



**e-Submission System**  
**User Manual**  
**For**  
**Listing Related Matters**

November 2019

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# 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, your company's Security Officer and/or Authorised Person can create additional user accounts for new users for your 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.

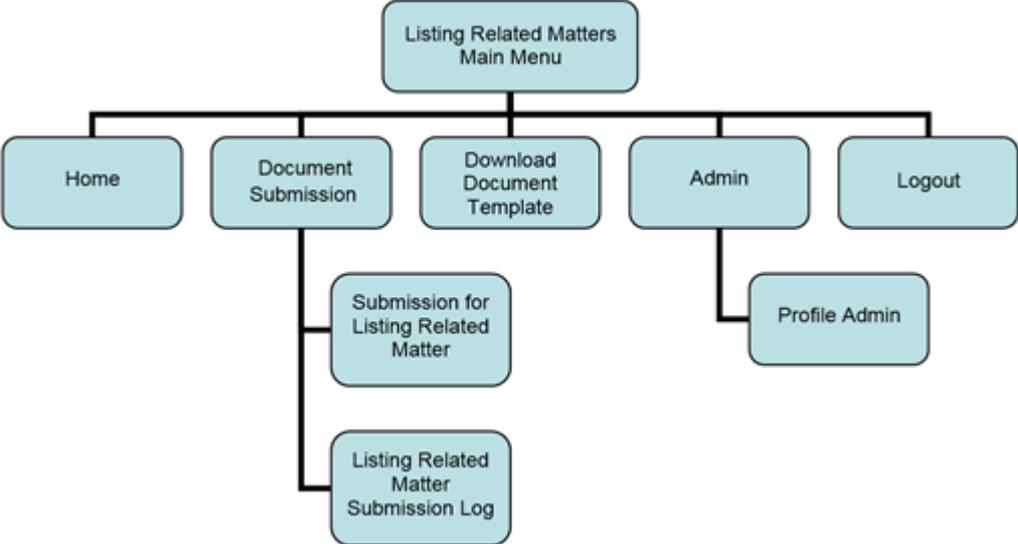
A login user should be defined as a Listing Related Matter user in order to use the functions described under this manual.

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

For Authorised Person, Administrator, Security Officer and DI user, please refer to User Manual for Authorised Person, Administrator, Security Officer and DI users for further details.

## 1.2 User Menu for Listing Related Matters

The main menu is sub-divided into the following categories:



## 1.3 Site Conventions

### Before Login

The screenshot shows the login page of the e-Submission System. The header includes the HKEX logo (香港交易所) and the system title 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. A 'Header' label points to the top navigation area. On the right, there are font size controls and language options (EN 繁). The left panel (Left Panel) shows the date and time: '14/05/2019 10:50'. The main content area (Content Frame) contains a 'System Message' box, followed by input fields for 'User ID', 'User Password', and 'One-Time Passcode (OTP)'. Below these is a 'Login' button and links for 'Login with SMS Password', 'Forgot User ID', 'Forgot User Password', and 'Registration'. The footer (Footer Links) contains 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

### After Login

The screenshot shows the dashboard after a successful login. The header is identical to the login page. A 'Main Menu' label points to the navigation bar which includes 'Home', 'Document Submission', 'Download Document Template', 'Admin', and 'Logout'. Below the menu, a 'System Message' box is highlighted in green. The 'Content Frame' label points to the main area of the dashboard. The footer (Footer Links) contains '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'. The user is greeted with 'Welcome Tai Man Chan | 20/05/2019 15:20'.

## 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 for 'The Stock Exchange of Hong Kong Limited'. The page title is 'Company Profile' and the user is 'Tai Man Chan'. The interface includes a navigation menu with items like 'Home', 'Document Submission', and 'Admin'. The main content area is a form for 'Company Details' with fields for 'Company Code', 'Company Name (English)', 'Company Name (Chinese)', 'Company Website', 'Address (English)', and 'Address (Chinese)'. There are also fields for 'Company Type' and 'Main Board Issuer'. At the bottom, there are action buttons: 'Ahead Company Profile', 'My Profile', and 'Back to Home'. Annotations with boxes point to these elements: 'Menu Item' points to the 'Admin' link; 'Page' points to the 'Company Profile' title; 'Field' points to the 'Company Name (English)' input field; and 'Action Button' points to the 'My Profile' button.

The following conventions will be used in this manual:

### Menu Item

- In bold, e.g. **Listing Related Matter Document**

### 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 submission or 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 (香港交易所) and the date '14/05/2019 12:23'. 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)'. On the right, there are font size controls and a language selector set to 'EN'. 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'. There is a 'Login' button and links for 'Login with SMS Password', 'Forgot User ID', 'Forgot User Password', and 'Registration'. At the bottom, 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 ESS

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. At the top left is the HKEX logo (香港交易所) and the date '11/04/2019 14:31'. 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)'. On the right, there are font size controls and a language selector set to 'EN'. The activation form includes fields for 'User ID' (with a value '04444PPRMS'), 'User Registered Email Address', 'New Password', and 'Confirm New Password'. Below these are sections for 'Token Policy String' (with a 'Request' button and an 'Example >>' link), 'Activation Code' (with a 'Request' button and an 'Example >>' link), and 'One-Time Password' (with a 'Request' button and an 'Example >>' link). At the bottom, there are 'Activate' and 'Cancel' buttons. At the very bottom, there are links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

Figure 2.2 User Activation page

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

NOTE:

User password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9).

4. Click REQUEST. The *Token Policy String* will be displayed on **User Activation** page (see step 9 below).
5. Launch your MobilePASS in your mobile device.
6. Create a software token on your MobilePASS.

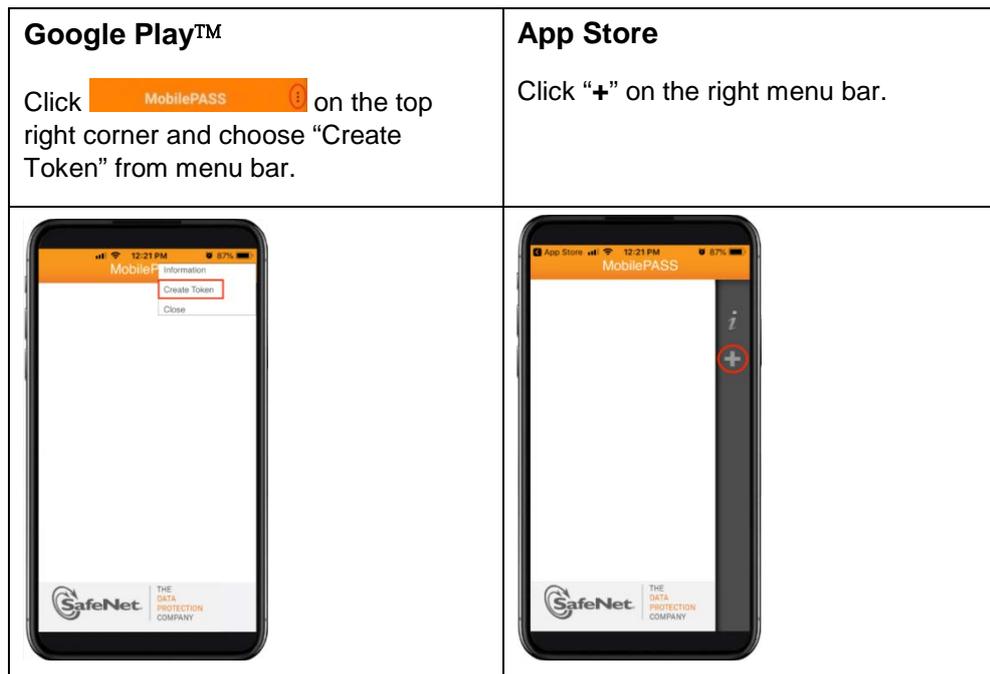


Figure 2.3 MobilePASS Application Menu

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



Figure 2.4 MobilePASS – Create New Token

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



Figure 2.5 MobilePASS - Token Enrollment

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

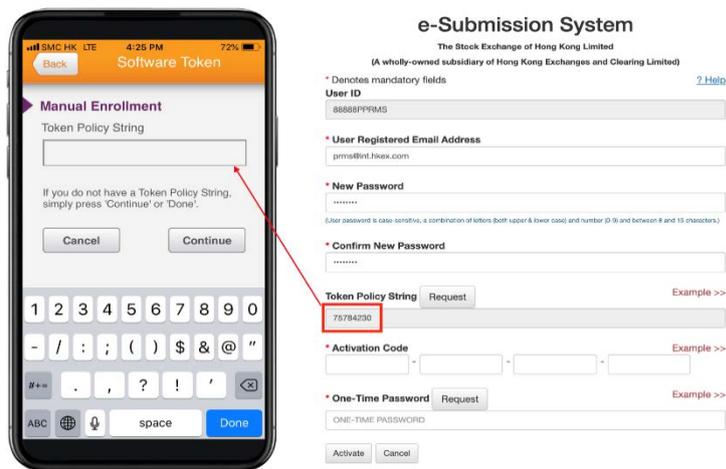


Figure 2.6 MobilePASS - Token Policy String

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).

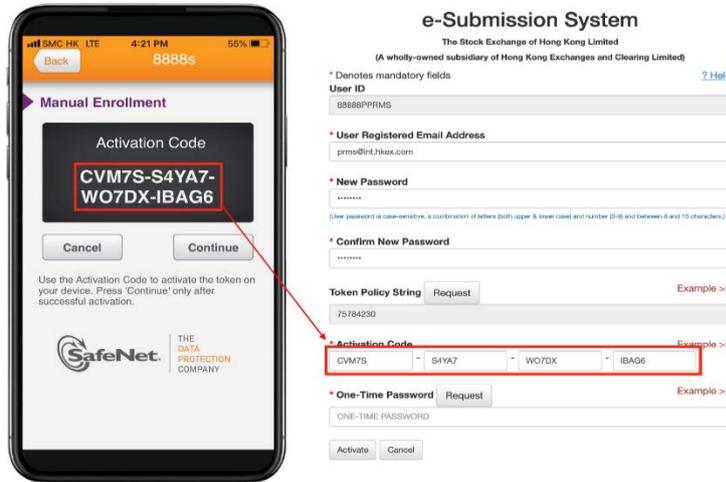


Figure 2.7 MobilePASS – Activation Code

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*.

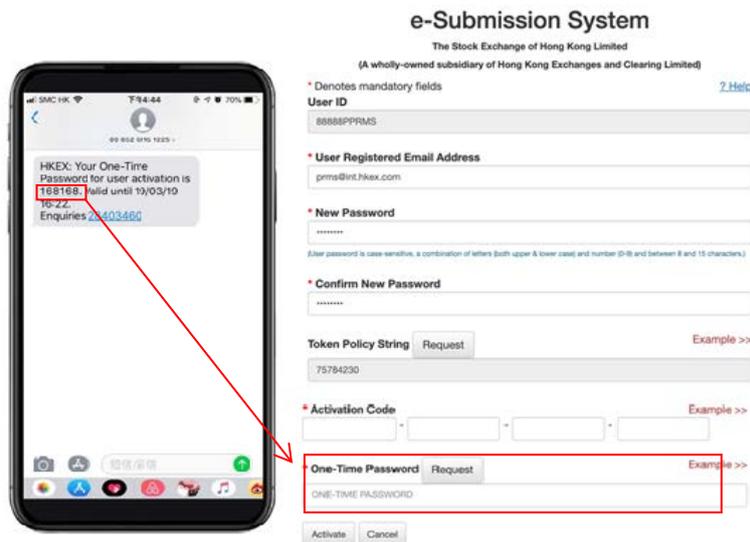


Figure 2.8 One-Time Password sent via SMS to registered mobile phone number

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.

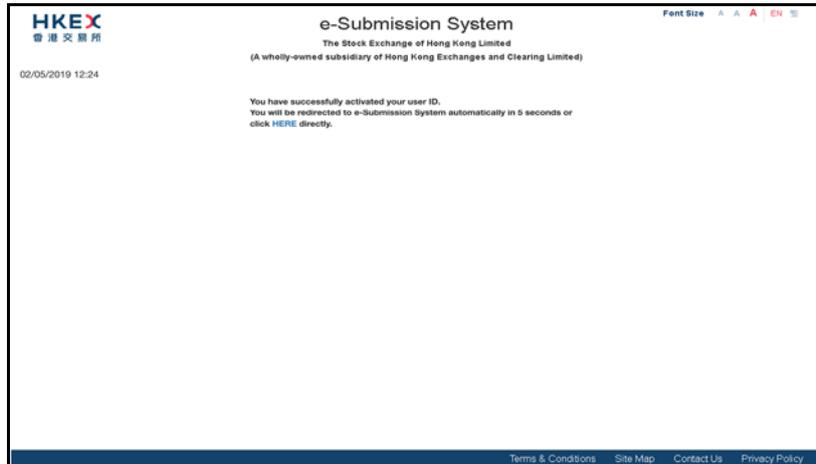


Figure 2.9 Successful activation screen

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.

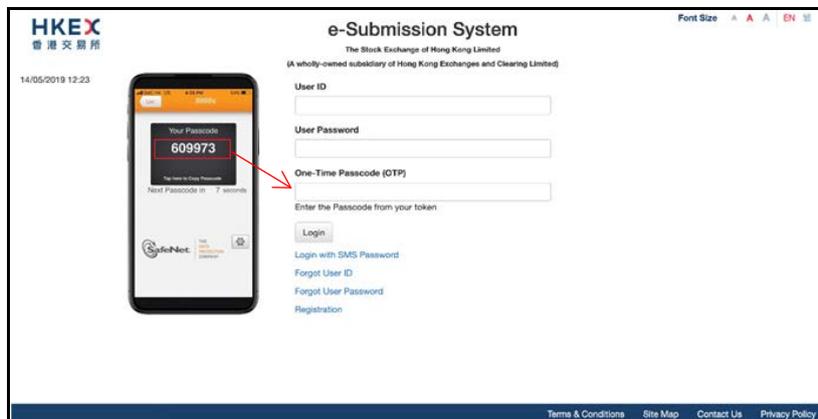


Figure 2.11 One-Time Passcode generated from MobilePASS

## 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.

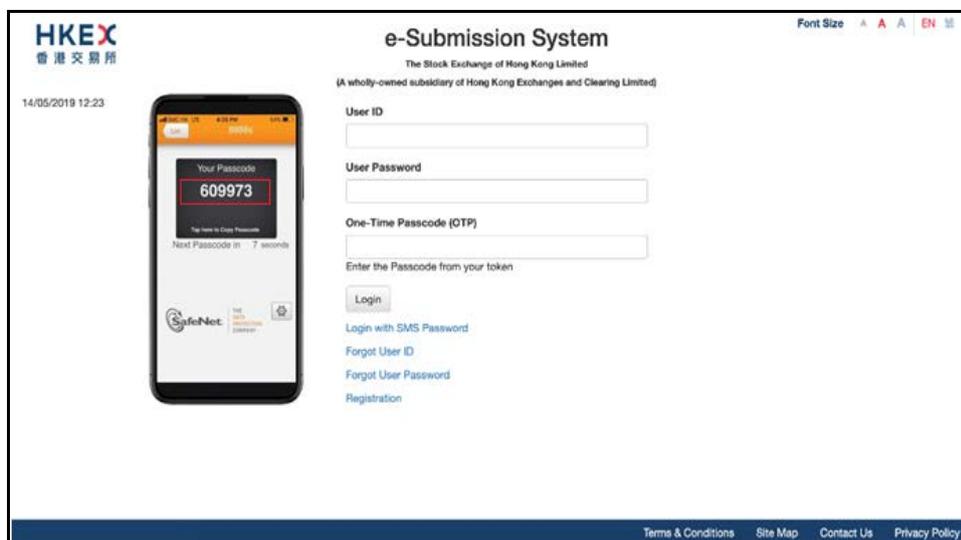


Figure 2.14 ESS Main Page

### 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 6.2.2 "Changing 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.

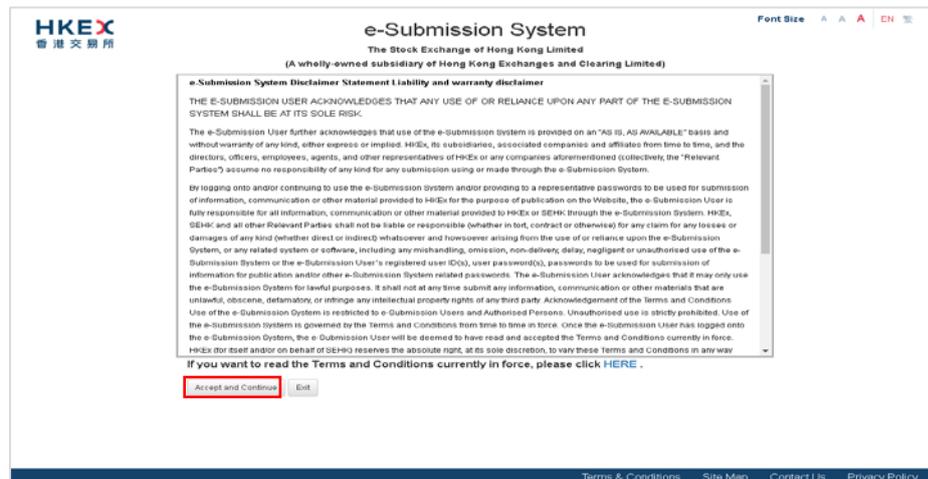


Figure 2.15 Disclaimer Statement

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

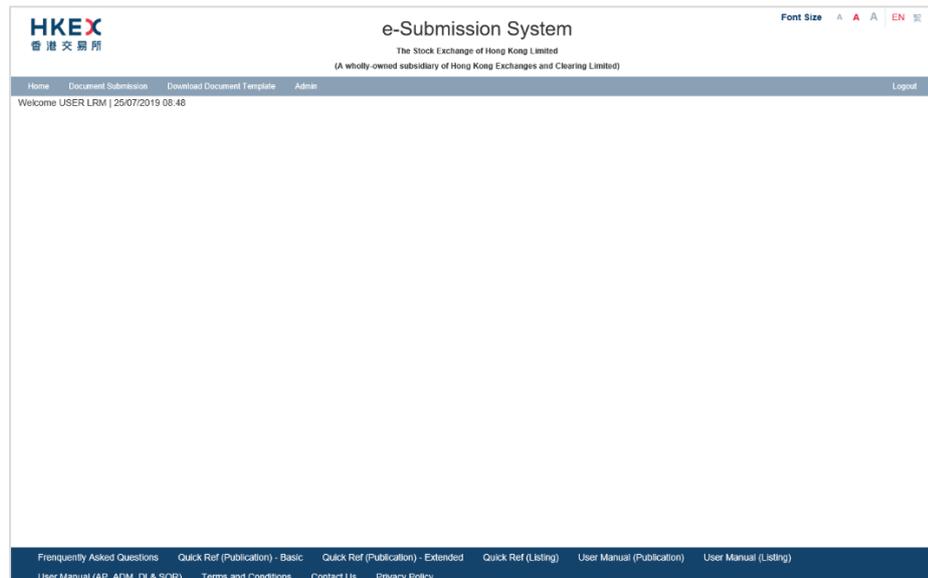


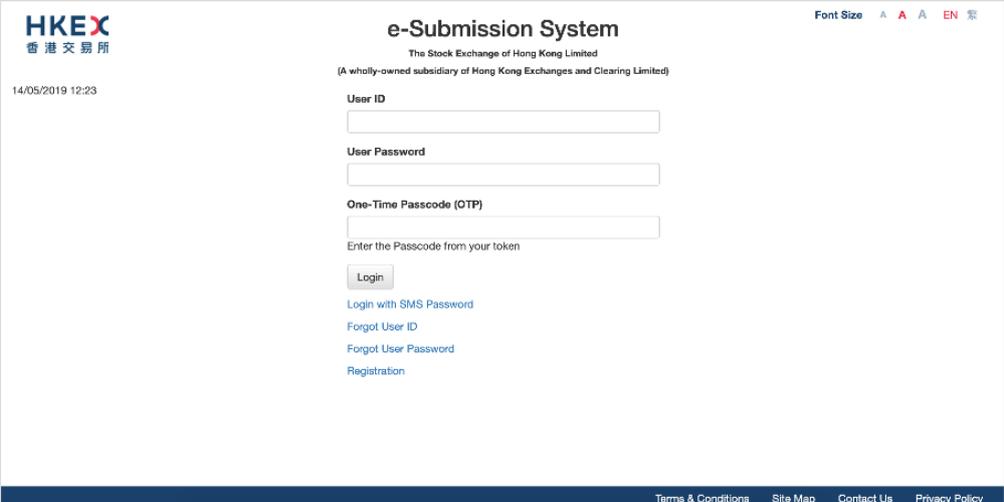
Figure 2.16 Listing Related Matters - User Home Page

## 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,

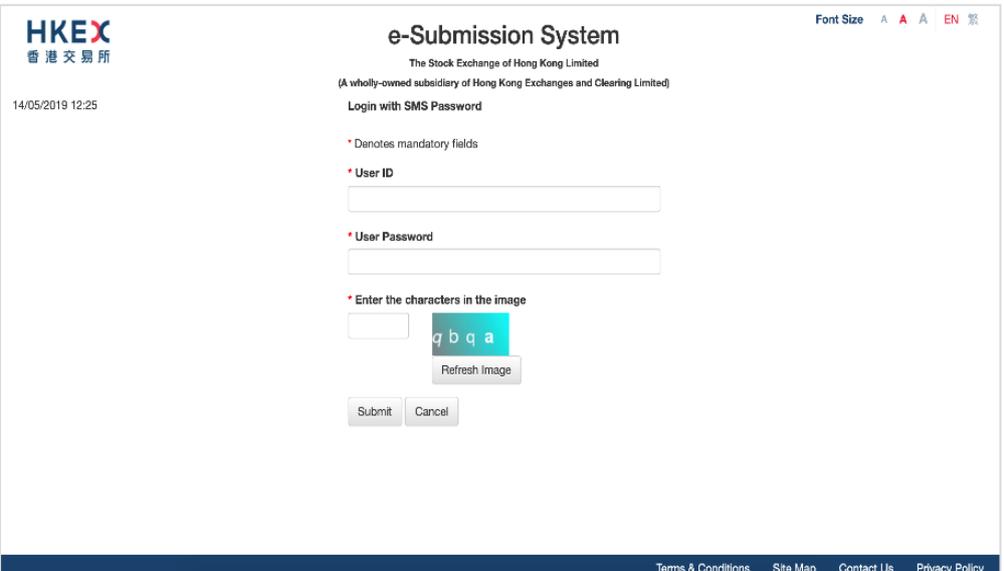
1. Click *Login with SMS Password* at the **Main** page.



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 page title is 'e-Submission System'. The login form contains three input fields: 'User ID', 'User Password', and 'One-Time Passcode (OTP)'. Below the fields is a 'Login' button and links for 'Login with SMS Password', 'Forgot User ID', 'Forgot User Password', and 'Registration'. The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

Figure 2.17 ESS Main Page

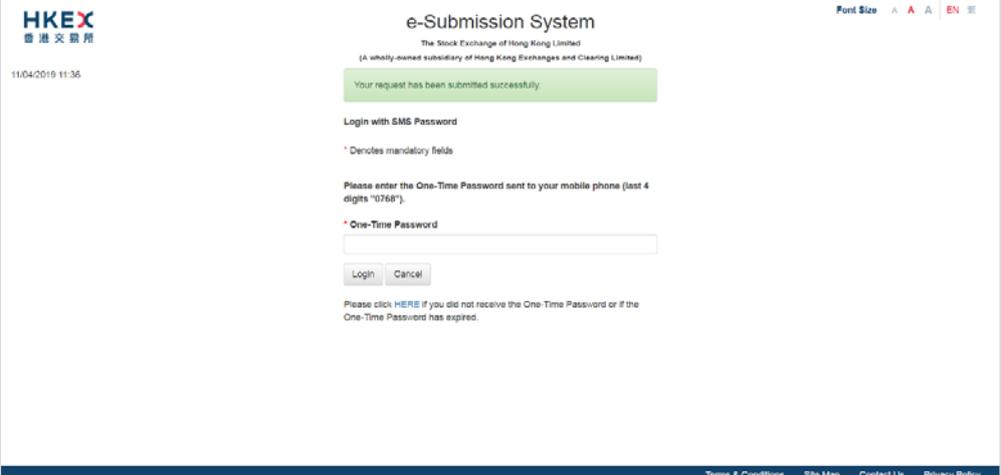
2. The **Login with SMS Password** page will be displayed. Enter your *User ID*, *User Password* and the characters in the image. Click SUBMIT.



The screenshot shows the 'Login with SMS Password' page. The header is the same as in Figure 2.17. The page title is 'e-Submission System'. The login form contains three input fields: 'User ID', 'User Password', and 'Enter the characters in the image'. Below the fields is a 'Refresh Image' button and 'Submit' and 'Cancel' buttons. The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

Figure 2.18 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.



The screenshot shows the 'e-Submission System' login page. At the top left is the HKEX logo (香港交易所) and the date '11/04/2019 11:35'. 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)'. A green success message states 'Your request has been submitted successfully.' Below this is the 'Login with SMS Password' section. It includes a note '\* Denotes mandatory fields'. The instruction reads: 'Please enter the One-Time Password sent to your mobile phone (last 4 digits "0768")'. There is a text input field labeled '\* One-Time Password' and two buttons: 'Login' and 'Cancel'. At the bottom, there is a link: 'Please click [HERE](#) if you did not receive the One-Time Password or if the One-Time Password has expired.' The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

Figure 2.19 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.

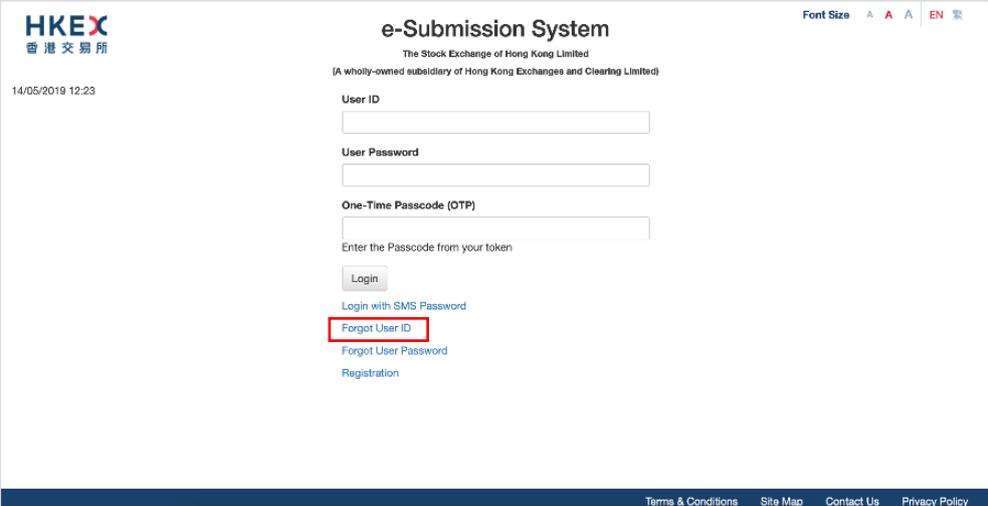


Figure 2.20 ESS Main page

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.

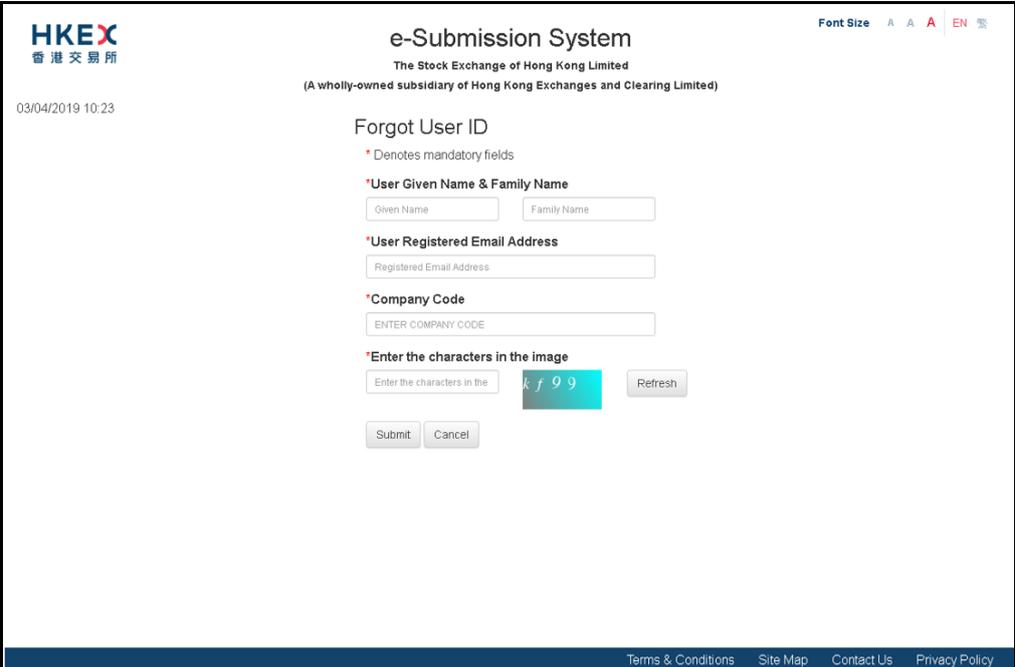


Figure 2.21 Forgot User ID page

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

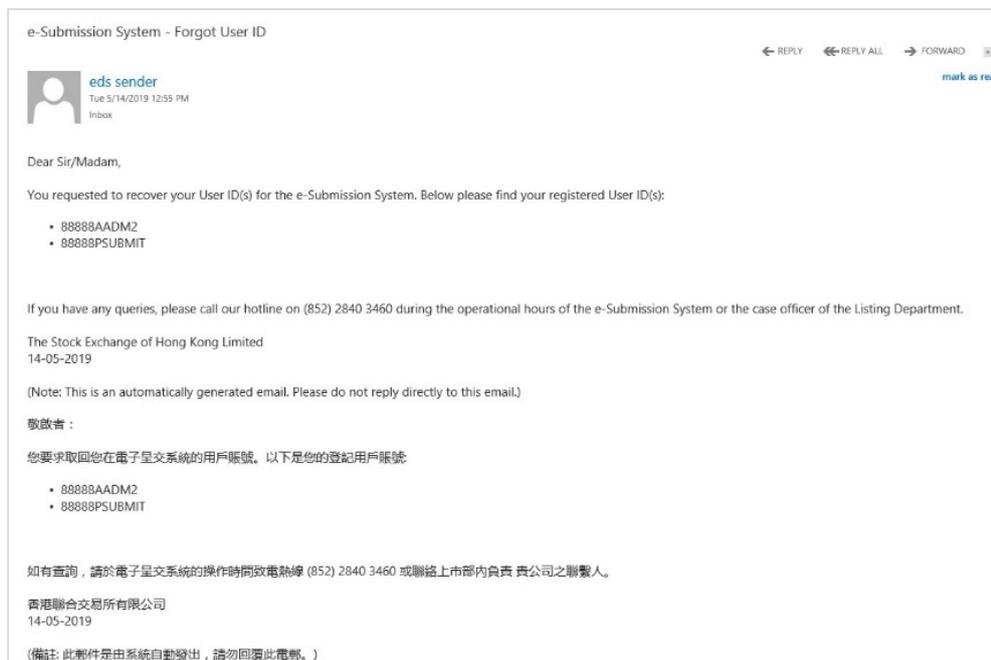


Figure 2.22 Forgot User ID – System generated email

## 2.5 Forgot User Password

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

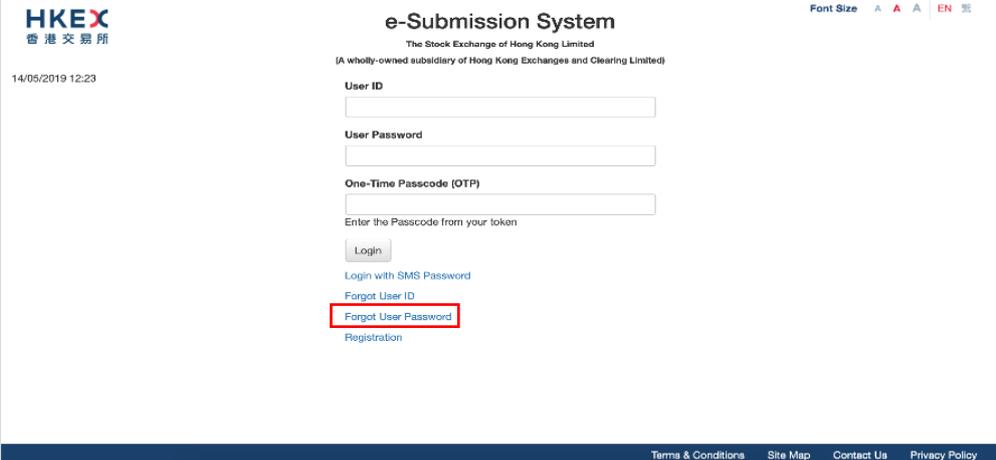


Figure 2.23 ESS Main page

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.

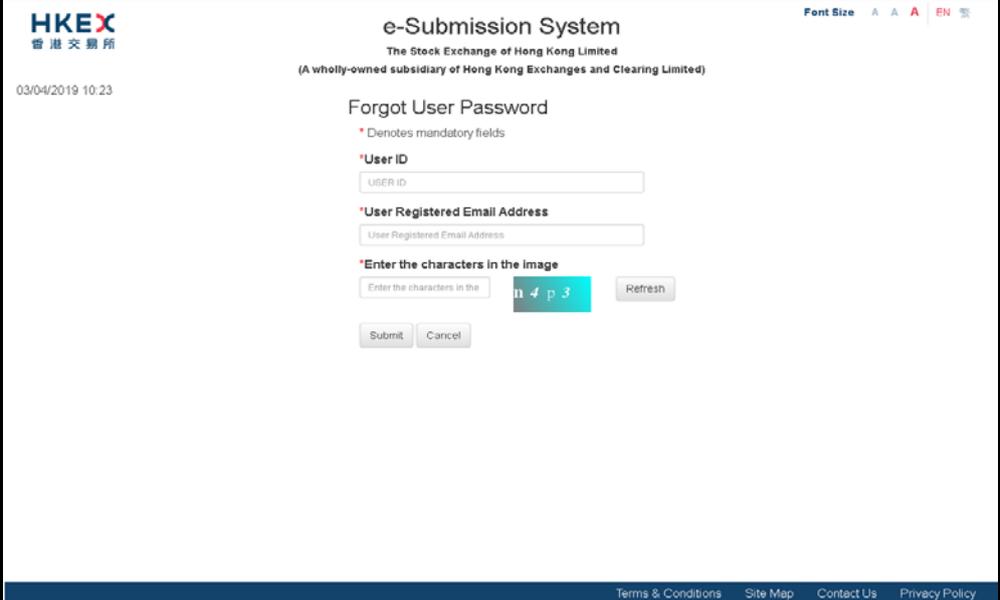


Figure 2.24 Forgot User Password page

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

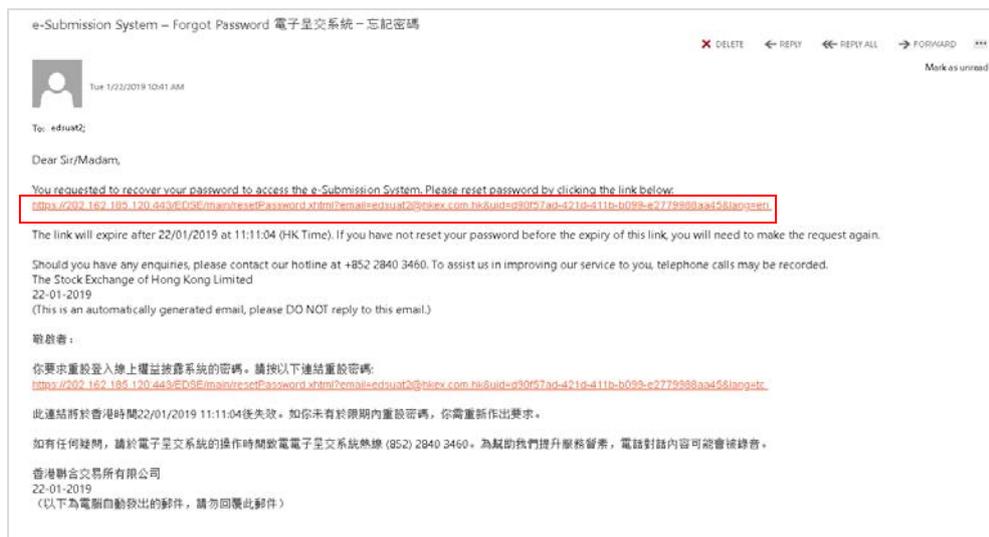


Figure 2.25 Forgot User Password – System generated email

- 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.

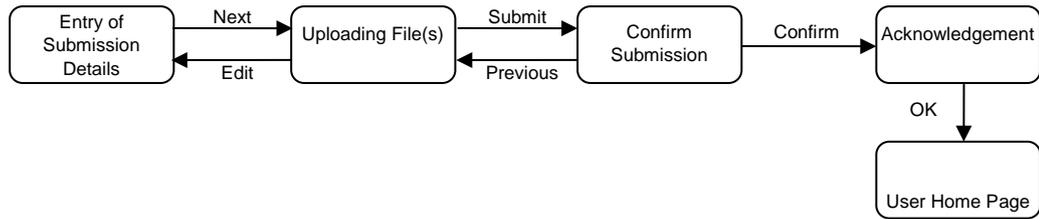
Figure 2.26 Forgot User Password – Reset Password

- 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 password will be expired after 30 minutes.

### 3 Document Submission



Please follow the steps set out below to submit a document.

#### 3.1 Entry of Submission Details

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



Figure 3.1 Submission for Listing Related Matter Menu

2. The Listing Related Matter Document Submission page will be displayed.

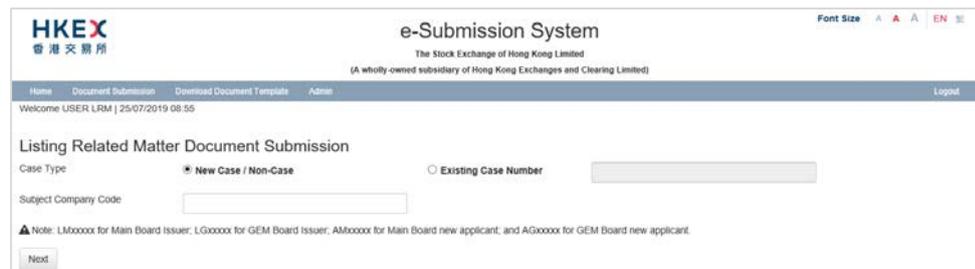
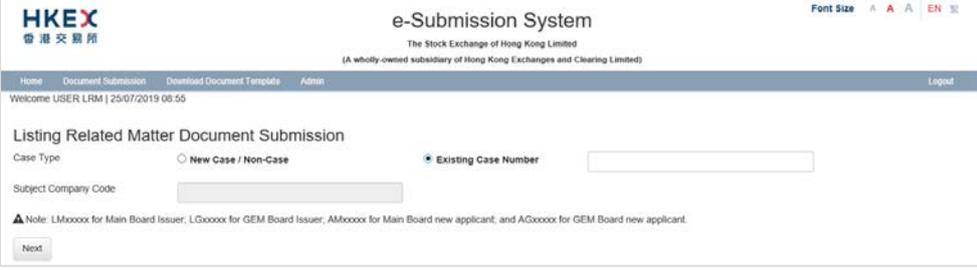


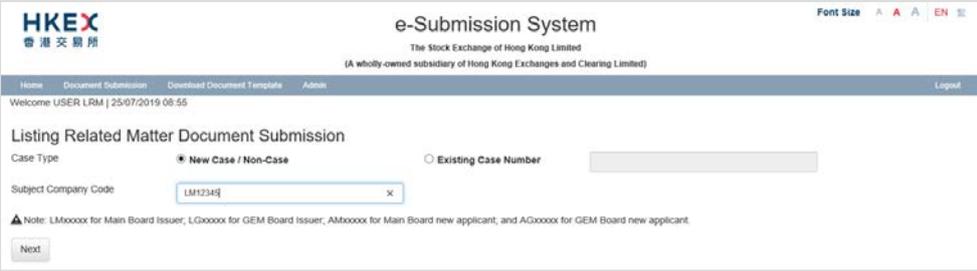
Figure 3.2 Listing Related Matter Document Submission page

3. Select *Case Type*. If case type is Existing Case Number (for documents with a case number assigned), enter the Existing Case Number. If case type is New Case / Non-Case (for documents without a case number assigned), enter the Subject Company Code.



The screenshot shows the 'e-Submission System' interface. At the top left is the HKEX logo. The main header reads 'e-Submission System' and 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. A navigation bar includes 'Home', 'Document Submission', 'Download Document Template', and 'Admin'. A 'Logout' link is in the top right. Below the navigation bar, it says 'Welcome USER LRM | 25/07/2019 08:55'. The main content area is titled 'Listing Related Matter Document Submission'. Under 'Case Type', the 'Existing Case Number' radio button is selected. There is an empty text input field for the case number. Below this is a 'Subject Company Code' input field, which is currently empty. A note below the fields reads: '▲ Note: LMxxxxx for Main Board Issuer, LGxxxxx for GEM Board Issuer, AMxxxxx for Main Board new applicant, and AGxxxxx for GEM Board new applicant.' A 'Next' button is at the bottom left.

Figure 3.3 Document Submission for Existing Case



The screenshot shows the 'e-Submission System' interface. At the top left is the HKEX logo. The main header reads 'e-Submission System' and 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. A navigation bar includes 'Home', 'Document Submission', 'Download Document Template', and 'Admin'. A 'Logout' link is in the top right. Below the navigation bar, it says 'Welcome USER LRM | 25/07/2019 08:55'. The main content area is titled 'Listing Related Matter Document Submission'. Under 'Case Type', the 'New Case / Non-Case' radio button is selected. There is an empty text input field for the case number. Below this is a 'Subject Company Code' input field containing the text 'LM12345'. A note below the fields reads: '▲ Note: LMxxxxx for Main Board Issuer, LGxxxxx for GEM Board Issuer, AMxxxxx for Main Board new applicant, and AGxxxxx for GEM Board new applicant.' A 'Next' button is at the bottom left.

Figure 3.4 Document Submission for New Case / Non-Case

4. Click NEXT.

## 3.2 Uploading File(s)

1. Click CHOOSE FILES to select the files to upload. Then click OPEN. After your file has been successfully uploaded, the filename will be displayed under “List of File(s) Uploaded”.

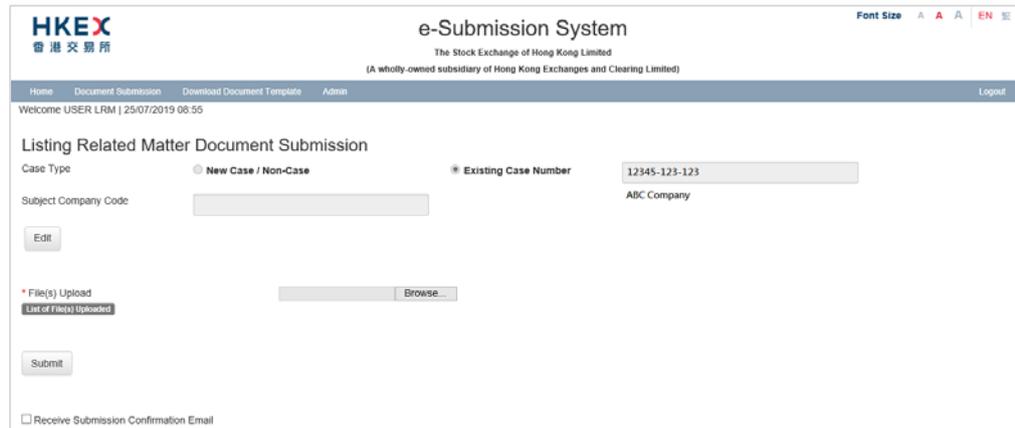


Figure 3.5 Listing Related Matter Document Submission –File(s) Upload

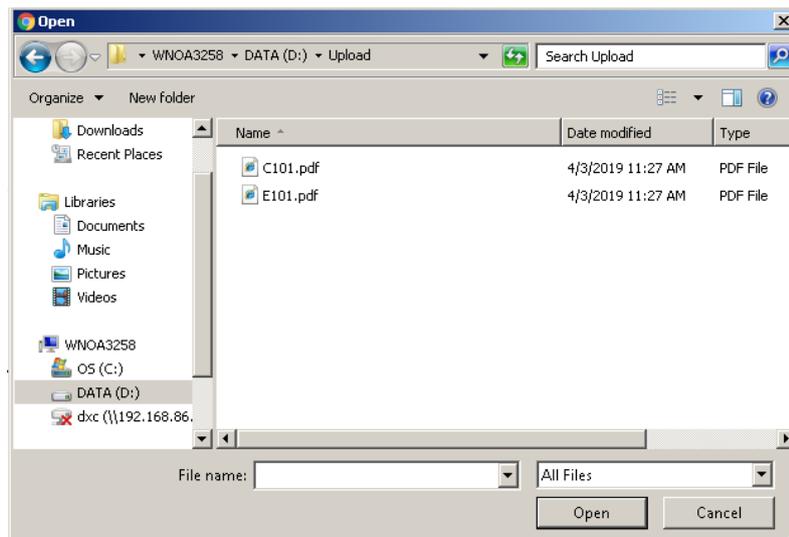


Figure 3.6 Listing Related Matter Document Submission -Choose files to upload

### NOTE:

- You can select multiple files for uploading.
- You can refer to Appendix A for specifications of files to be uploaded.

- The uploaded files will be validated and scanned for virus. If there is any error found during the file upload, the corresponding error message will be displayed next to the problematical file.

Figure 3.7 Listing Related Matter Document Submission - Error message for upload file

- Select the *Document Type* for the uploaded file. Enter the *Remark* if necessary.

Figure 3.8 Listing Related Matter Document Submission – List of File(s) Pending for Submission

- Repeat steps 1 and 2 until all files are uploaded.
- If you wish to receive submission confirmation email after document submission, click the checkbox of *Receive Submission Confirmation Email*.
- Click SUBMIT.

**NOTE:**

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click *Remove* next to the file.

### 3.3 Confirm Submission

1. Review Submission Information. Click CONFIRM.

The screenshot displays the 'Listing Related Matter Document Submission' interface. It includes a navigation bar with 'Home', 'Document Submission', 'Download Document Template', and 'Admin'. The main content area shows search filters for 'Case Type' (New Case / Non-Case, Existing Case Number) and 'Subject Company Code' (ABC Group Limited). A table titled 'List of Files Submitted' contains one entry: 'Declaration and Undertaking Forms' with filename 'DeclaraAndUndertaking.pdf'. Below the table, there is a checkbox for 'Receive Submission Confirmation Email' and two buttons: 'Previous' and 'Confirm'.

Figure 3.9 Listing Related Matter Document Submission – Confirm Submission

### 3.4 Acknowledgement

1. If the document has been submitted successfully, an acknowledgement page will be displayed.

This screenshot shows the 'Acknowledgement' page of the submission process. It features the same search filters and document list as Figure 3.9. The 'OK' button at the bottom is used to confirm the submission and return to the user's home page.

Figure 3.10 Listing Related Matter Document Submission –Acknowledgement

2. Click OK to return to the **User Home** page.

## 4 View Document Submission Log

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



Figure 4.1 Listing Related Matter Submission Log Menu

2. The **Document Submission Log** page will be displayed. The submission records cover details of submissions by the login user in the last 365 days. It is listed in descending order by submission date/time.

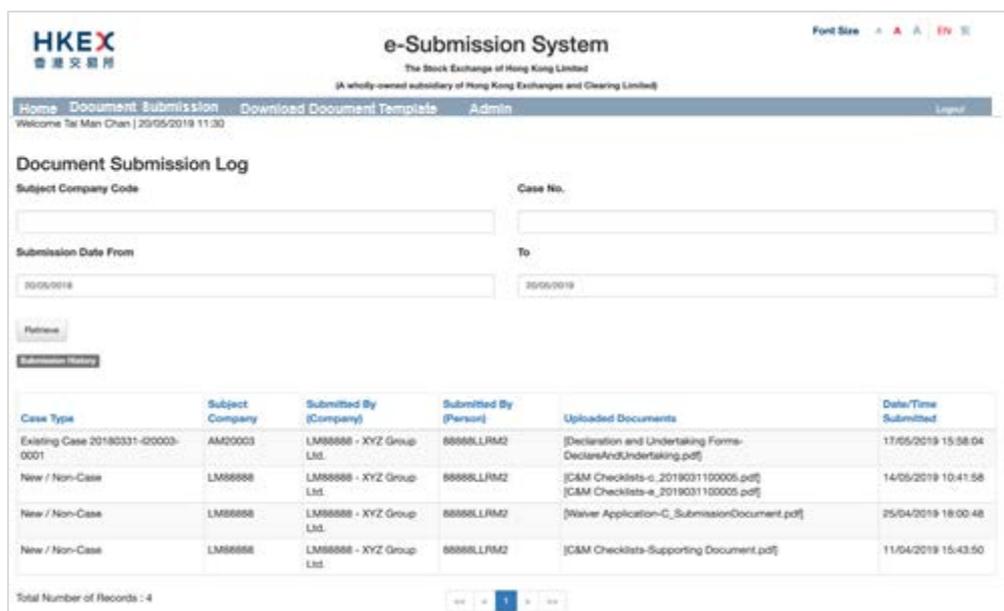


Figure 4.2 View Document Submission Log

3. To perform a submission search, specify the following criteria and click RETRIEVE.
  - Subject Company Code;
  - Case Number; and/or
  - Submission Date Range.
4. Click HOME on the Main Menu to return to the **User Home** page.

## 5 Download Document Template

1. Choose **Download Document Template** from Main Menu.

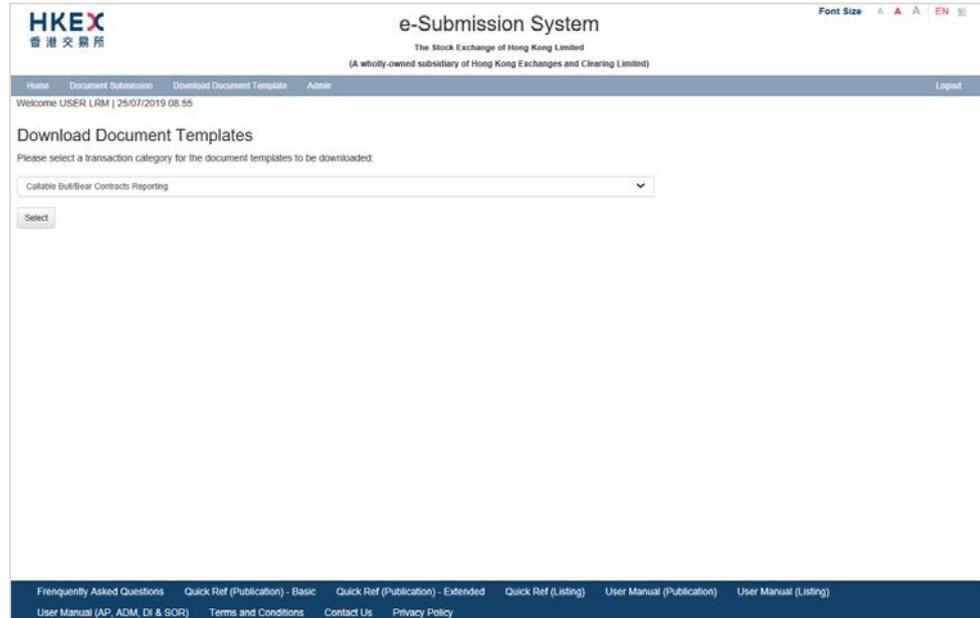


Figure 5.1 Download Document Template Menu

2. Select *Transaction Category* (refer to Appendix B for list of Transaction Categories) and click SELECT.

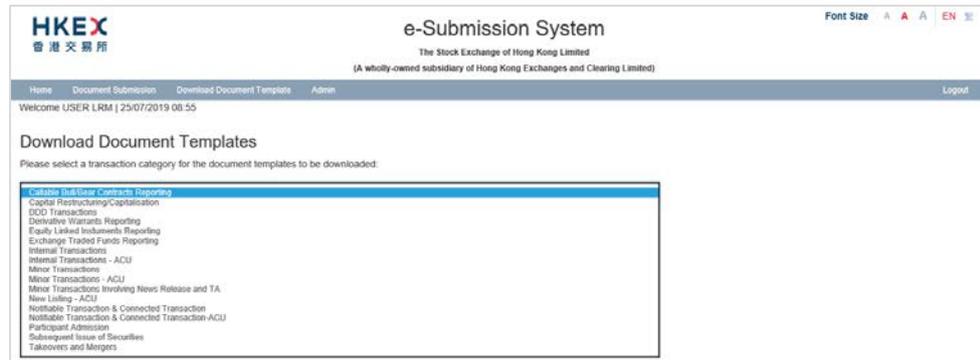


Figure 5.2 Download Document Template – Select Transaction Category

- A list of templates in ascending order of template name will be displayed.

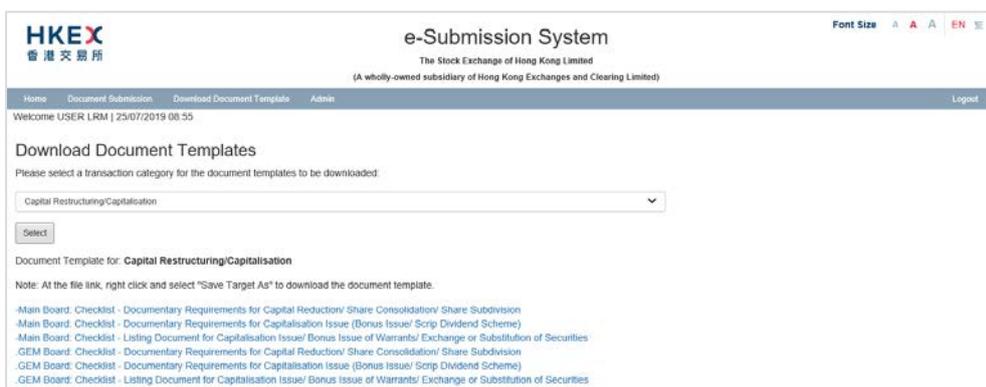


Figure 5.3 Download Document Template – Template List

- Click the template to download. The Download Complete dialog box appears. Click SAVE to save the file to the desired location. Alternatively, click OPEN to open the file with the relevant applications (e.g. Microsoft Word/Excel).
- Click HOME on the Main Menu to return to the **User Home** page.

## 6 Profile Administration



### 6.1 View Your Company's Profile

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



Figure 6.1 Profile Admin menu

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

Figure 6.2 Company Details page

3. You can update your own user profile by clicking **MY PROFILE**. Refer to the Section 6.2 "Maintaining User Profile".
4. Click **BACK TO HOME** to return to the **User Home** page

## 6.2 Maintaining User Profile

### 6.2.1 View and Update User Profile

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. The fields: *Salutation*, *Position*, *Phone No.*, *Mobile No.* and *Email* can be amended as required. Others fields are displayed for reference only. Click SAVE after you have finished editing.

The screenshot displays the 'User Profile - Edit' page in the 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 and values:

- Company Code: L04446
- Company Name: International Trading Company
- User Type: Living Related Market User
- User ID: 6660301
- Resigned: Yes (selected)
- Family Name (English): Chan
- Surname: Chan
- Given Name (English): Yi
- Position: Director
- Mobile No.: 2962465
- Country Code: 86
- Area Code (of any) + Mobile No.: 5123667
- Email: wint@hkex.com.hk
- Token Selection: Software Token

A red box highlights the 'Save' button at the bottom left of the form. The page also includes a navigation menu at the top and a footer with various links.

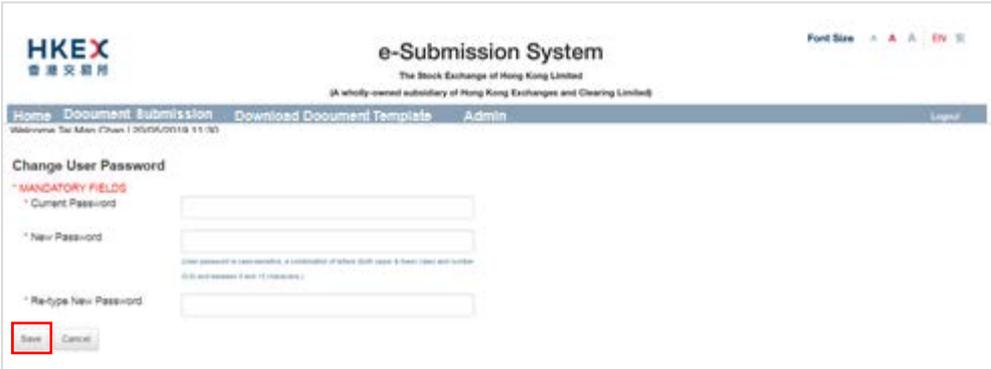
Figure 6.3 User Profile page

4. A message will be displayed in the Message area to inform you that your profile has been updated successfully.
5. Click HOME on the Main Menu to return to the **User Home** page.

## 6.2.2 Changing User Password

It is recommended to change your user password periodically. To change your password, please follow the steps set out below:

1. Select **Profile 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. Enter your *Current Password*, a *New Password* and *Retype New Password*. Click SAVE.



The screenshot shows the 'Change User Password' page in the e-Submission System. The page header includes the HKEX logo and the system name. The main content area has a title 'Change User Password' and a section for 'MANDATORY FIELDS'. There are three input fields: 'Current Password', 'New Password', and 'Retype New Password'. A 'Save' button is highlighted with a red box. The page also includes a 'Cancel' button and a 'Logout' link in the top right corner.

Figure 6.4 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. A message will be displayed informing you that your password has been changed successfully.
  6. Click HOME on the Main Menu to return to the **User Home** page

## 7 Exit the System

It is recommended that you logout the system if you finish your session or are about to leave your PC unattended. Please note that the submission that are partially completed will be lost when you logout the system.

To exit the ESS:

1. Select **Logout** from Main Menu.

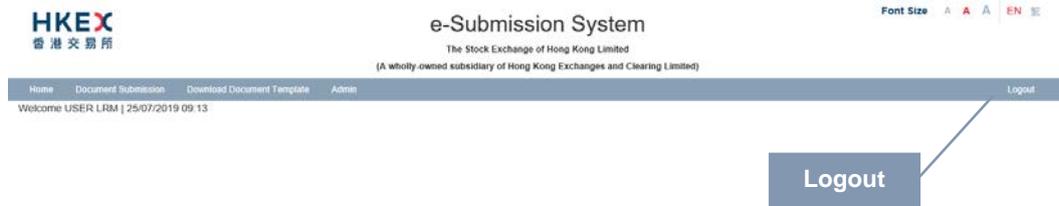


Figure 7.1 Logout menu

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

## Appendix A - File Specifications

The file specifications for Listing Related Matter document submission should follow the following:

1. The filename should not exceed 200 characters and should contain English character only.
2. The file size should not exceed 40MB.
3. The file must be in the following formats:-  
.PDF, .TIFF, .TIF, .CGM, .GIF, .JPG, .JPEG, .JP2, .BMP, .FAX, .HTML, .HTM, .DOCX, .XLS, .PPS, .PPT, .VSD, .CSV, .DOC, .WDB, .RTF, .WP5, .WP6, .WPD, .WPF, .XLSX and .PPTX.  
For example: "file.ext" will be rejected for uploading.

## Appendix B - Transaction Category

The following table lists the Transaction Categories for all Download Document Templates:

<b>Transaction Category Code</b>	<b>Transaction Category Description</b>
CR	Capital Restructuring/Capitalisation
DD	DDD Transactions
MT	Minor Transactions
NR	Minor Transactions Involving News Release and TA
NT	Notifiable Transaction & Connected Transaction
SI	Subsequent Issue of Securities
TM	Takeovers and Mergers
IT	Internal Transactions
DR	Derivative Warrants Reporting
PA	Participant Admission
ER	Equity Linked Instruments Reporting
ITA	Internal Transactions - ACU
MTA	Minor Transactions - ACU
NLA	New Listing - ACU
NTA	Notifiable Transaction & Connected Transaction - ACU
CBR	Callable Bull/Bear Contracts Reporting
ETF	Exchange Traded Funds Reporting