 'Appointment of Approvers' page in the e-Submission System. It includes a table with columns: User ID, User Full Name, Start Time, End Time, No. of Submissions, and Status. A single record is shown for user 88888PAPPROV, Chan Tai Man, with an active status. Below the table, the 'Edit' button is highlighted with a red box.

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

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.

The screenshot shows the 'Appointment Details' form in the e-Submission System. It includes fields for Appointer, Appointment Criteria, Start Time, End Time, and No. of Submissions. The 'Confirm' button is highlighted with a red box.

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

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.

The screenshot shows the 'Appointment of Approvers' page with a green banner at the top indicating '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.

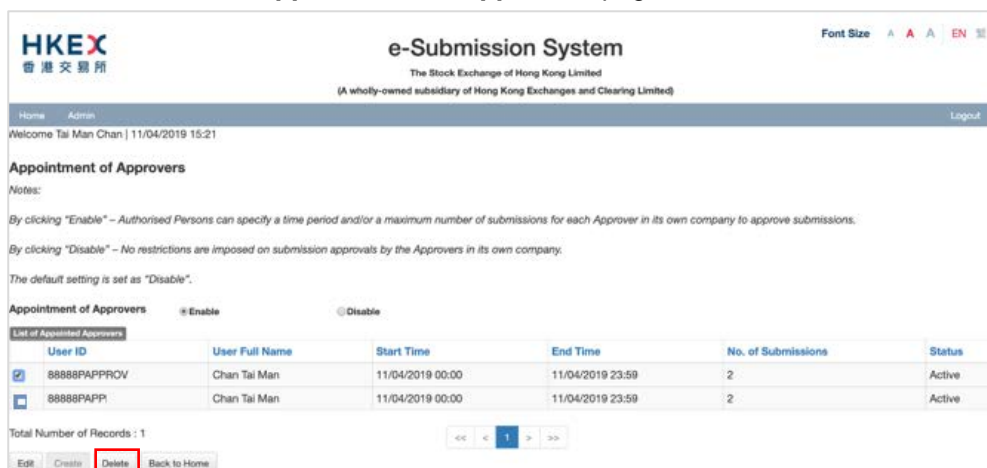


Figure 4.45 Appointment of Approvers page – Appointment list

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

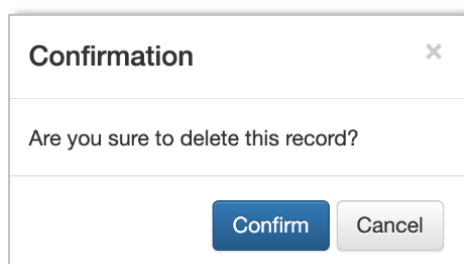


Figure 4.46 Appointment of Approvers – Delete confirmation

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.

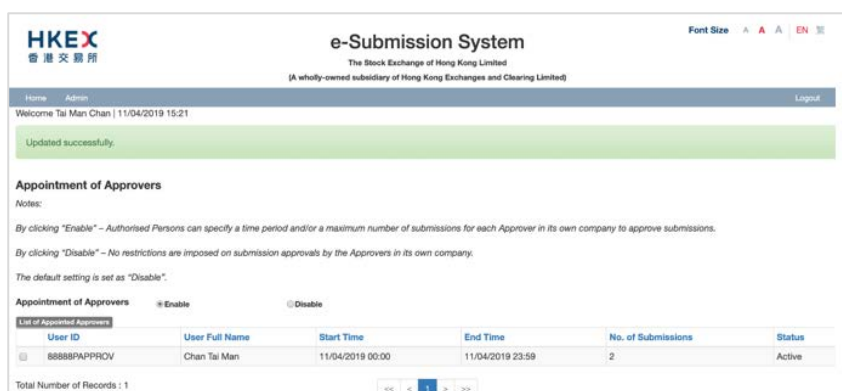
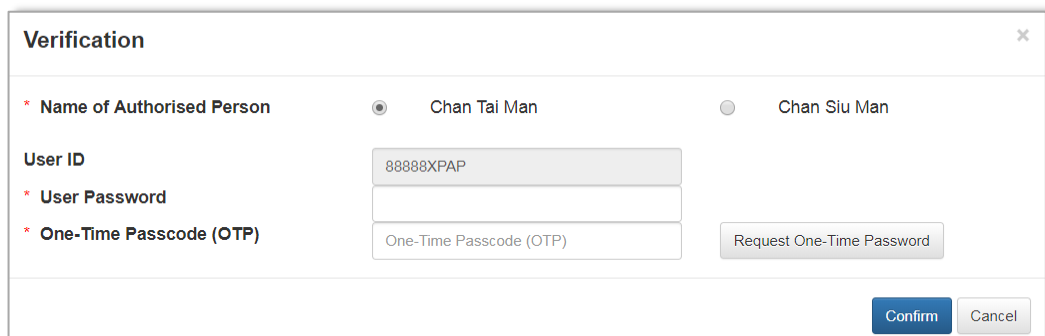


Figure 4.47 Appointment of Approvers page – Acknowledgement message

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:



The image shows a 'Verification' dialog box with a close button (X) in the top right corner. It contains the following fields and controls:

- Name of Authorised Person:** Two radio buttons are present. The first is selected and labeled 'Chan Tai Man'. The second is labeled 'Chan Siu Man'.
- User ID:** A text input field containing the value '88888XPAP'.
- User Password:** A text input field.
- One-Time Passcode (OTP):** A text input field containing the placeholder text 'One-Time Passcode (OTP)'. To the right of this field is a button labeled 'Request One-Time Password'.
- Buttons:** At the bottom right, there are two buttons: 'Confirm' (highlighted in blue) and '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:

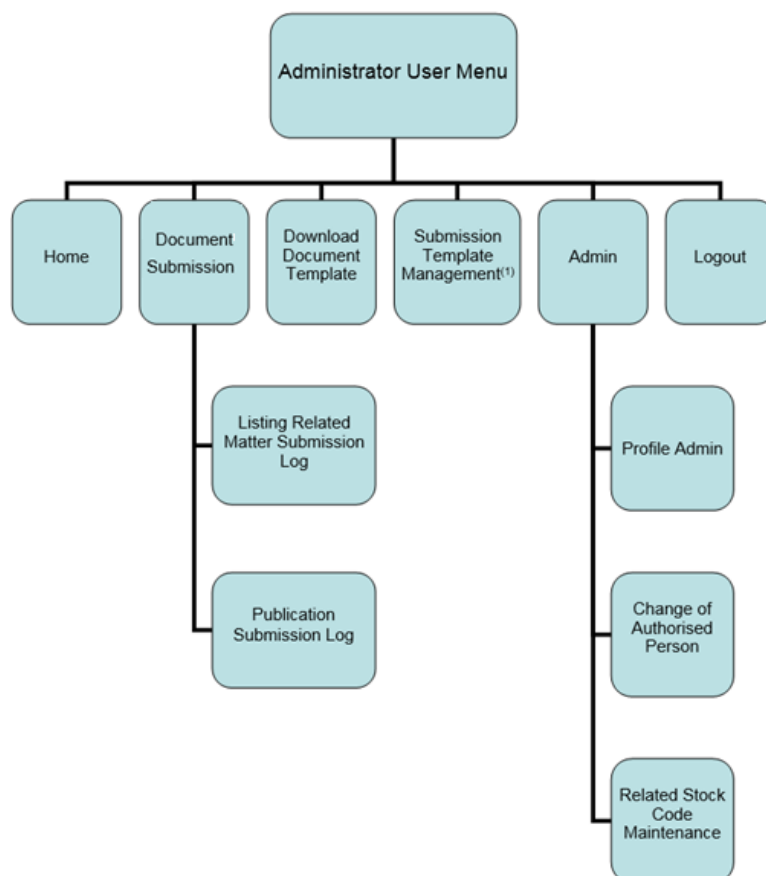
- You will only use the REQUEST ONE-TIME PASSWORD button as a **back-up channel** when you cannot retrieve OTP from the assigned token. Enter your User Password, then clicks REQUEST ONE-TIME PASSWORD button. An OTP will be sent to your registered mobile number via SMS. Enter the OTP in the *One-Time 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.

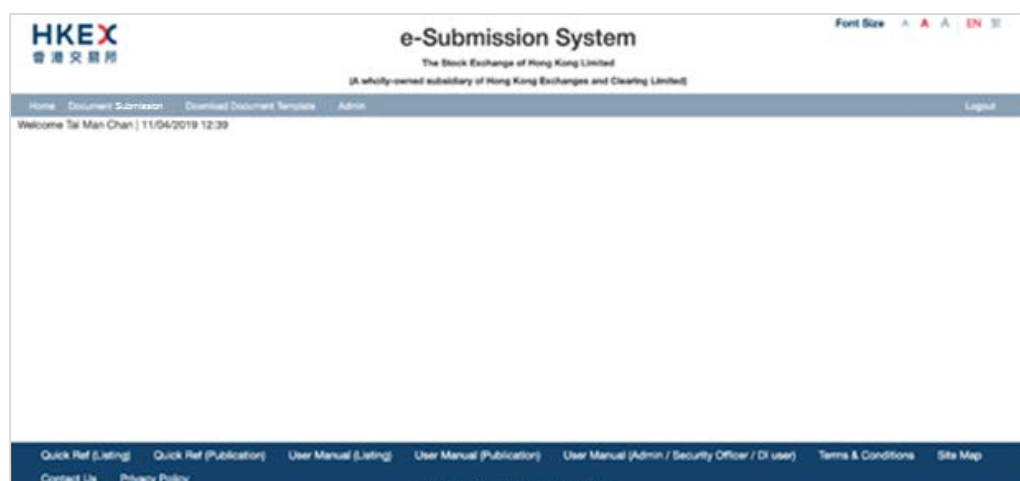


Figure 5.1 Administrator User Menu

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.

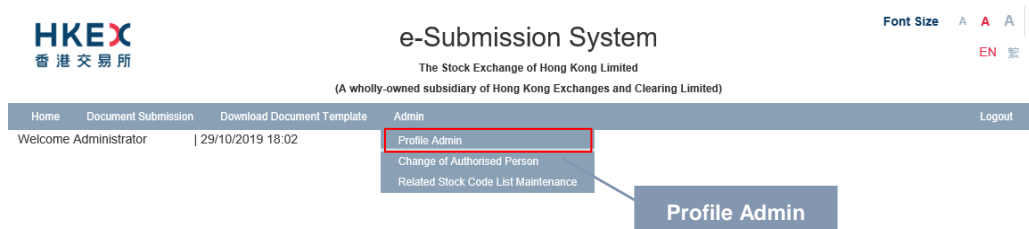


Figure 5.2 Profile Admin menu

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

The screenshot shows the 'Company Profile' page. Under the 'Company Details' section, there are several input fields for company information. At the bottom of the page, there are four buttons: 'Amend Company Profile', 'User List', 'My Profile', and 'Back to Home'. The 'Amend Company Profile' button is highlighted with a red box.

Figure 5.3 Company Details page

- 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.

HKEX
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)

Home Document Submission Download Document Template Admin Logout

Welcome Administrator | 29/10/2019 18:11

Company Profile - Edit

* Denotes mandatory fields

Company Details

Company Code	LM00000	Company Type	Debt Securities Issuers
* Company Name (English)	XYZ Company Limited		
Company Name (Chinese)			
Company Website			
* Address (English)	10/F-12/F, One International Financial Centre, 1 Harbour View Street, Central HK		
	Address (Chinese) 香港 國際金融中心 第一座10樓 上市科		
Fax No.	N/A		

Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Save, 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 [Privacy Policy](#).

Save Cancel

Figure 5.4 Amend Company Profile

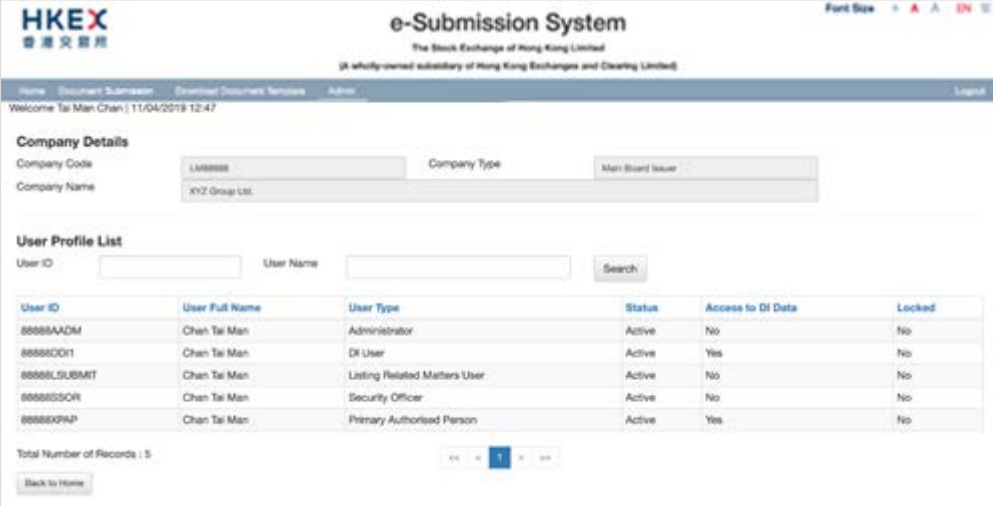
- If the company profile has been updated successfully, an acknowledgement message will be displayed.
- Select HOME in the Main Menu to return to the **User Home** page.

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.



Company Details

Company Code: LM8888 Company Type: Main Board Issuer

Company Name: XYZ Group Ltd.

User Profile List

User ID: User Name:

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
8888AADM	Chan Tai Man	Administrator	Active	No	No
8888DDI1	Chan Tai Man	DI User	Active	Yes	No
8888LSUBMT	Chan Tai Man	Listing Related Matters User	Active	No	No
8888SSOR	Chan Tai Man	Security Officer	Active	No	No
8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

Total Number of Records : 5

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.

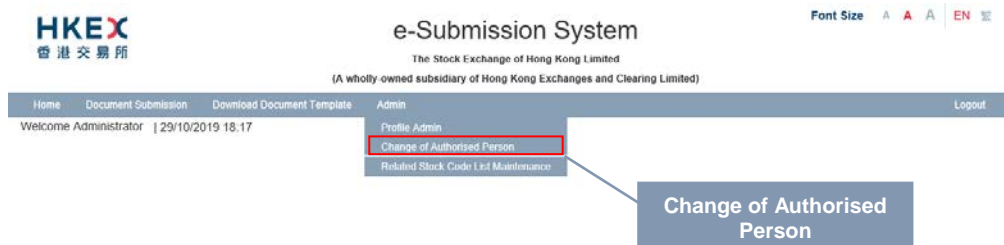


Figure 5.6 Change of Authorised Person menu

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

The screenshot displays the 'User Profile - Change of Authorised Person' page. It includes the following sections:

- Company Details:** Fields for Company Code (LM7444Z), Company Name (Internat Administrator for Disclaimer), and Company Type (Debt Securities Issuers).
- Request For:** A dropdown menu labeled 'Please Select'.
- User Details:** Fields for User Type (Please Select), User Name (USER NAME), Family Name (English) (Family Name (English)), Salutation (Please Select), Phone No. (Phone No.), User ID, Given Name (English) (Given Name (English)), and Position (Position).
- Corresponding Address (if different from Company Address):** Fields for English Address (line 1 to 4) and Chinese Address (line 1 to 4).
- *Mobile No. ²:** Fields for Country Code (852) and Area Code (if any) + Mobile No. (91234567).
- *Email:** A text field for the email address.
- *Access to DI Data ³:** Radio buttons for Yes and No.
- Footnote ¹:** The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.
- Footnote ²:** Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.
- Footnote ³:** Access to view and download Disclosure of Interests ("DI") notices filed with the Exchange concerning on its own company. (Applicable to listed issuers only).
- File(s) Upload:** A button to 'Add File(s)' and a section for 'Uploaded File(s) List'.
- File Description:** A text area for describing the uploaded file.
- Submit/Cancel:** Buttons at the bottom of the form.

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.

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

5. 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.

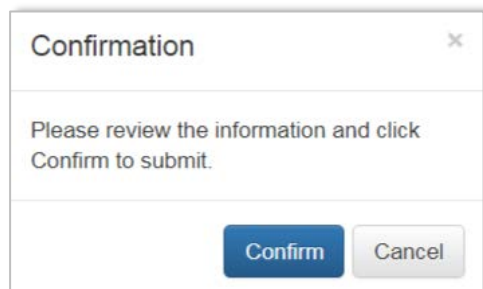


Figure 5.9 Change of Authorised Person page – Confirmation

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

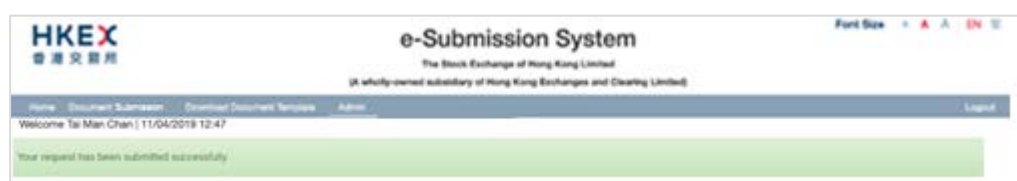


Figure 5.10 Change of Authorised Person – Acknowledgement

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.

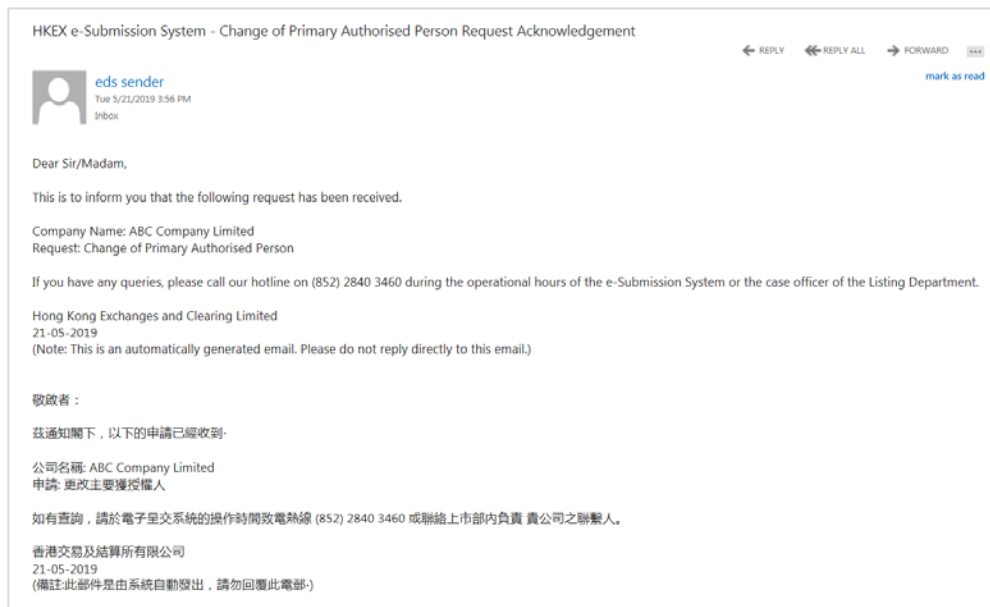


Figure 5.11 Sample Email - Change of Authorised Person Request Acknowledgement

- 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”).

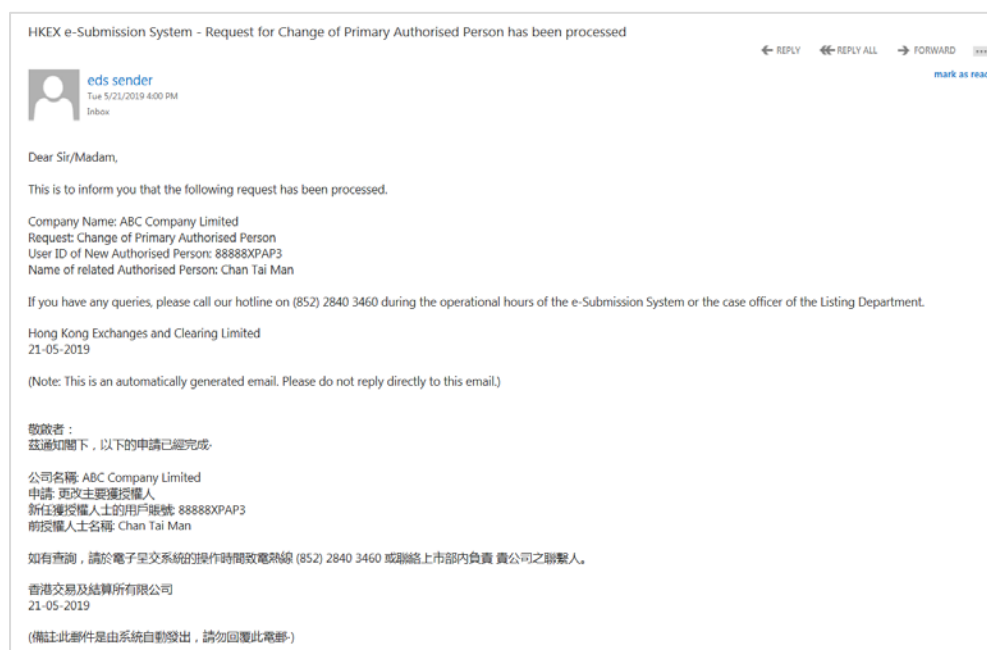


Figure 5.12 Sample Email – Request for change of Authorised Person processed

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.

The screenshot displays the 'User Profile - Change of Authorised Person' page. The 'Request For' dropdown menu is highlighted with a red rectangle, indicating the selection of 'Remove Secondary Authorised Person'. The form includes fields for Company Code, Company Name, User ID, Family Name, Salutation, Phone No., Corresponding Address (English and Chinese), Mobile No., and Email. There are also checkboxes for 'Access to CI Data' and 'Access to view and download Disclosure of Interests (DI) notices'. At the bottom, there is a 'File(s) Upload' section with 'Add File(s)' and 'Upload File(s) List' buttons, and a 'Submit' button.

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

5. A Confirmation dialog box will be prompted.

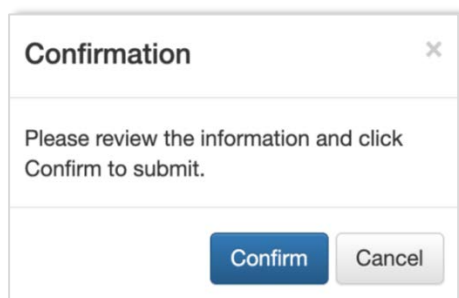


Figure 5.14 Change of Authorised Person page - Confirmation

6. Click Confirm to submit the request.

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

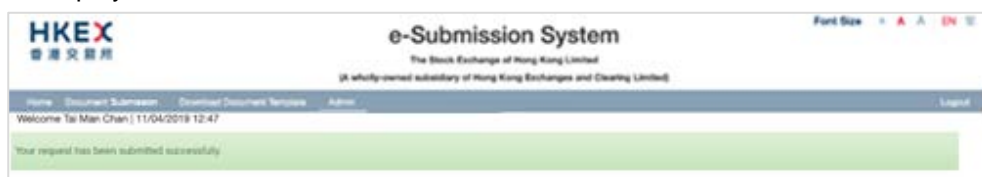


Figure 5.15 Change of Authorised Person – Acknowledgement

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.



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.

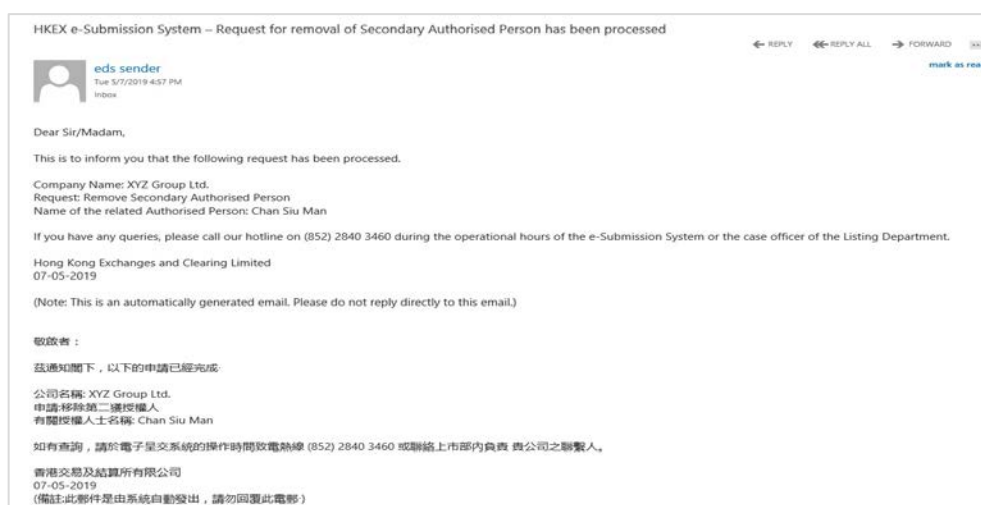


Figure 5.17 Sample Email – Request for removal of Secondary Authorised Person processed

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.

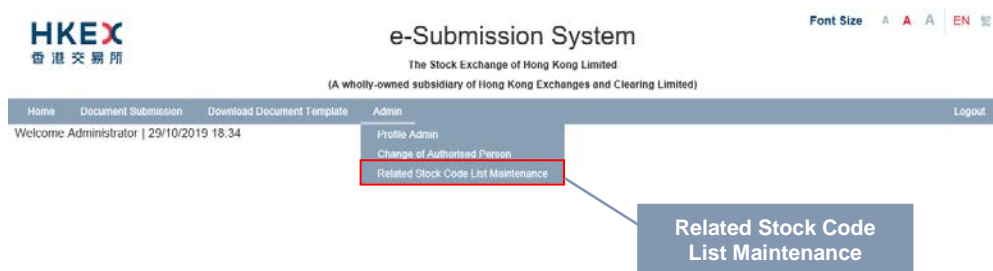


Figure 5.18 Related Stock Code List Maintenance menu

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.

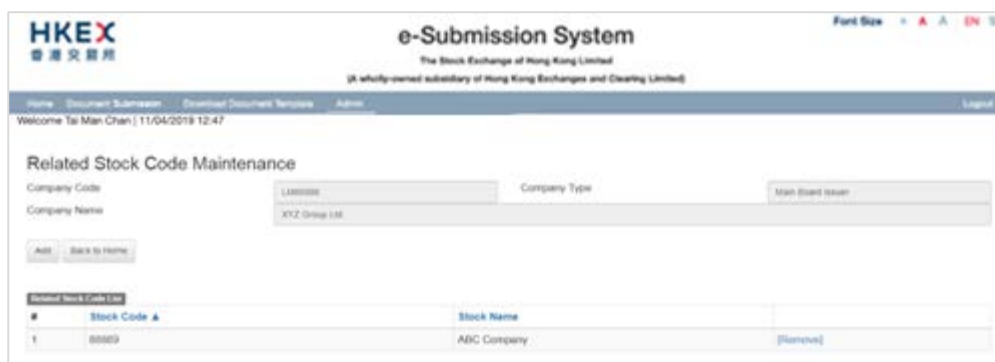


Figure 5.19 Related Stock Code Maintenance page

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.

The screenshot shows the 'Related Stock Code Maintenance' page in the HKEX e-Submission System. The page header includes the HKEX logo and the system name. The main content area contains a form with the following fields: Company Code (LM88888), Company Name (XYZ Group Ltd.), Company Type, and Main Board Issuer. Below the form, there is a table titled 'Related Stock Code List' with columns for Stock Code and Stock Name. The table is currently empty.

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.

The screenshot shows the 'Related Stock Code Maintenance' page after a successful addition. A green message box at the top says 'Saved successfully.' Below this, the 'Related Stock Code List' table now contains one entry: Stock Code 88889, Stock Name ABC Company, and a Remove button.

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.

The screenshot shows the 'Related Stock Code Maintenance' page with an error message. A red message box at the top says 'Invalid Related Stock Code.'

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.

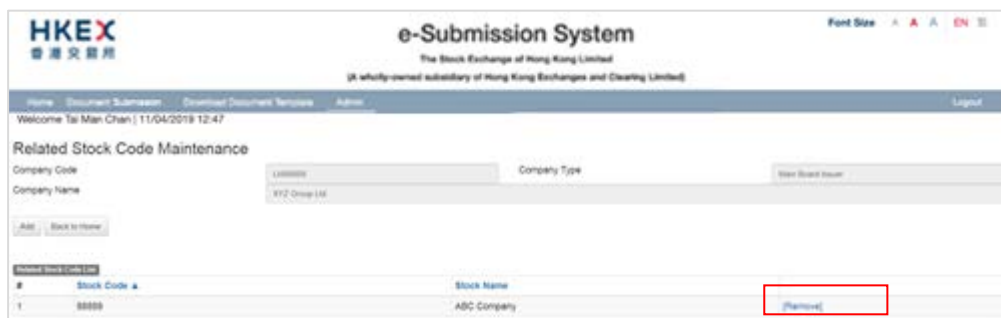


Figure 5.23 Related Stock Code List Maintenance - Remove a related stock

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

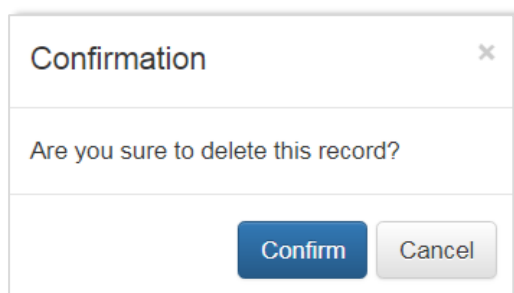


Figure 5.24 Related Stock Code List Maintenance - Confirmation

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

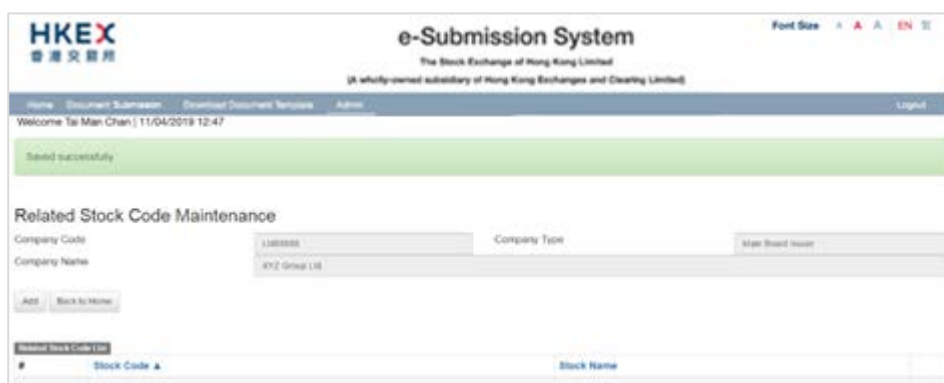


Figure 5.25 Related Stock Code List Maintenance - Acknowledgement

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.

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.



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.

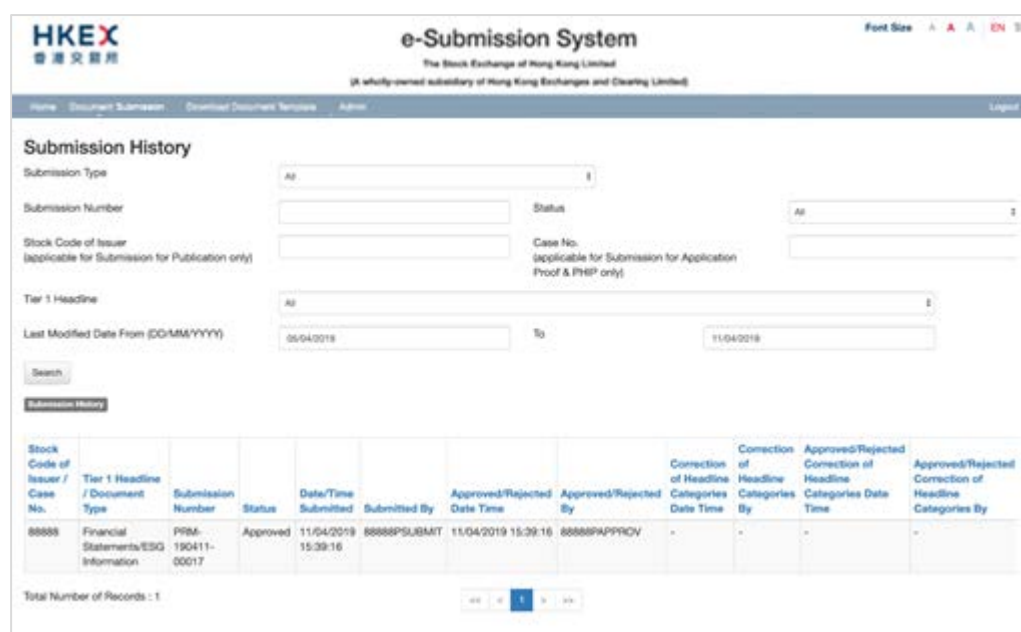


Figure 5.29 View Publication Submission Log

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.

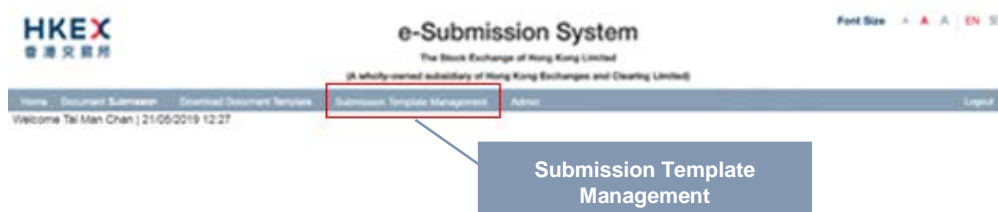


Figure 5.30 Submission Template Management menu

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.

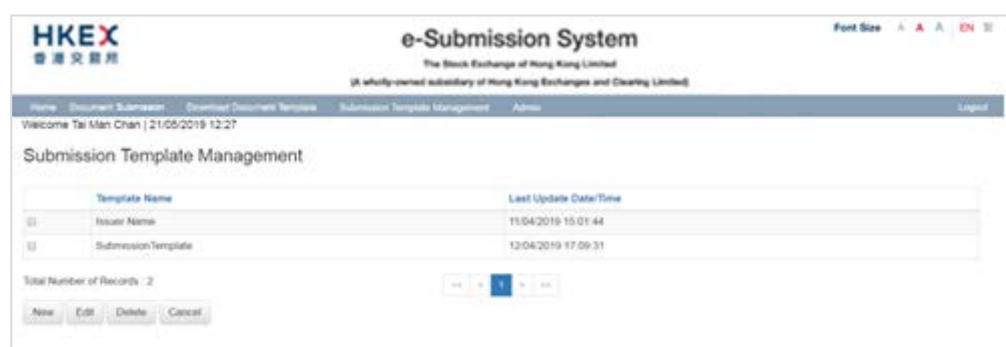


Figure 5.31 Submission Template Management page

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.

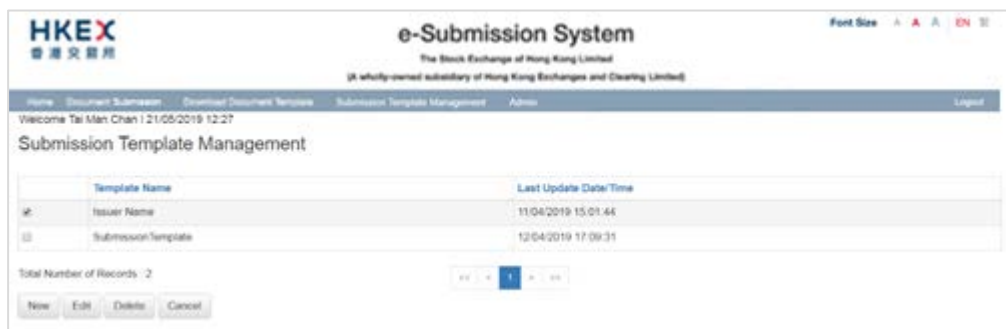


Figure 5.32 Submission Template Management page – Select Issuer Name

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



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.

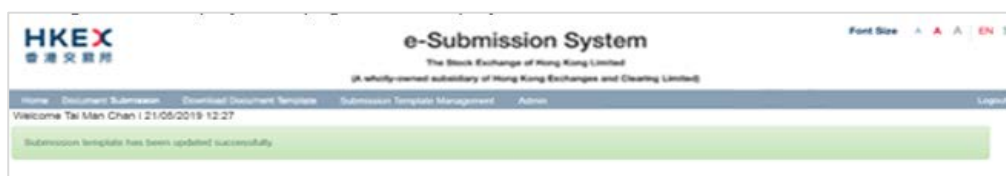


Figure 5.34 Submission Template Management page – Acknowledgement

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.

The screenshot displays the 'Submission Template Management - Create / Edit Template' page. At the top, there's a navigation bar with 'Home', 'Document Submission', 'Download Documents Templates', 'Submission Template Management', and 'Admin'. Below the navigation bar, a welcome message reads 'Welcome Tai Man Chan | 21/05/2019 12:27'. The main heading is 'Submission Template Management - Create / Edit Template'. A note states '* Denotes mandatory fields'. The form includes:

- Template Name:** A text input field.
- Contact Person:** A text input field.
- Contact Number:** A text input field.
- Tier 1 headline:** A dropdown menu with 'Info and Structured Products' selected.
- Tier 2 headline:** A section titled 'Tier 2 headline - Available Items:' containing a list of items: 'Calculate Build/Bear Comments - CBBC', 'Additional Information - Evolve CBBC', 'Adjustment to Terms and Conditions - CBBC', 'Sale Listing Document - CBBC', 'Daily Trading Report - CBBC', 'Equity Announcement - CBBC', 'Insider Information - CBBC', 'Launch Announcement - CBBC', 'Liquidity Provision Service - CBBC', and 'Market Disruption Event - CBBC'. Below this list is an 'Add' button.
- Tier 2 headline - Selected Items:** A text input field.
- English Title:** A text input field.
- Chinese Title:** A text input field.

 At the bottom, a disclaimer states: 'By clicking on Save I confirm that the individual(s) whose personal data is disclosed in my use of this application consent to the processing of their personal data in accordance with the HKEX Privacy Policy.' Below the disclaimer are 'Save' and 'Cancel' buttons. The 'Save' button is highlighted with a red box.

Figure 5.35 Submission Template Management page – Create Template

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

The screenshot displays the 'Submission Template Management - Acknowledgement' page. At the top, the navigation bar and welcome message are the same as in Figure 5.35. A green banner at the top of the main content area contains the message: 'Submission template has been updated successfully!'. Below the banner, the heading is 'Submission Template Management - Create / Edit Template'. The form fields are now populated:

- Template Name:** 'Template 1'
- Contact Person:** 'Chan Tai Man'
- Contact Number:** '20221911'
- Tier 1 headline:** 'Info and Structured Products'
- Tier 2 headline:** 'Subsidiary Announcement - CBBC'
- English Title:** 'English Newst. Title'
- Chinese Title:** 'Chinese Newst. Title'

 At the bottom of the form is an 'OK' button.

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.

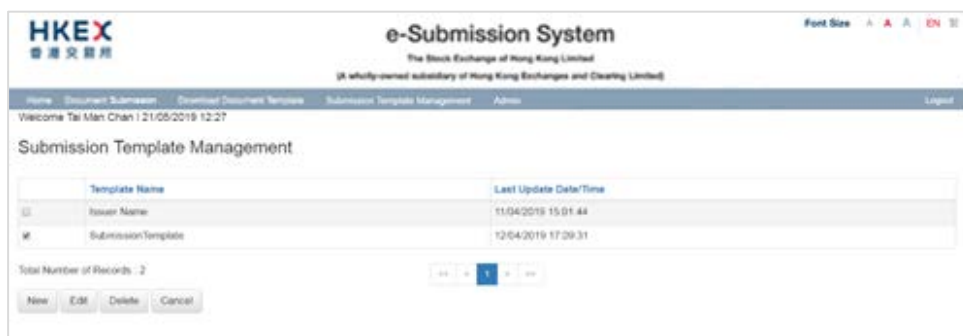


Figure 5.37 Submission Template Management page – Template selection

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

The screenshot shows the 'Submission Template Management - Create / Edit Template' page. It includes a header with the HKEX logo and system name. Below the header, there's a navigation bar with links: Home, Document Submission, Download Document Template, Submission Template Management, and Admin. A welcome message reads 'Welcome Tai Man Chan | 21/05/2019 12:27'. The main heading is 'Submission Template Management - Create / Edit Template'. Below this, there's a section for 'Denotes mandatory fields'. The form contains several input fields: 'Template Name' (with a dropdown menu), 'Contact Person' (with a dropdown menu), 'Contact Number' (with a text input field), 'Tar 1 Headline' (with a dropdown menu), and 'Tar 2 Headline' (with a dropdown menu). Below these fields, there's a section for 'Available Items' with a list of items: 'Callable Bull/Bear Contracts - CBBC', 'Additional Information - Extra CBBC', 'Adjustment to Terms and Conditions - CBBC', 'Base Listing Document - CBBC', 'Daily Trading Report - CBBC', 'Early Announcement - CBBC', 'Inside Information - CBBC', 'Liquidity Provision Service - CBBC', 'Market Disruption Event - CBBC', and 'Other - CBBC'. Below this list is an 'Add' button. Below the 'Add' button, there's a section for 'Selected Items' with a list of items: 'Launch Announcement - CBBC' and 'Supplemental Listing Document - CBBC'. Below this list, there's a section for 'English Title' and 'Chinese Title' with input fields. At the bottom, there's a 'Save' button highlighted with a red box, and a 'Cancel' button.

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.

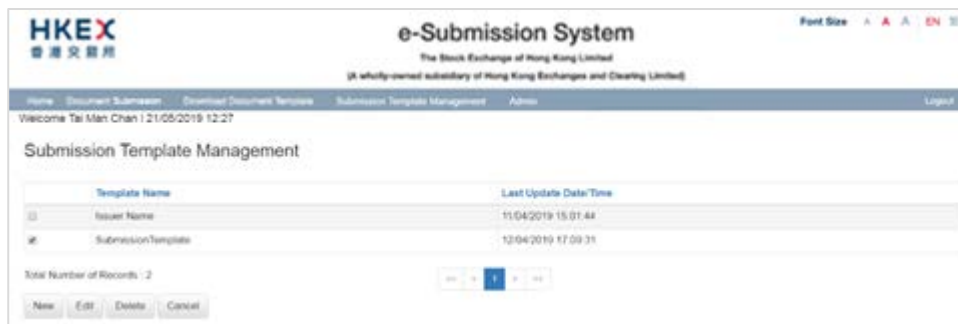


Figure 5.39 Submission Template Management page – Template selection

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

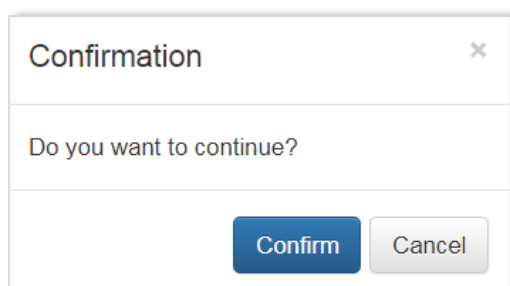


Figure 5.40 Submission Template Management page – Delete Template

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

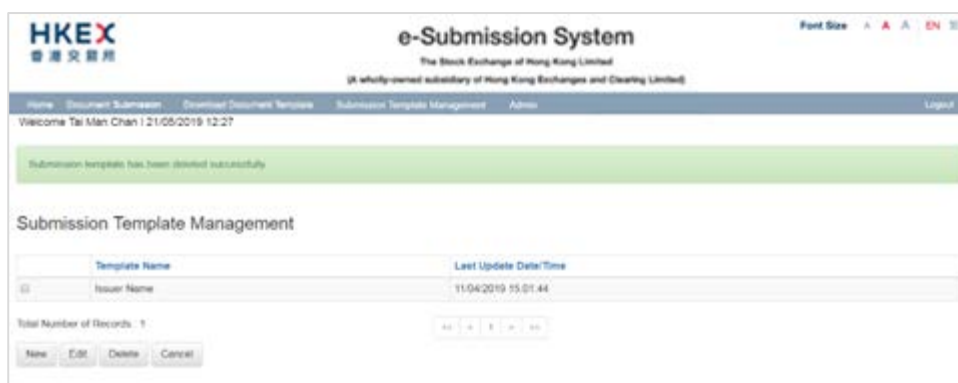


Figure 5.41 Submission Template Management page – Acknowledgement

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:

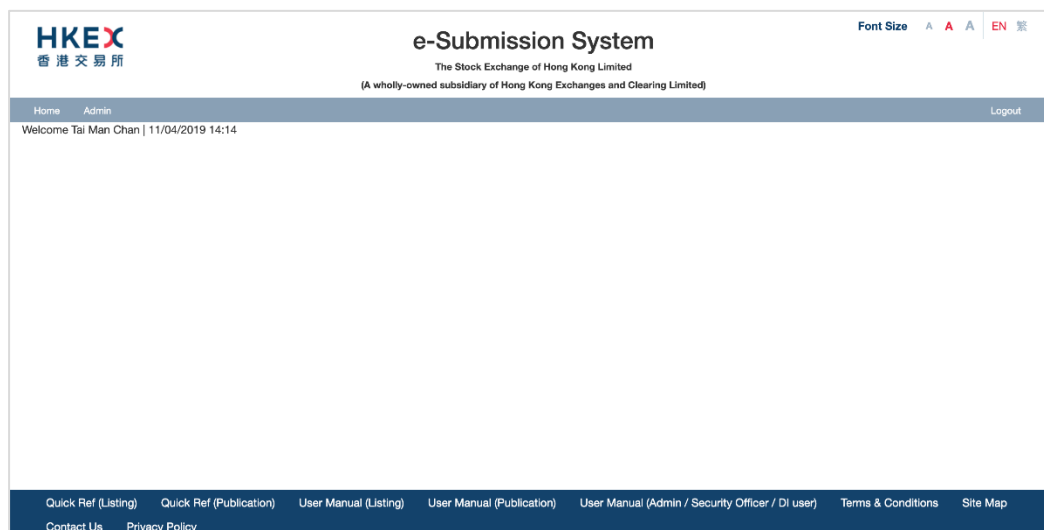
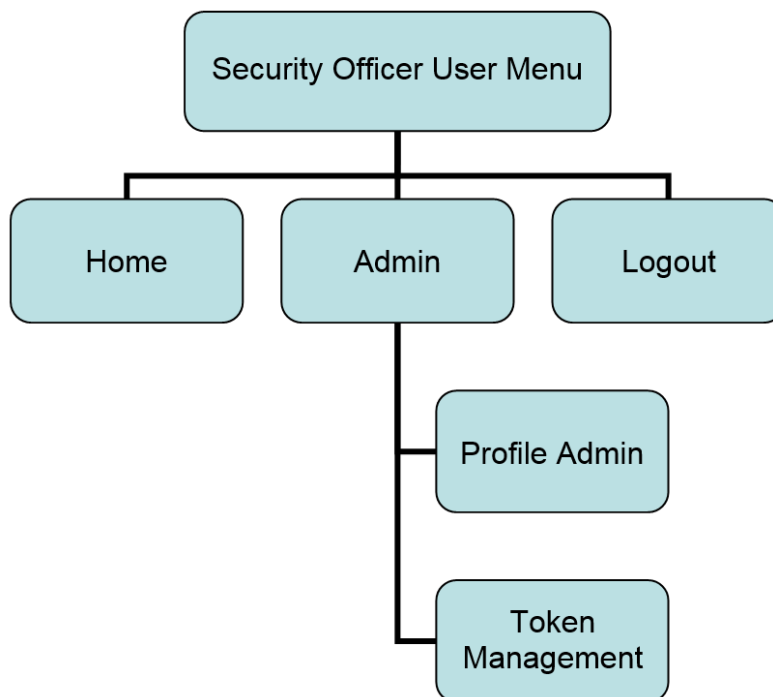


Figure 6.1 Security Officer User Menu

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.



Figure 6.2 Security Officer User Menu

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

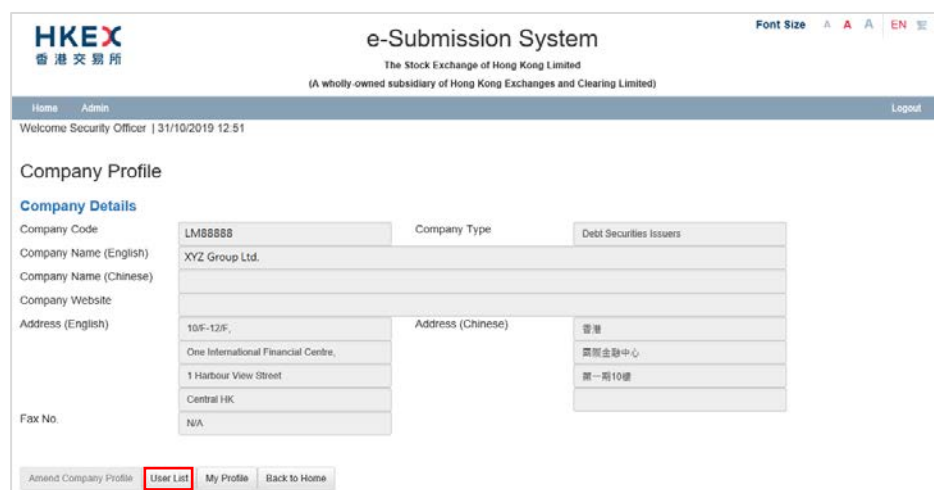


Figure 6.3 Company Profile page

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

The screenshot shows the 'User Profile List' page in the HKEX e-Submission System. The page header includes the HKEX logo and the system name. Below the header, there are navigation links and a welcome message. The main content area displays a table of users. The table has the following columns: User ID, User Full Name, User Type, Status, Access to DI Data, and Locked. The table contains several rows of user data. At the bottom of the table, there is a 'Total Number of Records' and a 'New' button, which is highlighted with a red box.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
8888AADM	Chan Tai Man	Administrator	Active	No	No
8888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Inactive	No	No
8888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
8888SSOR	Chan Tai Man	Security Officer	Active	No	No
8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

Total Number of Records : 8

New User Details Back to Home

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.

The screenshot shows the 'User Profile - New' page in the HKEX e-Submission System. The page header includes the HKEX logo and the system name. Below the header, there are navigation links and a welcome message. The main content area displays a form for creating a new user profile. The form includes the following fields: User Type (dropdown), User Name (text), Resigned (radio buttons), Family Name (English) (text), Salutation (dropdown), Phone No. (text), Mobile No. (text), and Email (text). The User ID field is populated with '7444ZPCHAN'. At the bottom of the form, there is an 'Add' button, which is highlighted with a red box.

User Profile - New

* Denotes mandatory fields

User Details

*User Type: Publication Related Matters User - Approv

*User Name¹: CHAN

User ID: 7444ZPCHAN

Resigned: ☒ Yes ☐ No

*Family Name (English): Family Name (English)

*Salutation: Please Select

*Given Name (English): Given Name

*Position: Position

*Phone No.: Phone No.

*Mobile No.²: Country Code: 852 Area Code (if any) + Mobile No.: 91234567

*Email: Email

Add Cancel

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.

² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau. Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Add, 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 Privacy Policy.

Figure 6.5 User Profile page

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.

The screenshot shows the 'e-Submission System' interface. At the top, there's a header with the HKEX logo and the system name. Below the header, a green message box states: 'User ID 8888LLRM3 has created and is pending approval from your Authorised Person.' Below this, there are input fields for 'Company Code' (LMS888), 'Company Name' (XYZ Group Ltd), and 'Company Type' (Main Board Issuer). The 'User Profile List' section contains a table with columns: User ID, User Full Name, User Type, Status, Access to DI Data, and Locked. The table lists several users, with the user ID 8888LLRM3 highlighted in red and its status 'Pending Approval' also in red. At the bottom, there are navigation buttons: 'New', 'User Details', 'Unlock', and 'Back to Home'.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
8888AADM2	Chan Tai Man	Administrator	Active	No	No
8888DDI1	Chan Tai Man	DI User	Inactive	Yes	No
8888LLRM1	Chan Tai Man	Listing Related Matters User	Active	No	No
8888LLRM2	Chan Tai Man	Listing Related Matters User	Active	No	No
8888LLRM3	Chan Tai Man	Listing Related Matters User	Pending Approval	No	No
8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Active	No	No
8888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
8888SSOR1	Chan Tai Man	Security Officer	Active	No	No
8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No
8888XSAP	Chan Siu Man	Secondary 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.

The screenshot shows the 'User Profile List' page. At the top, there's a header with 'HKEX' logo and 'e-Submission System' title. Below it, a navigation bar includes 'Home', 'Admin', and 'Logout'. A welcome message 'Welcome Tai Man Chan | 11/04/2019 14:18' is displayed. The 'Company Details' section shows 'Company Code' as 'LM88888' and 'Company Name' as 'XYZ Group Ltd.'. The 'User Profile List' section has search filters for 'User ID' and 'User Name'. The table below lists users with the following data:

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 8888AADM	Chan Tai Man	Administrator	Active	No	No
<input type="checkbox"/> 8888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
<input type="checkbox"/> 8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Inactive	No	No
<input type="checkbox"/> 8888P-SUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 8888SSOR	Chan Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

At the bottom, it shows 'Total Number of Records : 8' and navigation buttons like 'New', 'User Details', and 'Back to Home'.

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.

The screenshot shows the 'User Profile - Edit' page. It includes a legend: '* Denotes mandatory fields'. The 'User Details' section contains the following fields:

- User Type: Publication Related Matters User - Approver
- User ID: 8888PABC
- *Resigned: ☐ Yes ☒ No
- Family Name (English): Chan
- *Salutation: Mr (dropdown)
- *Phone No.: 91234567
- *Mobile No. ¹: Country Code: 852, Area Code (if any) + Mobile No.: 61031627
- *Email: chantai@abc.com
- *Token Selection: Software Token

At the bottom, there are 'Save' and 'Cancel' buttons. A footnote ¹ states: 'Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau. Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Save, 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 Privacy Policy.'

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.

The screenshot shows the 'User Profile List' page. At the top, there's a header with the HKEX logo and 'e-Submission System'. Below that, a navigation bar shows 'Home' and 'Admin'. The main content area has a 'Company Details' section with fields for 'Company Code' (LM00000) and 'Company Name' (XYZ Group Ltd). Below this is the 'User Profile List' section with a search bar and a table of users. The table has columns: User ID, User Full Name, User Type, Status, Access to DI Data, and Locked. The user 6666PAPPROV is highlighted with a red box around the 'Locked' status 'Yes'. Below the table, there are buttons for 'New', 'User Details', 'Unlock', and 'Back to Home'.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
6666AADMQ	Chan Tai Man	Administrator	Active	No	No
6666PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Active	No	Yes
6666PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
6666SSOR1	Chan Tai Man	Security Officer	Active	No	No
6666XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No
6666XSAP	Chan Su Man	Secondary Authorised Person	Active	No	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"**.

The screenshot shows the 'User Profile List' page after a successful unlock. A green banner at the top says 'Saved successfully'. The user 6666PAPPROV is now shown with a 'Locked' status of 'No'.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
6666AADMQ	Chan Tai Man	Administrator	Active	No	No
6666PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Active	No	No

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.

The screenshot shows the 'User Profile List' page. At the top, there's a header with the HKEX logo and 'e-Submission System'. Below that, a 'Company Details' section shows 'Company Code' as 'L000000' and 'Company Name' as 'XYZ Group Ltd'. The 'User Profile List' section contains a table with the following data:

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
88888AAD02	Chan Tai Man	Administrator	Active	No	No
88888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Active	No	Yes
88888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
88888SSOR1	Chan Tai Man	Security Officer	Active	No	No
88888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No
88888XSAP	Chan Su Man	Secondary Authorised Person	Active	No	No

At the bottom left of the table, there is a red box around the 'User Details' button.

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.

The screenshot shows the 'User Profile - Edit' page. The 'User Details' section has a 'Resigned' field with two radio buttons: 'No' and 'Yes'. The 'Yes' radio button is highlighted with a red circle. Below the form, there is a 'Save' button highlighted with a red box.

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.

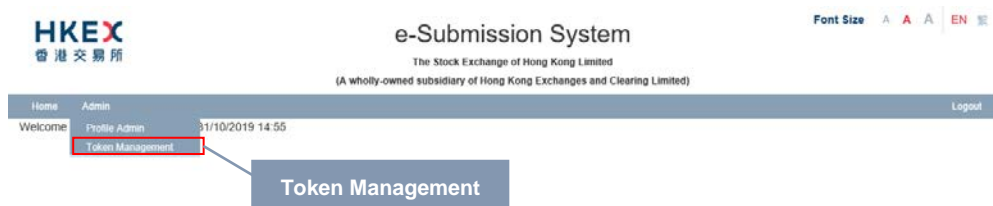


Figure 6.13 Token Management menu

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.

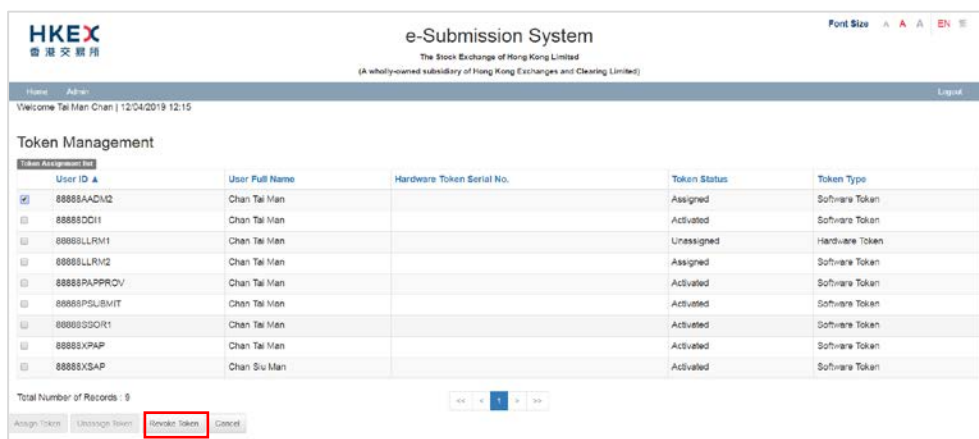


Figure 6.14 Token Management page – Select a user's token

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.

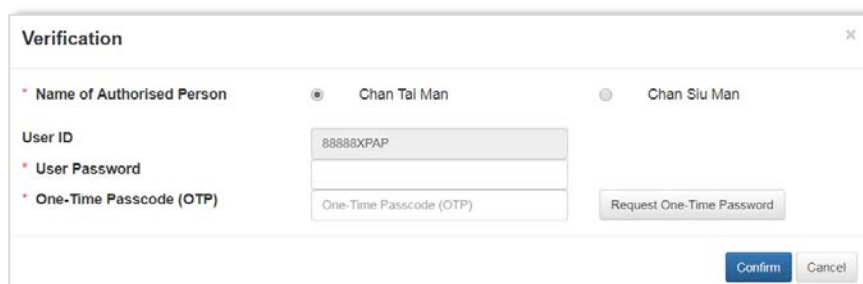
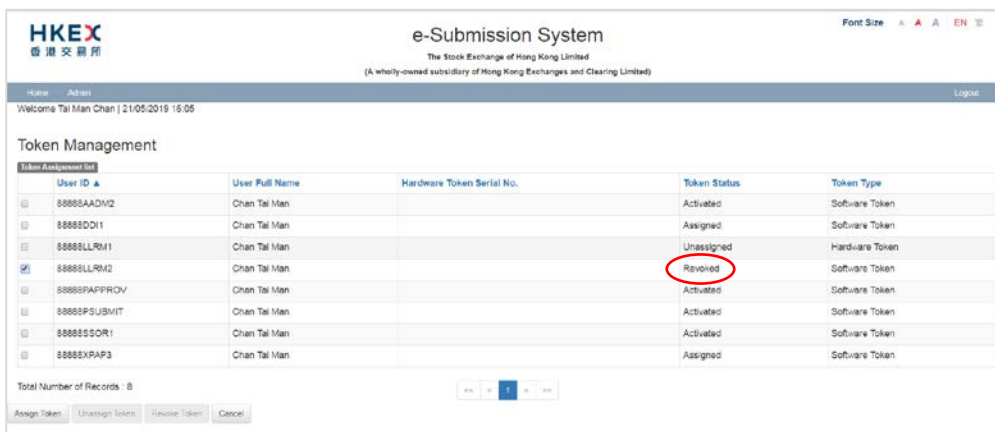


Figure 6.15 Token Management page – Revoke Token Approval

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”.

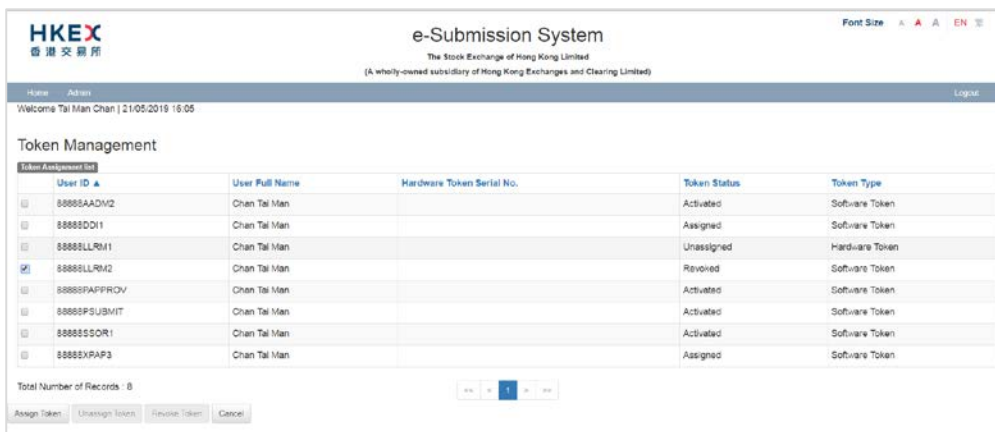


The screenshot shows the 'Token Management' page of the e-Submission System. It features a table with columns: User ID, User Full Name, Hardware Token Serial No., Token Status, and Token Type. The table contains 8 records. The record with User ID 8888LLRM2 is selected, and its 'Token Status' is 'Revoked', which is circled in red. Below the table, there are buttons for 'Assign Token', 'Unassign Token', 'Revoke Token', and 'Cancel'.

User ID	User Full Name	Hardware Token Serial No.	Token Status	Token Type
8888AADV2	Chan Tai Man		Activated	Software Token
8888DDI1	Chan Tai Man		Assigned	Software Token
8888LLRM1	Chan Tai Man		Unassigned	Hardware Token
8888LLRM2	Chan Tai Man		Revoked	Software Token
8888PAPRCV	Chan Tai Man		Activated	Software Token
8888PSUBMT	Chan Tai Man		Activated	Software Token
8888SSOR1	Chan Tai Man		Activated	Software Token
8888XPAP3	Chan Tai Man		Assigned	Software Token

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.

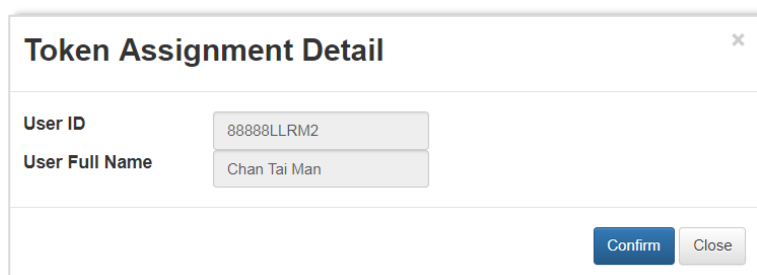


This screenshot is identical to Figure 6.16, showing the 'Token Management' page. The table lists 8 tokens, and the token with ID 8888LLRM2 is selected, with its status 'Revoked' circled in red. The interface includes a 'Token Assignment List' header, a table with columns for User ID, User Full Name, Hardware Token Serial No., Token Status, and Token Type, and buttons for 'Assign Token', 'Unassign Token', 'Revoke Token', and 'Cancel'.

User ID	User Full Name	Hardware Token Serial No.	Token Status	Token Type
8888AADV2	Chan Tai Man		Activated	Software Token
8888DDI1	Chan Tai Man		Assigned	Software Token
8888LLRM1	Chan Tai Man		Unassigned	Hardware Token
8888LLRM2	Chan Tai Man		Revoked	Software Token
8888PAPRCV	Chan Tai Man		Activated	Software Token
8888PSUBMT	Chan Tai Man		Activated	Software Token
8888SSOR1	Chan Tai Man		Activated	Software Token
8888XPAP3	Chan Tai Man		Assigned	Software Token

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

6. Review the assignment detail and click Confirm.



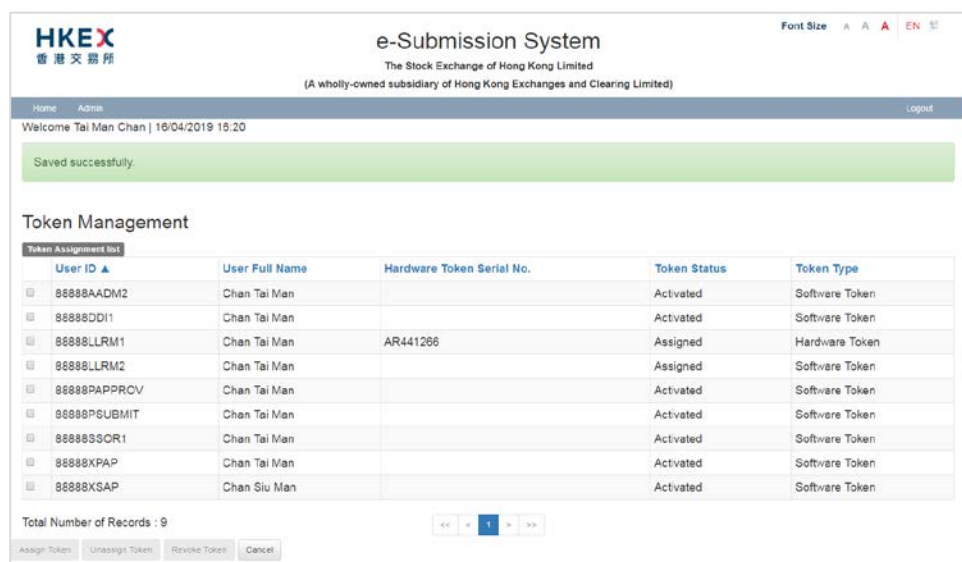
The dialog box titled "Token Assignment Detail" contains the following information:

User ID	88888LLRM2
User Full Name	Chan Tai Man

At the bottom right, there are two buttons: "Confirm" and "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 required to re-activate his/her user account (refer to the section "First-time login to e-Submission System" of respective user manual for details).



The screenshot shows the "Token Management" page in the e-Submission System. A green banner at the top says "Saved successfully." Below it is a table of token assignments.

User ID	User Full Name	Hardware Token Serial No.	Token Status	Token Type
88888AADM2	Chan Tai Man		Activated	Software Token
88888DDI1	Chan Tai Man		Activated	Software Token
88888LLRM1	Chan Tai Man	AR441266	Assigned	Hardware Token
88888LLRM2	Chan Tai Man		Assigned	Software Token
88888PAPPROV	Chan Tai Man		Activated	Software Token
88888PSUBMIT	Chan Tai Man		Activated	Software Token
88888SSOR1	Chan Tai Man		Activated	Software Token
88888XPAP	Chan Tai Man		Activated	Software Token
88888XSAP	Chan Siu Man		Activated	Software Token

Below the table, it says "Total Number of Records : 9". At the bottom, there are buttons: "Assign Token", "Unassign Token", "Revoke Token", and "Cancel".

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 token 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:

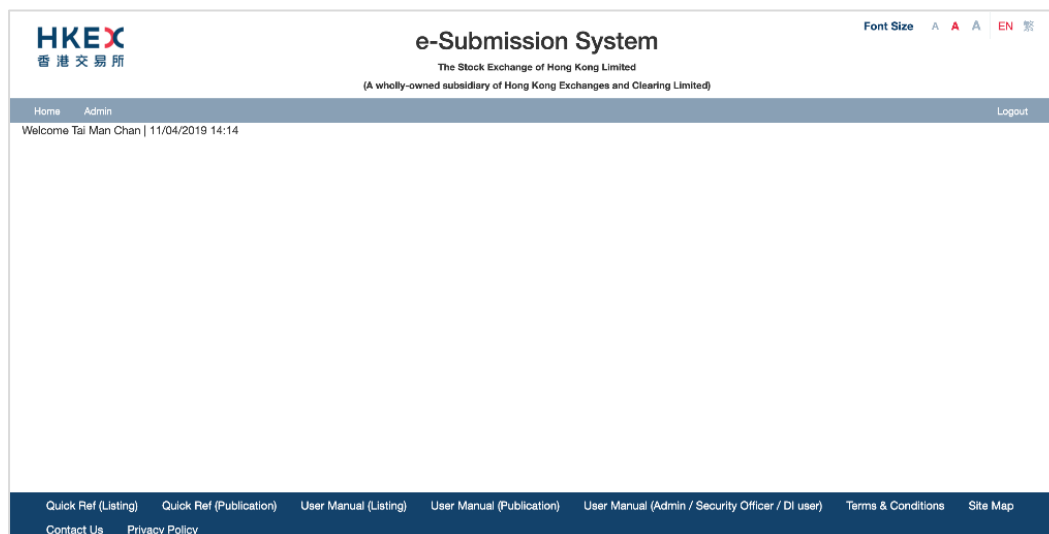
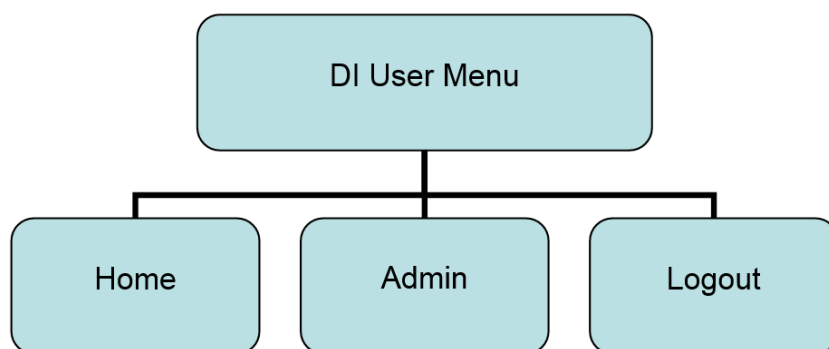


Figure 7.1 Security Officer User Menu

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.