

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 <u>https://www1.eSubmission.hkex.com.hk</u>. A user account includes a User ID, a User Password and a One-Time Passcode generated from security token that are required to login to the system.

A login user should be defined as 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

日KEX 香港交易所	Header	e-Subm	ission System		Fo	nt Size A A	A EN 繁
14/05/2019 10:50		(A wholly-owned subsidiary of	Hong Kong Exchanges and Clearing System Message	y Limited)			
		User Password					
		One-Time Passcode (OT	P) your token				
		Login Login with SMS Password Forgot User ID	i				
	Left Panel	Forgot User Password Registration	Content Frame				
			Footer Links	Terms & Conditions	Site Map	Contact Us	Privacy Policy

After Login

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Home Dooument Submission Welcome Tai Man Chan 20/05/2019	Download Document Template	Admin	N	lain Menu	Logna
			s	ystem Message	
					_
				Content Frame]
Quick Ref (Listing) Quick R	ef (Publication) User Manuel (Listing)	User Manuel (Publication)	User Manual (Admin / Security Officer / DI	user) Terms & Conditions	Site Map

Header

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

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Hume Document-Sub Welcome Tel Man Chan (20)	mission Download Document Template	Menu Iten	n		Lagout
Company Profile	Page				
Company Code	LAMININ	Company Type	Main Roard Issuer		
Company Name (English)	197 Group LM				
Company Name (Chinese)			F	field	
Company Website					
kódreisa (Englisht)	Central, Hong Kong	Address (Chinese)	Chinese Address line 1		
	Einglieh Antonia Inw 2		Orineee Address ins.2		
	20ghith According Tow 3		Olonna Astroni Ina 1		
	English Address from 8		Chinese Address She 4		
Fax No.	Paul his				
Fax No.	Action Butto	n			

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

 注意 第 第 所 14/05/2019 12:23 	e-Submission System In Stock Exchange of Hong Kong Limited (A whole)-owned subsidiary of Hong Kong Exchanges and Clearing Limit User ID User Password One-Time Passcode (OTP) Enter the Passcode from your token Login Login Login Mith SMS Password Forgot User ID Forgot User Password Registration	ed)	Fo	nt Size	A A	A	EN S	200
		Terms & Conditions	Site Map	Contact	Us	Privac	y Polic	cy

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 PlayTM before your first-time login.

2.1.1 User Activation via Software Token (MobilePASS)

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

HKEX	e-Submission System		For	ntSize A A	A EN 15
	The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)				
11/04/2019 14:31	* Denotes mandatory fields 2.Help User ID				
	04444PPRMS				
	* User Registered Email Address				
	User Registered Email Address				
	* New Password				
	New Password				
	(User passand is con-somalise, a combination of latters (both upper & lower cose) and number (5-9) and behavior 8 and 15 characters.)				
	* Confirm New Password				
	Confirm New Password				
	Token Policy String Request Example >>				
	* Activation Code Example >>				
	Cone-Time Password Request Example >>				
	Activate Cancel				
		Terms & Conditions	Site Map	Contact Us	Privacy Policy



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

NOTE:

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

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



Figure 2.3 MobilePASS Application Menu

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



Figure 2.4 MobilePASS – Create New Token

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



Figure 2.5 MobilePASS - Token Enrollment

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

1	Back	HK E	E	4:25 P	м are T		72% (-	The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and C	learing Limited)
-			_						* Denotes mandatory fields User ID	2 Hel
	Man	nual	Enro	olime	nt				86888PPRMS	
	Toke	en Po	licy S	String					User Registered Email Address	
									prms@int.hixex.com	
	If yo	u do r	not ha	ve a Tol	en Poli	cv Stri	na.		* New Password	
	- CO. K. T.	fact an era	10.	untinue!	or 'Don	e'.				
	simp	ay pre	iss ut	Jinnue						
	simp	ay pre	iss G	1				N	(User password is case-sensitive, a combination of letters (both upper & lower case) and number (0.5) and between 8 and 15 characters.)
	simp	Canc	el]		ontin	ue		User password is case sensitive, a combination of letters (both upper & lower case) and number (0 5 Confirm New Password) and between 8 and 15 characters.)
	simp	Canc	el]	_	ontin	ue		User assessed is case service, a combination of letters (both upper A lower case) and number (0 if * Confirm New Password) and between 8 and 15 characters.)
	simp	Canc	el]	•	Contin	ue		Uner assessed is case sensitive, a continuation of letters bein upper & how cased and runter () if * Confirm New Password Token Policy String Request) and between 8 and 15 characters) Example >:
1	simp	Canc	el	5	6 7	Contin	ue 9	0	User assessed is case sensitive, a continuation of latters bein agent & lower case and number () if Confirm New Password) and between 8 and 15 characters.) Example >:
1	simp	Canc 3	el 4	5	6 7	contin 8 8	ue 9	0	User assessed is case sensitive, a continuation of latters bein space & how case and number () if * Confirm New Password ** Coden Policy String Request 7/07/84200 * Activation Code) and between 8 and 15 characters.) Example >:
1	simp	Canc 3	el 4	5(6 7) \$	Contin 8 &	9 @	0	Cher assessed is case sensitive, a sortification of televis beer case) and runter () if Confirm New Password Token Policy String Request 727/84203 * Activation Code	end between 6 and 15 characters) Example >: Example >:
1 - #+	simp	Canc Canc 3	el 4	5	6 7) \$	Contin 8 &	ue 9 @	0 "	Cher assessed is case sensitive, a continuous distinct both spear & baser case and number () if Confirm New Password Token Policy String Request 757/84320 * Activation Code * * * * * * * * * * * * * * * * * * *	Example >:
1	simp	Canc Canc 3	el 4	5 (6 7) \$!	Contin 8 & 7	9 @	0 "	User assessed a case sensitive, a continuou a tendentario al televisitive space A baser cased and number (2 of * Confirm New Password Token Policy String Request 75/764230 * Activation Code * One-Time Password Request	Example >: Example >: Example >:

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).

	e-Submission System
ULI SMC HK LTE 4:21 PM 55%	The Stock Exchange of Hong Kong Limited
Back 8888s	(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)
	* Denotes mandatory fields 2 Help User ID
Manual Enrollment	88888PPRMS
Activation Code	* User Registered Email Address
Activation Code	prms@int.hkex.com
CVM7S-S4YA7-	* New Password
WO7DX-IBAG6	
	(User pasaword is case-senative, a combination of latters (both upper & lower case) and number (0-9) and between 8 and 15 characters)
	Confirm New Password
Cancel	
Use the Activation Code to activate the token on your device. Press 'Continue' only after successful activation.	Token Policy String Request Example >>
	75784230
THE	Activation Code
SafeNet. PROTECTION COMPANY	CVM7S * S4YA7 * WO7DX * IBAG6
	* One-Time Password Request Example >>
	ONE-TIME PASSWORD
	Activate Cancel

Figure 2.7 MobilePASS – Activation Code

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

	e-Submission System	n
	The Stock Exchange of Hong Kong Limited	
	(A wholly-owned subsidiary of Hong Kong Exchanges and Clea	aring Limited)
ы SMC HK Ф ТР4444 (8-17 10 10 10 10 10 10 10 10 10 10 10 10 10	* Denotes mandatory fields User ID	2.Help
	BBBBBPPRMS	
	* User Registered Email Address	
HKEX: Your One-Time Password for user activation is 168168. Valid until 13/03/10	prms@int.hkex.com	
16:22. Enguiries 2:403460	* New Password	
	Deer password is case-sensitive, a combination of letters (both upper & lower case) and number (D-R) and	d between 8 and 15 characters.)
	* Confirm New Password	
	Token Policy String Request	Example >>
	75784230	
	Activation Code	Example >>
🙆 🕼 (sea/sea 🔒	One-Time Password Request	Example >>
• 🕓 🖸 🧐 🦖 🕫 🔿	ONE-TIME PASSWORD	
	Activate Cancel	

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

12. Click ACTIVATE.

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.

HKEX 登港交易府 02/05/2019 12:24	E-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited) You have successfully activated your user (D. You will be notimetide to e-buomssion bysisen automatically in 5 seconds or click (HETE directly.	,	font Size 🔺	A A EN	*
	Terms & Conditions S	ite Map	Contact Us	Priwacy Po	licy

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.

● 准 史 単 府 14/05/2019 12:23 Interference (Laboratory) Interference (Labo	Buscharge of King King Linde Cardon and King King King King King Cardon and King King King King King Cardon and King King Cardon and King Car	R	ont Size 🔺 ,	A A DI M
	Terms & Conditions	Site Map	Contact Us	Privacy Policy

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.

The Parameter Water Parameter Dependence Parameter	2	3
--	---	---

Figure 2.13 MobilePASS – Change Token Name

2.2 Logging into the ESS

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

世代臣文 雪 港 交 扇 所 14/05/2019 12:23	Vour Passcole Vour Passcole Gogogra Texes Cons Name Next Passcole in 7 seconds Rest Passcole in 7 seconds Rest Passcole in 7 seconds With Passcole in 1 seconds Wi	Best Exchange of Hong Kong Limited A wholly-conned subsidiary of Hong Kong Exchanges and Clearing Limited (wholly-conned subsidiary of Hong Kong Exchanges and Clearing Limited User ID User Password One-Time Passcode (OTP) Enter the Passcode (OTP) Enter the Passcode (OTP) Enter the Passcode from your token Login Login Login Frogot User ID Frogot User ID		Fo	nt Size 🔺 A	A EN M
		Terms	s & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.14 ESS Main Page

NOTE:

- User Password is case sensitive.
- If an incorrect User Password and/or OTP generated from the security token was entered 5 consecutive times, your user account will be locked until it is unlocked by your company's security officer. A locked account cannot be used.
- If the date when you last changed your password is more than 90 days ago, the system will require you to change your user password immediately. You will not be able to use any function on the ESS until your password is changed (refer to Section 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.

日間	KEX 8 交易所		(A w	e-Submiss The Stock Exchang	sion System e of Hong Kong Limited Kong Exchanges and Cle) aring Limited)	Font	Size A	AA	EN 葉
Home	Document Submission	Download Document Template	Admin							Logout
Welcome	8 USER LRM 25/07/2019	08:48								
Frer	nquently Asked Questions	Quick Ref (Publication) - Ba	ISIC QUICK F	Ref (Publication) - Extended	Quick Ref (Listing)	User Manual (Publication)	User Manual (Listing)			
Use	r Manual (AP, ADM, DI &	SOR) Terms and Conditions	Contact U	Is Privacy Policy						

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.

日KEX 香港交易所	e-Submission System		Fo	ent Size 🔺 🖌	AAEN %
	(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limit	ed)			
14/05/2019 12:23	User ID				
	User Password				
	One-Time Passcode (OTP)				
	Enter the Passcode from your token				
	Login				
	Login with SMS Password				
	Forgot User ID				
	Forgot User Password				
	Registration				
		Terms & Conditions	Site Map	Contact Us	Privacy Policy

Figure 2.17 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.

日ドビズ 香 港 交 易 所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholh-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Fo	ont Size A	A A EN 💥
14/05/2019 12:25	Login with SMS Password			
	Denotes mandatory fields			
	* User ID			
	* User Password			
	* Enter the characters in the image q b q a Refresh Image			
	Submit Cancel			
	Terms & Conditions	s Site Map	Contact Us	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.

HKEX	e-Submission System		Fo	nt Size 🔺 🖊	A
香港交易所	The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)				
11/04/2019 11:36	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 "0766").				
	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	Privac

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.

日ドビズ 香港交易所	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subeldlary of Hong Kong Exchanges and Clearing Limited)	Fe	ont Size A	A A	EN 🕱
14/05/2019 12:23	User ID				
	User Password				
	One-Time Passcode (OTP)				
	Enter the Passcode from your token				
	Login Login with SMS Password				
	Forgot User ID Forgot User Password				
	Registration				
	Terms & Condition	s Site Map	Contact Us	Priv	vacy Policy

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.

HKEX 香港交易所 03/04/2019 10:23	e-Submission System The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size A	A A EN 💥
	Forgot User ID		
	* Denotes mandatory fields		
	*User Given Name & Family Name		
	Given Name Family Name		
	*User Registered Email Address		
	Registered Email Address		
	*Company Code		
	ENTER COMPANY CODE		
	*Enter the characters in the image		
	Enter the characters in the $k f 9 9$ Refresh		
	Submit Cancel		
	Terms & Conditions Site	Map Contact Us	Privacy Policy

Figure 2.21 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 3 above.

e-Submission System - Forgot User ID	← REPLY	REPLY ALL	-> FORWARD	
eds sender Tue 5/14/2019 12:55 PM Inbox			mark a	is read
Dear Sir/Madam,				
You requested to recover your User ID(s) for the e-Submission System. Below please find your registered User ID(s):				
• 8888AADM2 • 8888BSUBMIT				
If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System or the	case office	r of the Listing	Department.	
The Stock Exchange of Hong Kong Limited 14-05-2019				
(Note: This is an automatically generated email. Please do not reply directly to this email.)				
敬啟者:				
您要求取回您在電子呈交系統的用戶賬號。以下是您的登記用戶賬號				
8888AADM2 88888PSUBMIT				
如有查詢,請於電子呈交系統的操作時間致電熱線 (852) 2840 3460 或聯絡上市部內負責 贵公司之聯繫人。				
香港聯合交易所有限公司 14-05-2019				
(備註: 此影件是由系統自動發出, 請勿回覆此電郵。)				
Source 0.00 Ferrent Llear ID - Custom generated amol				

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.

14/05/2019 12:23 User ID User Password User Password One-Time Passcode (OTP) Enfor the Passcode from your token Login Login Vth SMS Password	
User Password One-Time Passcode (OTP) Enter the Passcode from your token Login Login	
One-Time Passcode (OTP) Enter the Passcode from your token Login Login	
Enter the Passcode from your token Login Login	
Login Login with SMS Password	
Login with ows Password	
Forgot User ID	
Forgot User Password Registration	
There & A suddays - Also Han - Asster Han - Asste	D-ll

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.

日代に入りませた。	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 🐒
03/04/2019 10:23	Forgot User Password		
	Denotes mandatory fields		
	"User ID		
	USER ID		
	User Registered Email Address		
	User Registered Email Address		
	*Enter the characters in the image		
	Enter the characters in the n 4 p 3 Refresh		
	Submit Cancel		
	Terms & Conditions Site	Map Contact Us	Privacy Policy

Figure 2.24 Forgot User Password page

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



Figure 2.25 Forgot User Password – System generated email

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

HKEX 電港交易所 13/03/2019 14:33	e-Submission System The Stock Exchange of Hung Kong Limited (A wholly owned subsidiary of Hung Kong Exchanges and Clearing Limited)	Font Si	ze A A	A EN T
	Reset Password			
	* Denotes mandatory fields			
	"User ID			
	UTERID			
	"New Password			
	Name Plan treated			
	(User pactored is name condition, a conditionation of letters (both opper d hower case) and number (0-9) and Setteres 9 and 95 charactery.)			
	"Re-type New Password			
	Re-trea New Password			
	Submit Cancel			
		Terms & Conditions	Site Map	Contact Us

Figure 2.26 Forgot User Password – Reset Password

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

NOTE:

- User password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9). It shall not be the same as any of the last 5 passwords (including your Current Password).
- The URL to reset the 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.

世代に入る。		(A wh	e-Submission System The Stock Exchange of Hong Kong Limited ofly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)	Font Size A A A EN
Home Document Submission	Download Document Template	Admin		Logo
Listing Related Matt Case Type Subject Company Code A Note: LMccocx for Main Board	New Case / Non-Case New Case / Non-Case Ssuer, LGxxxxx for GEM Board	nission	Existing Case Number tor Main Board new applicant, and AGxoox for GEM Board new applicant.	
Next				

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.

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Note: LMXXXXX for Main Board	Issuer, LG0000X for GEM Board Issuer, AM00000	t for Main Board new applicant, and AGXXXXX for GEM I	Board new applicant.	
Next				

Figure 3.3 Document Submission for Existing Case

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Figure 3.4 Document Submission for New Case / Non-Case

4. Click NEXT.

3.2 Uploading File(s)

 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".

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

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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.

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

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

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

- 3. Repeat steps 1 and 2 until all files are uploaded.
- 4. If you wish to receive submission confirmation email after document submission, click the checkbox of *Receive Submission Confirmation Email*.
- 5. 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.

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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.

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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.

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New / Nor-Case	LM66868	LM88888 - XYZ Group Ltd	66888LL/IM2	[C&M Checklists-Supporting Document.pdf]	11/04/2019 15:43:50
btal Number of Records : 4				8 34	

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.

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Figure 5.2 Download Document Template – Select Transaction Category

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



Figure 5.3 Download Document Template – Template List

- 4. 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).
- 5. 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.

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Company Website	ABC (210)					
Address (English)	Company Address 1 Company Address 2	Address (Chinese)				
Fax No.						
Amend Company Profile My Prof	le flack to Home					

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.

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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.

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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.

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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.
- 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:

Transaction Category Code	Transaction Category Description
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
ТМ	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