



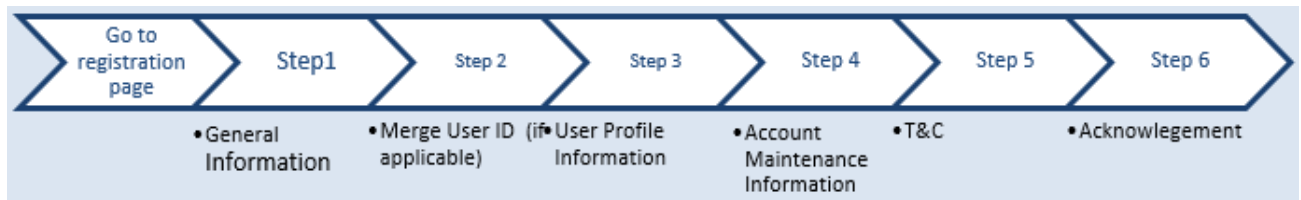
Disclosure of Interests Online (DION) System User Guide

(Released on 21 June 2017 / Last updated on 24 Jan 2022)

Table of Contents

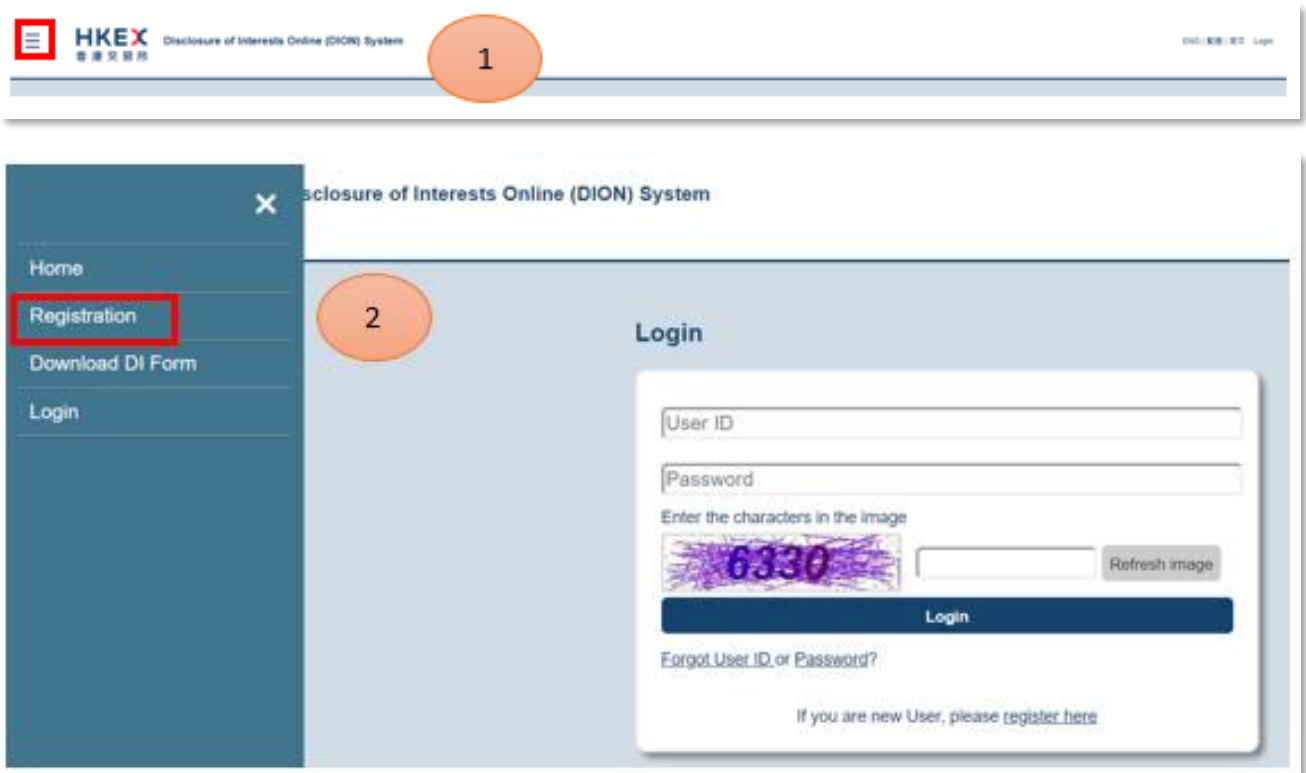
1. User Registration	To register a User ID in DION System for submitting DI Forms/ reports
2. Download DI Forms	(i) to download DI blank form (ii) to download DI Form which is pre-filled with user profile information
3. Form Submission	To login DION System and submit DI Forms/reports (i) Individual user – submit Form 1, Form 3A, 3B, 3C or 3D (ii) Corporate user – submit Form 2, Form 3A, 3B, 3C or 3D (iii) Listed Corporate user – submit Form 4 and/or special report
4. Change Login Password	To change user password after logging into DION System
5. User Profile maintenance	To maintain the following User ID information (i) user profile information (ii) merged User ID(s) (iii) security questions and answers (iv) registered email address (v) deactivate User ID
6. Forgot User ID	To retrieve User ID(s) registered under a specific registered email address
7. Forgot Password	To unlock and reset user password if user has forgotten the password
8. Listed corporation using ESS user account to login DION System	ESS AP or ESS DI user can login DION System to download DI Form(s) and attachment(s) filed through DION System (i) login (ii) download copy of DI Form(s) and attachment(s)

User Registration



GO TO REGISTRATION PAGE

Click “≡” on the top left corner (refer to number bubble 1) and choose “Registration” from menu bar. (refer to number bubble 2)



STEP 1 - GENERAL INFORMATION

Read the Tips (refer to number bubble 3) and fill in general information (refer to number bubble 4). Input the characters in the image (refer to number bubble 5). After completion, click “Next”.

Online Registration for login User ID of Disclosure of Interests Online System

1 General Information 2 Merge User ID (if applicable) 3 User Information 4 Account Maintenance 5 Accept Terms & Conditions 6 Acknowledgement

3

2 Help

Tips:

1. User Type :

- If you are an individual substantial shareholder, director or chief executive of a listed corporation, please register as "Individual Substantial Shareholders / Directors / Chief Executives".
- If you are a corporate substantial shareholder, director or chief executive of a listed corporation, please register as "Corporate Substantial Shareholders / Directors / Chief Executives".
- If you are a listed corporation that (i) is required by section 330(1) or 333(1) under Part XV of the SFO (Cap 571) to notify SEHK of the information received pursuant to s.329 or (ii) is to file special notifications exempted under s.309, please register as "Listed corporations".

2. Each individual/corporation is advised to register one DION user account only. DI filings made with different DION user accounts will be treated as if they were filed by different individuals/corporations. This also determines how the DI search results are being grouped and displayed on HKEX websites. If you have registered before and are going to be registered again, you should select "Yes" and provide your previous registered user ID in Step 2 (next page) to indicate that the specified accounts are referring to the same individual/corporation.

represents a mandatory field

User Type: Please Select

Preferred User ID

Have you registered before? Yes No
Step 2 is not applicable if you choose "No"

Enter the characters in the image: 9730

Refresh image

Cancel Next >

4

5

Remark:

Data field	Instruction / Data to be inputted
User Type	Choose the relevant user type
Preferred User ID	<p>The "Preferred User ID" must be alphanumeric (A-Z, a-z & 0-9) and be between 8 and 20 characters long. It should not contain space or special characters. User ID is non-case-sensitive.</p> <p>Note: Remember your inputted preferred User ID as it will not be shown in subsequent confirmation page or activation email for security reason.</p>
Have you registered before	<ul style="list-style-type: none"> ▪ This check box will not be available if you are going to register as listed corporation user. ▪ Select "No" if you have not registered before (Step 2 will be skipped automatically if you choose "No".) ▪ Select "Yes" if you have another active User ID. You will be brought to Step 2 to merge previous registered User ID with the User ID you are now registering.
Enter the characters in the image	Enter the number as displayed in the image.

STEP 2 – MERGE USER ID(s) (IF APPLICABLE)

If you have chosen “Yes” in Step 1, you will be brought to Step 2 to provide User ID of your previous registered User ID (*refer to number bubble 6*). After completion, click “Confirm” (*refer to number bubble 7*).

Notes:

1. As each individual or corporate user is advised to register for one User ID only, if the user has registered a User account before, the system will ask the user to provide the previous registered User ID in this step for consolidating User IDs.
2. Previous User ID provided here will be deactivated once the new User ID is activated through activation email.
3. After User IDs are being merged, the system will consider the DI notices filed by the merged User IDs will be regarded as being filed by same entity as the new user. This will determine how the DI filings are consolidated under HKEX DI web search.

Online Registration for login User ID of Disclosure of Interests Online System

1 General Information 2 Merge User ID (if applicable) 3 User Information 4 Account Maintenance 5 Accept Terms & Conditions 6 Acknowledgement

Individual Substantial Shareholders/Directors/Chief Executives [? Help](#)

Tips:
Merge User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may go back to step 1 and choose “No” and update “Merge user ID” when you login the user account upon your account activation.

* represents a mandatory field

User can merge previous registered User ID(s) into this new User ID.

Please provide your previous registered user ID(s) below

Previous Registered User ID: *

Registered Email Address of the above User ID: *

Security Question:

Answer *

Clear Confirm

Previous registered user ID(s):

Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.

Cancel < Back Next >

Data field	Instruction / Data to be inputted
Previous Registered User ID	Provide your previous registered User ID Note: User ID not yet activated is not accepted
Registered Email Address of the above User ID	Provide registered email address for the previous registered User ID
Security Question	Upon completion of the above 2 fields, security question will be prompted. Please provide answer to it.
Clear	Click “Clear” if you want to clear the content
Confirm	Click “Confirm” after completion

You will see the previous registered User ID added to the list (refer to the highlighted box). Then click “Next” (refer to number bubble 8).

Online Registration for login User ID of Disclosure of Interests Online System

1 General Information 2 Merge User ID (if applicable) 3 User Information 4 Account Maintenance 5 Accept Terms & Conditions 6 Acknowledgement

Individual Substantial Shareholders/Directors/Chief Executives [2 Help](#)

Tips:
Merge User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may go back to step 1 and choose “No” and update “Merge user ID” when you login the user account upon your account activation.

* represents a mandatory field

User can merge previous registered User ID(s) into this new User ID.

Please provide your previous registered user ID(s) below

Previous Registered User ID: *

Registered Email Address of the above User ID: *

Security Question:

Answer *

Previous registered user ID(s): test0001

Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.

8

STEP 3 – PROVIDE USER PROFILE INFORMATION

Fill in the user details (refer to number bubble 9; details for individual/ corporate users are presented in different screens). After completion, click “Next” (refer to number bubble 10).

Note: Profile information inputted here will be pre-filled to the DI Forms if user downloads DI Form after logging into DION System. In the future, user may log into DION System to update profile information by using “User Profile Maintenance” function.

Please note the following information will be pre-filled in the DI form(s) downloaded after login.

Surname (English) * ☐ English name is not applicable

Other Names (English) * ☐ Not applicable

Name (Chinese) * ☐ Not applicable

Chinese Character Code * Please input without space

HKID Card/Passport/PRC Resident Card No. * ☒ HKID Card ☐ Passport ☐ PRC Resident Card ☐ Others

Country of Issue of Passport

Address *

Daytime Telephone Number *

Email Address *

Re-type Email Address *

Personal data collected through the Disclosure of Interests Online System will not be used for direct marketing purposes and will be processed in line with the HKEX Privacy Policy.

Remark/ example:

Data field		Instruction / Data to be inputted
Name of Individual Substantial Shareholders/ Directors/Chief Executives	Surname (English)	Chan
	Other Names (English)	Tai Man
	Name (Chinese)	陳大文 or check the box “Not Applicable” if not applicable
Chinese Character Code		123400005678 (If you check the box “Not Applicable” above, you are not required to input Chinese Character Code)
HKID / Passport / PRC Resident Card		If you are inputting “HKID”, please input in the format of A123456(7) If the filer chose “Others”, he/she needs to provide details of his/her
Country of Issue of Passport		Applicable if you selected “Passport” above
Address		ABC Tower, ABC Road, Hong Kong
Daytime Telephone number		22221111
Email Address		A@A.com
Re-type Email Address		A@A.com

Please note the following information will be pre-filled in the DI form(s) downloaded after login.

Name of Corporate Substantial Shareholder/ Director/ Chief Executive *	
Registered Office *	
Principal Place of Business in Hong Kong *	
Business Registration Number *	
Place of Incorporation *	
Certificate of Incorporation Number *	
Contact Person *	
Daytime Telephone Number *	
Email Address *	
Re-type Email Address *	
Exchange on which it is Listed *	
Name of Listed Parent and Exchange on which Parent is Listed *	

Personal data collected through the Disclosure of Interests Online System will not be used for direct marketing purposes and will be processed in line with the [HKEX Privacy Policy](#).

Remark/ example:

Data field	Instruction / Data to be inputted
Name of Corporate Substantial Shareholder/Corporate Director/Chief Executive	ABC Ltd.
Registered Office	ABC Tower, ABC Road, Hong Kong
Principal Place of Business in Hong Kong	ABC Tower, ABC Road, Hong Kong
Place of Incorporation	Hong Kong
Certificate of Incorporation Number	HK01
Contact Person	Chan Tai Man
Daytime Telephone Number	22221111
Email Address	A@A.com
Re-type Email Address	A@A.com
Exchange on which it is Listed	N/A
Name of Listed Parent and Exchange on which Parent is Listed	N/A

STEP 4 – PROVIDE USER ACCOUNT MAINTENANCE INFORMATION

Select 3 different security questions and provide answers (*refer to number bubble 11*). Input registered email address or click the check box (*refer to number bubble 12*) if the registered email address is the same as the email address inputted in “General Information” section. Click “Next” to proceed (*refer to number bubble 13*).

Note: Security questions and answers will be used when you need to reset your forgotten password or to merge User ID(s).

Registered email address will be used to activate User ID, retrieve forgotten User ID and merge User ID. The system accepts using the same registered email address for different User IDs.

STEP 5 – READ AND ACCEPT TERMS AND CONDITIONS

Read the terms and condition and privacy policy statement. If you agree with the terms and conditions, click “Agree and Proceed” (*refer to number bubble 14*).

STEP 6 – ACKNOWLEDGEMENT PAGE

You will find a system generated reference number (*refer to the highlighted box*) on the acknowledgement page. You may save or print this page for record.

Note: You need to activate your User ID before logging into DION System. Please check the mailbox of registered email address, read the mail and activate (*refer to number bubble 15 to 17*) the User ID within 3 calendar days through the link provided.

Online Registration for login User ID of Disclosure of Interests Online System

1 General Information > 2 Merge User ID (if applicable) > 3 User Information > 4 Account Maintenance > 5 Accept Terms & Conditions > **6 Acknowledgement**

Individual Substantial Shareholders/Directors/Chief Executives

Thank you for your registration. An activation email will be sent to your registered email address shortly. Please activate your user ID within 3 calendar days.

Reference number: IND-2020011600001

Save this page Print this page Back to home

Dear Sir/Madam,

Thank you for your user registration (Ref. No.: IND-2020011600001). Before you can login, please activate your User ID by clicking the link below.

15

<http://pdinotice.hkex.com.hk/Register/Activation?stringval=4R51gUimPcE9Mc+ahgoSQ28c2XVfPz8eJpFW///ziUz03jPR55VvXC008WQ56EMIF76Y12oTOVop419w6zPk8Q==&walk=rbA35zop8H4thjPybQ+CMyp84WmyIS8+YfGzZd4VGG+XUqMs3uzjdsr/3Omhc&type=&lang=En>

The activation link will expire after 19/01/2020 at 23:59 (HK Time). If you are unable to activate your User ID before the expiry of this link, your user registration will be cancelled.

Should you have any enquiries, please contact us by sending an e-mail to DI-Filings@hkex.com.hk or call (852) 2295 4811 during office hour.

The Stock Exchange of Hong Kong Limited

Activate User ID and Setup New Password

16

New Password: *

Confirm Password: *

17

Save

Tips:

1. Password must contain a combination of letters (both upper & lower case) and numbers (0-9).
2. The length of password range from 10 to 15 characters.
3. Password can consist of special characters ! # \$ ^ *.

Note: Your new password must contain a combination of letters (both upper & lower case) and numbers (0-9) and be between 10 and 15 characters long. Password can consist of special characters (i.e. ! # \$ ^ *).

Download DI Form

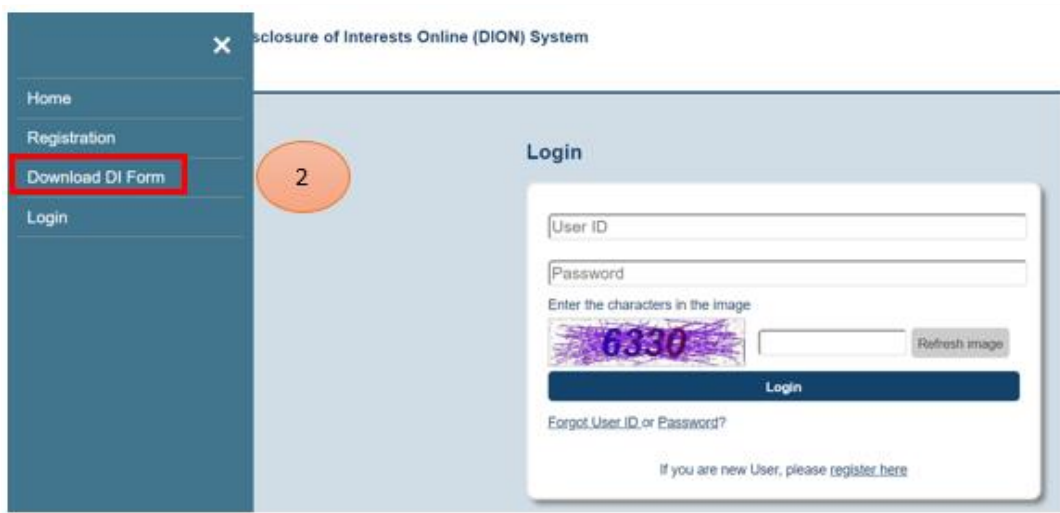
DI Forms are available in Adobe Portable Document format ("PDF") or in Microsoft Excel format. If you are a Windows user, you may download and file a notice using either format. If you are a Mac, you may only download and file a notice in PDF.

(i) Download blank DI Forms

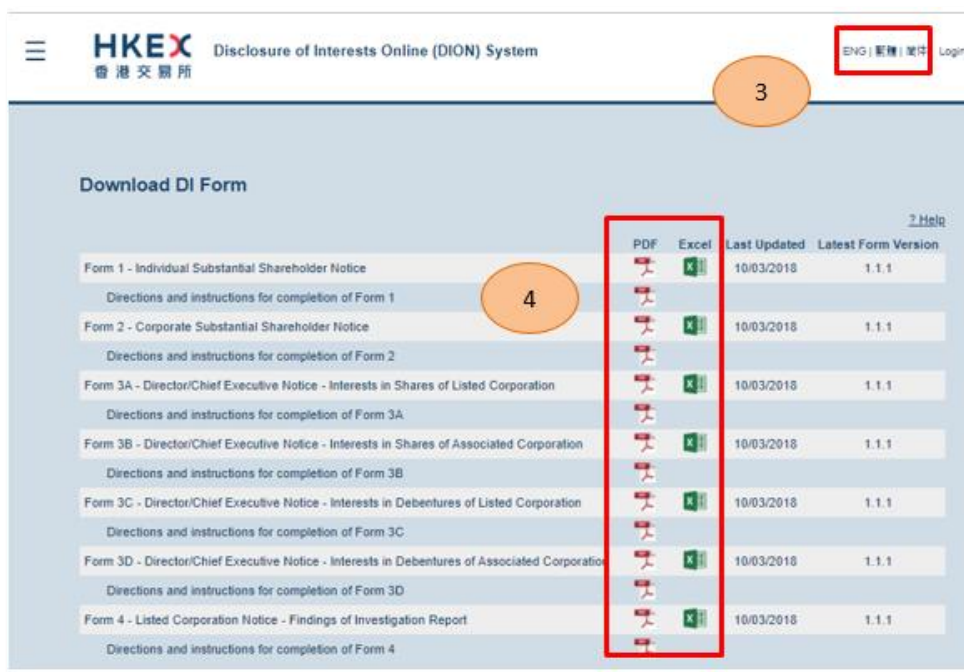
Click "☰" on the top left corner (*refer to number bubble 1*) before logging in.



Click "Download DI Form" (*refer to number bubble 2*).



Note: You may download DI Form in a different language (*refer to number bubble 4*) by clicking (ENG | 繁體 | 簡體) (*refer to number bubble 3*) on the top right corner.



(ii) Download Pre-filled DI FormLog into DION System

Click “Login” on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click “Login” button (refer to number bubble 3).

Download DI Form

Choose “Download DI Form” from the top left menu bar (refer to the highlighted box).

Note: Forms downloaded after logging into DION System will be pre-filled with logged in user profile information. Also, only form type(s) relevant to the logged in user will be available.

User Type	DI Form type available for downloading after logging in
Individual	Form 1, Form 3A, 3B, 3C, 3D
Corporate	Form 2, Form 3A, 3B, 3C, 3D
Listed Corporation	Form 4

Form	PDF	Excel	Last Updated	Latest Form Version
Form 1 - Individual Substantial Shareholder Notice Directions and instructions for completion of Form 1			10/03/2018	1.1.1
Form 2 - Corporate Substantial Shareholder Notice Directions and instructions for completion of Form 2			10/03/2018	1.1.1
Form 3A - Director/Chief Executive Notice - Interests in Shares of Listed Corporation Directions and instructions for completion of Form 3A			10/03/2018	1.1.1
Form 3B - Director/Chief Executive Notice - Interests in Shares of Associated Corporation Directions and instructions for completion of Form 3B			10/03/2018	1.1.1
Form 3C - Director/Chief Executive Notice - Interests in Debentures of Listed Corporation Directions and instructions for completion of Form 3C			10/03/2018	1.1.1
Form 3D - Director/Chief Executive Notice - Interests in Debentures of Associated Corporation Directions and instructions for completion of Form 3D			10/03/2018	1.1.1
Form 4 - Listed Corporation Notice - Findings of Investigation Report Directions and instructions for completion of Form 4			10/03/2018	1.1.1

Form Submission

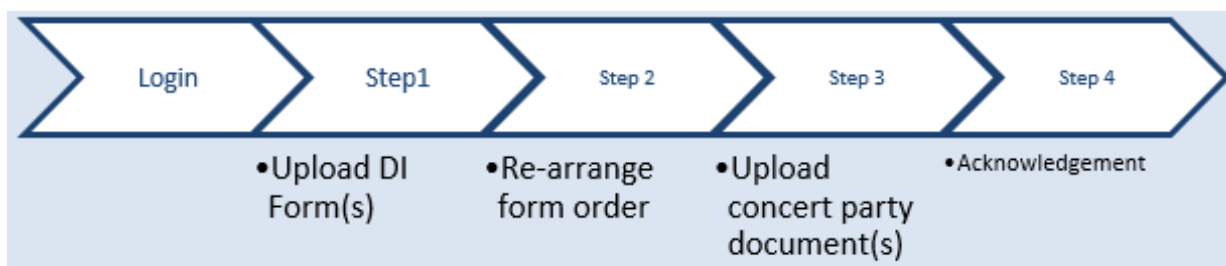
User should log into DION System with the User ID to submit DI Form,.

Remark:

User Type	Form type available for submission	Maximum no. of DI Forms to be uploaded in each submission	Other documents to be uploaded (if applicable)
Individual user	Form 1, Form 3A, 3B, 3C, 3D	10 DI Forms	Concert party
Corporate user	Form 2, Form 3A, 3B, 3C, 3D	10 DI Forms	Concert party
Listed Corporation user	Form 4	1 DI Form	Investigation report + Concert party document
	Special reports (by listed corporations exempted under s.309 SFO)	10 reports	N/A

Please avoid using symbols or special characters when creating a file name. Unacceptable symbols and special characters include but not limited to the following: '!#\$%^&*+=-[]';,/{}":<>?.

(i)/ (ii) Submission of DI Forms by Individual/ Corporate User



LOGIN AND GO TO SUBMISSION FUNCTION

Log into DION System by clicking “Login” on the top right corner (*refer to number bubble 1*).
Input login details (*refer to number bubble 2*) and click “Login” button (*refer to number bubble 3*).

HKEX 香港交易所 Disclosure of Interests Online (DION) System

ENG | 繁體 | 簡體 | Login

1

2

3

4

Click "≡" to open the function menu on the top left hand corner (*refer to number bubble 4*).

HKEX 香港交易所 Disclosure of Interests Online (DION) System

ENG | 繁體 | 簡體 | Login

4

Welcome to Disclosure of Interests Online (DION) System

Last login time: 15/03/2020 11:45:20 GMT+08:00 (Business)

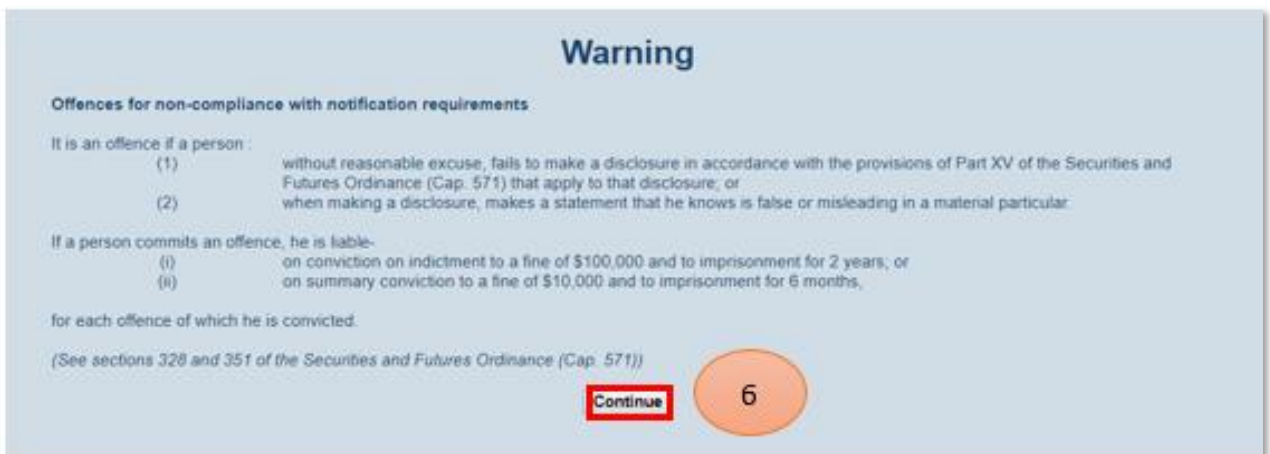
Click

(i) "Submit DI Form 1, Form 3A, Form 3B, Form 3C or Form 3D". – For Individual user (*refer to number bubble 5 – highlighted function*).

(ii) "Submit DI Form 2, Form 3A, Form 3B, Form 3C or Form 3D". – For Corporate user (*refer to number bubble 5 – highlighted function*)



Read the warning message and click "Continue" (*refer to number bubble 6*).



STEP 1 – UPLOAD DI FORMS

Click "Browse" (refer to number bubble 7) to select the completed DI Forms from your computer folder.

Submit DI Form 1, Form 3A, Form 3B, Form 3C or Form 3D

1 Upload DI Form 2 Re-arrange Form Order 3 Upload Concert Party Document(s) 4 Acknowledgement

[? Help](#)

Note:

1. Logged-in DION User should only file DI form on his/her/its behalf.
2. To submit DI forms, please upload the duly completed DI form(s) here. Concert Party Documents (if applicable) should be uploaded in step 3.
3. This system only accepts PDF DI forms or Excel DI forms provided in this website or SFC website.
4. Upload DI form function allows multiple form submission. You may upload up to 10 DI forms in each submission.
5. Both PDF form and Excel form can be uploaded in one submission.
6. If the forms uploaded are in respect of the same listed corporation and the same relevant event date, you will need to indicate the sequence of events in step 2.
7. DI form(s) and Concert Party Document(s) submitted to the HKEX through this system are regarded as duly given or delivered to the Listed Corporation concerned.

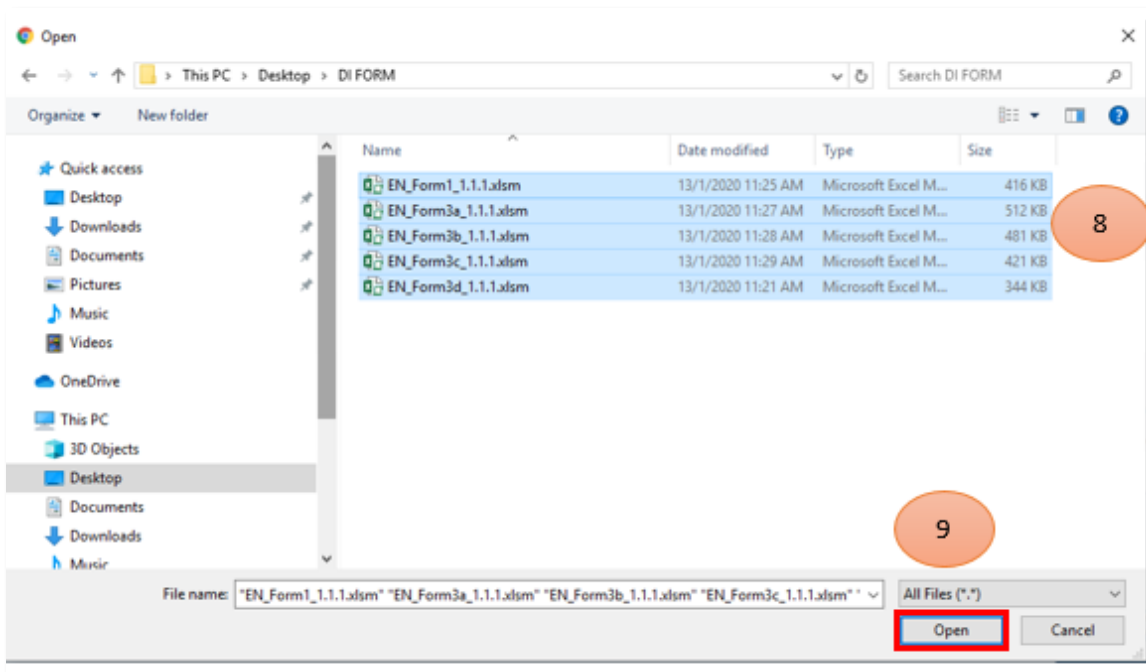
Upload Form **Browse...** Start Upload

7

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

Next >

You may select up to 10 DI Forms (refer to number bubble 8) and click "Open" (refer to number bubble 9).



Please click "Start Upload" to upload the forms (*refer to number bubble 10*).

Note:

1. Logged-in DION User should only file DI form on his/her/its behalf.
2. To submit DI forms, please upload the duly completed DI form(s) here. Concert Party Documents (if applicable) should be uploaded in step 3.
3. This system only accepts PDF DI forms or Excel DI forms provided in this website or SFC website.
4. Upload DI form function allows multiple form submission. You may upload up to 10 DI forms in each submission.
5. Both PDF form and Excel form can be uploaded in one submission.
6. If the forms uploaded are in respect of the same listed corporation and the same relevant event date, you will need to indicate the sequence of events in step 2.
7. DI form(s) and Concert Party Document(s) submitted to the HKEX through this system are regarded as duly given or delivered to the Listed Corporation concerned.

Upload Form Browse... **Start Upload** 10

EN_Form1_1.1.1.xlsm	Remove
EN_Form3a_1.1.1.xlsm	Remove
EN_Form3b_1.1.1.xlsm	Remove
EN_Form3c_1.1.1.xlsm	Remove
EN_Form3d_1.1.1.xlsm	Remove

Note:

During the uploading process, the system will perform online validation. Upload bar will turn green, yellow or red to indicate whether the forms are ready for submission. If upload bar turns red, filer must remove the form (*refer to number bubble 11*), make correction to the form and upload it again. Sometimes errors may be related to inconsistency between logged in user profile and data input in the DI Form. User may need to update either the DI Form or profile information within DION System before the form can be submitted successfully.

Green upload bar	DI Form has passed all validation and is ready for submission
Yellow upload bar	DI Form data and system information do not match while DI Form can still be submitted if filer considers amendment is not necessary.
Red upload bar	DI Form cannot pass validation and filer is required to remove the form and make revision and upload the file again.

User type	DION System profile details that are required to match the DI Form uploaded
Individual user	<ol style="list-style-type: none"> 1. Name of substantial shareholder (English) 2. HKID/Passport/PRC Resident Card No. 3. Name of substantial shareholder (Chinese) 4. email address
Corporate user	<ol style="list-style-type: none"> 1. Name of substantial shareholder 2. Place of incorporation 3. Certificate of incorporation No 4. email address
Listed corporation user	<ol style="list-style-type: none"> 1. Stock code of listed corporation 2. email address of individual filing this Form 4

User may also preview the form using “Preview” button against each form. When all DI Forms are ready for submission, click “Next” to proceed (*refer to number bubble 12*).

Hide error message

EN_Form3d_1.1.1.xlsm--Box 1 - Please fill in "Date of relevant event" in (dd/mm/yyyy) format.
 EN_Form3d_1.1.1.xlsm--Box 3 - No matching results are found for the inputted stock code.
 EN_Form3d_1.1.1.xlsm--Box 5 - The "Name of associated corporation of the listed corporation" is left empty. Please complete this box.
 EN_Form3d_1.1.1.xlsm--Box 6 - The "Registered office" is left empty. Please complete this box.
 EN_Form3d_1.1.1.xlsm--Box 7 - The "Principal place of business" is left empty. Please complete this box.
 EN_Form3d_1.1.1.xlsm--Box 8 - The "Place of business" is left empty. Please complete this box.

Error message in red: Please remove the form(s) highlighted in red and correct the error(s) before you may proceed to submission.

Save Error Messages

Upload Form Browse... Start Upload

EN_Form1_1.1.1.xlsm	Preview Remove
EN_Form3a_1.1.1.xlsm	Preview Remove
EN_Form3b_1.1.1.xlsm	Preview Remove
EN_Form3c_1.1.1.xlsm	Preview Remove
EN_Form3d_1.1.1.xlsm	Remove

11

Upload Form Browse... Start Upload

EN_Form1_1.1.1.xlsm	Preview Remove
EN_Form3a_1.1.1.xlsm	Preview Remove
EN_Form3b_1.1.1.xlsm	Preview Remove
EN_Form3c_1.1.1.xlsm	Preview Remove

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

Next >

12

STEP 2 – RE-ARRANGE FORM ORDER

Note:

This step will be skipped automatically if it is irrelevant to your submitted form(s).

If the system has detected two or more DI Forms of the same type with the same “date of relevant event”, user may select the form (*refer to number bubble 13*) and re-arrange the order using the “Move Up” and “Move Down” buttons (*refer to number bubble 14*). By default, the system will assign the display sequence based on the user's submission order.

When the re-arrangement is completed, the user can click "Next" (*refer to number bubble 15*) to upload the Concert Party Documents.

Submit DI Form 1, Form 3A, Form 3B, Form 3C or Form 3D

1 Upload DI Form 2 Re-arrange Form Order 3 Upload Concert Party Document(s) 4 Acknowledgement

[? Help](#)

As some of the forms have the same form type, date of relevant event, name of listed corporation and name of associated corporation (if any), the system has assigned the display sequence based on your submission order on the previous page.

Please select the relevant DI form and use the "Move Up"(i.e. the latest event) and "Move Down"(i.e. the earliest event) buttons to rearrange the sequence of events for each group of forms if necessary.

Form Type: Form 1
Date of relevant event: 12/01/2020
Listed Corporation: Hong Kong Exchanges and Clearing Ltd.

EN_Form1_1.1.1.xlsm	13	14	▲ Move Up ▼ Move Down
TC_Form1_1.1.1.xlsm		15	

< Back **Next >**

STEP 3 – UPLOAD CONCERT PARTY DOCUMENT(S)

Note:

This step will be skipped automatically if it is irrelevant to your submitted form(s) (i.e. if you have uploaded Form 3B, 3C or 3D only)

Click "Browse" (refer to number bubble 16) below the DI Form file name which is required to upload concert party document(s).

[? Help](#)

Note:

- Please ONLY upload copies of concert party documents (if applicable) here.
- All documents uploaded here will be displayed together with the corresponding DI form on HKEX website and will be available for viewing by the public when searching the DI pages of the HKEX website. If you wish to keep any personal information in Concert Party Documents private, redact such information before uploading.
- The browse function allows multiple files to be uploaded at the same time.

EN_Form1_1.1.1.xlsm

Choose file(s) **Browse...** Start Upload

TC_Form1_1.1.1.xlsm

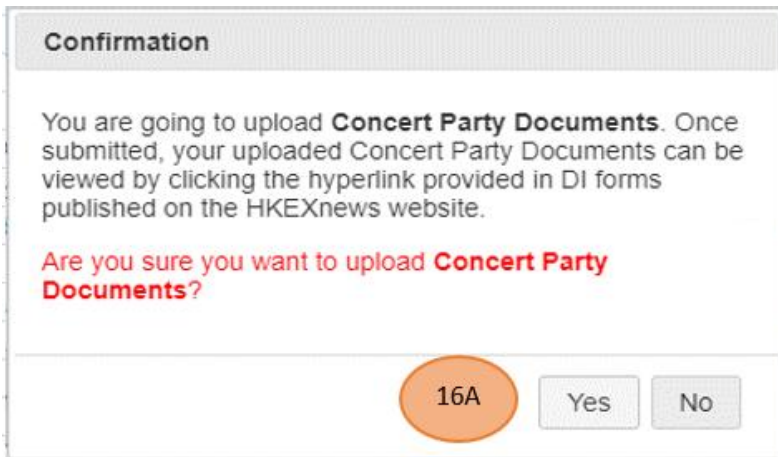
Choose file(s) Browse... Start Upload

16

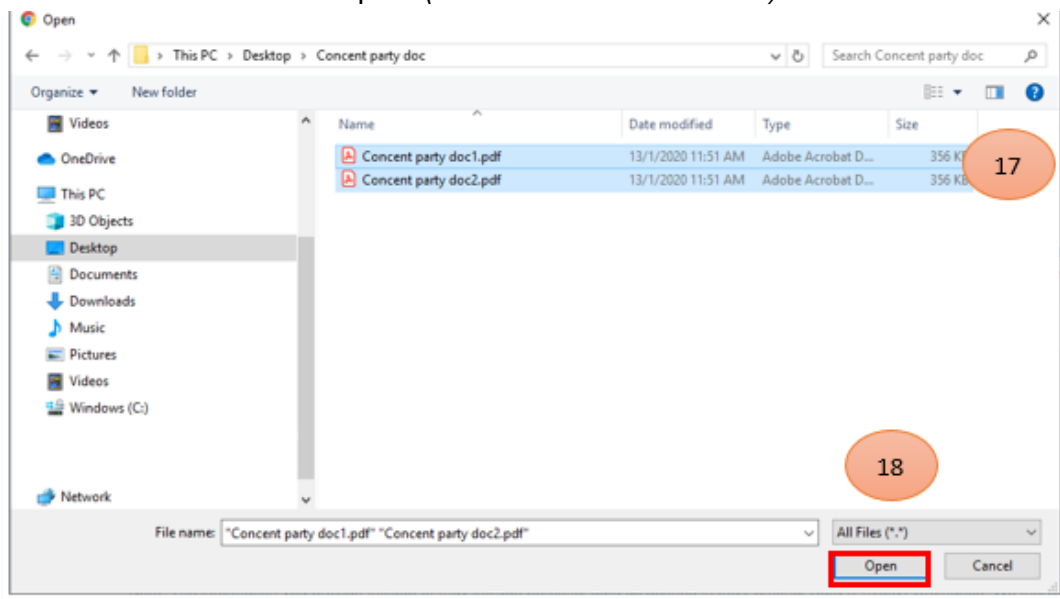
Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the [HKEX Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

< Back **Submit**

After clicking "Browse", a confirmation box will be popped up. User may click "Yes" to proceed to file selection page or click "No" to go back to Upload Concert Party Document(s) page (refer to number bubble 16A).



If "Yes" is chosen, user can select the concert party document(s) (refer to number bubble 17) to be submitted and then click "Open" (refer to number bubble 18).



Click "Start Upload" (refer to number bubble 19) to upload the Concert Party Documents.



When ready for submission, click "Submit" to continue (refer to number bubble 20).

Note:

There will be alert message(s) if the number of concert party documents uploaded does not match the number as stated in the DI Form. You may choose to continue your submission or to make appropriate correction before submission.

STEP 4 – ACKNOWLEDGEMENT

You will find a system generated serial number on the acknowledgement page. You may send, save or print this page for record.

You have completed the DI form(s) submission. You may print/ save/ send this acknowledgement page for future reference.

Date/Time of Filing:	13/01/2020 11:56:25 GMT+08:00
Serial Number/Form Type:	IS20200113E00002(Form 1)
Date of Relevant Event:	12/01/2020
Listed Corporation / Stock Code:	Hong Kong Exchanges and Clearing Ltd.(00388)
Substantial Shareholder/Director/Chief Executive Name:	Chan Tai Man 陳大文
Daytime Tel:	21112111
Email:	aaa@abc.com
DI Form File Name:	EN_Form1_1.1.1.xlsm
Attachment(s):	Concent party doc1.pdf Concent party doc2.pdf
Check Digit:	2BA15AB3D10D9F991E5FAEDC47891723

Date/Time of Filing:	13/01/2020 11:56:25 GMT+08:00
Serial Number/Form Type:	IS20200113E00001(Form 1)
Date of Relevant Event:	12/01/2020
Listed Corporation / Stock Code:	香港交易及結算所有限公司(00388)
Substantial Shareholder/Director/Chief Executive Name:	Chan Tai Man 陳大文
Daytime Tel:	21112111
Email:	aaa@abc.com
DI Form File Name:	TC_Form1_1.1.1.xlsm
Check Digit:	6704CE65EBB1C8BF2D8868ACD054DD22

Save this page

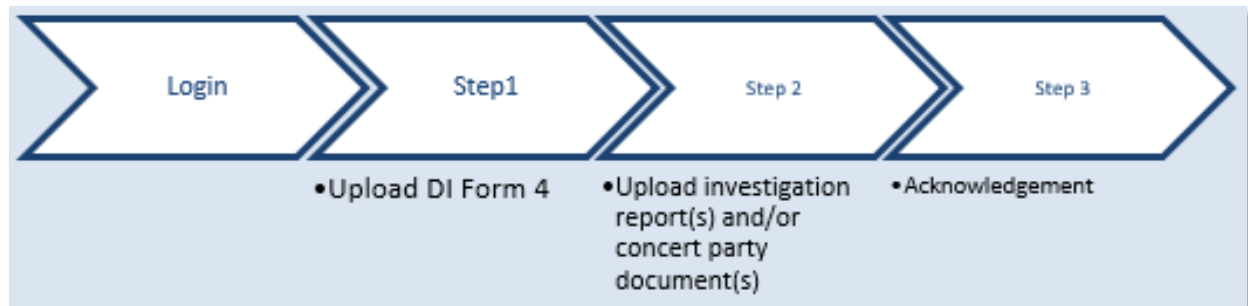
Send this page to registered email address

Print this page

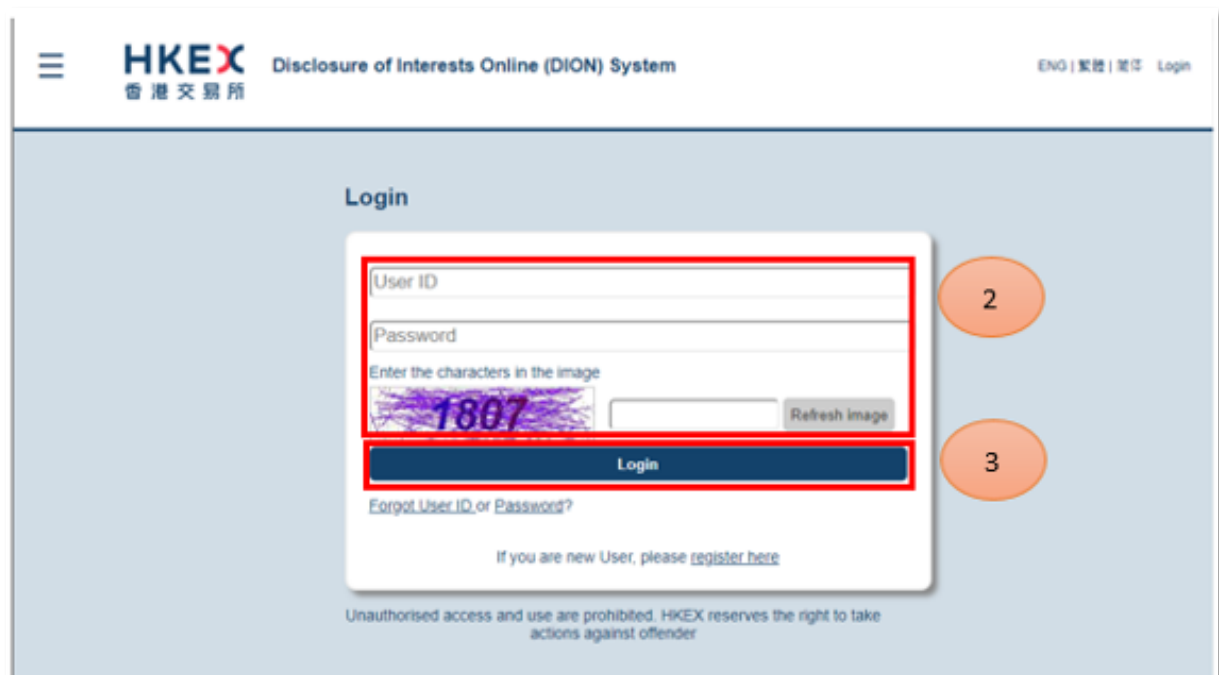
Back to home

(iii) Submission of DI Forms by Listed Corporation User

Submit Form 4

LOGIN AND GO TO SUBMISSION FUNCTION

Log into DION System by clicking “Login” on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click “Login” button (refer to number bubble 3).



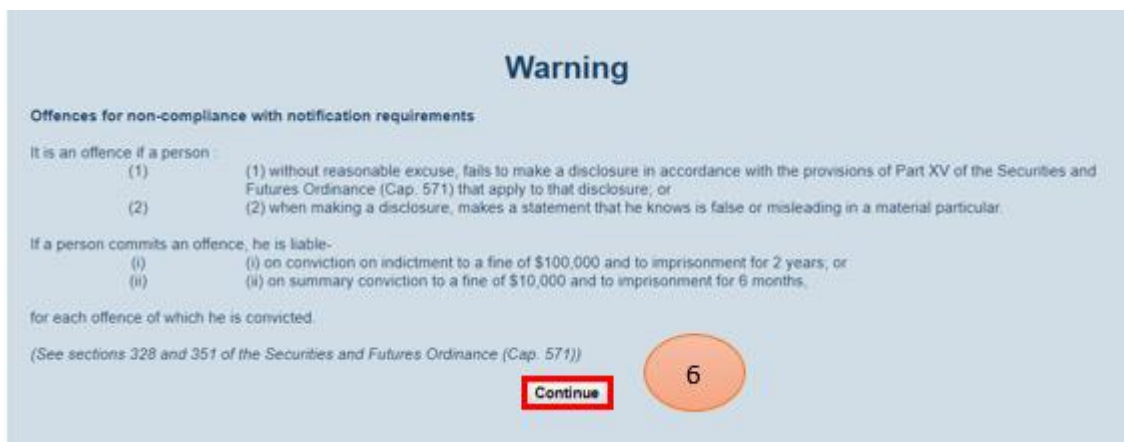
Click “≡” to open the function menu on the top left hand corner (refer to number bubble 4).



Click "Submit DI Form 4" (refer to number bubble 5).

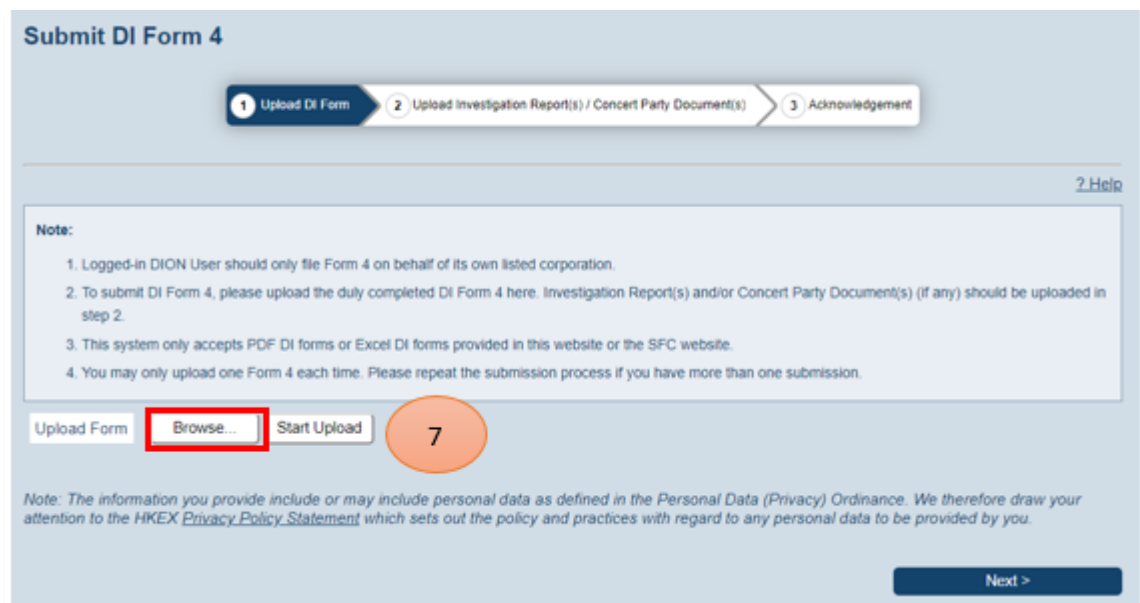


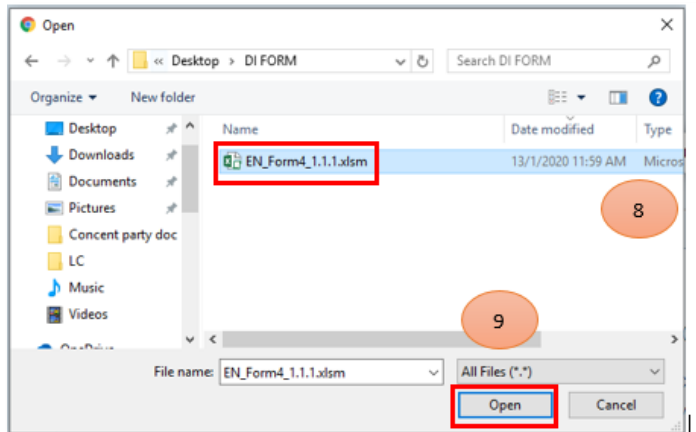
Read the warning message and click "Continue" (refer to number bubble 6).



STEP 1 – UPLOAD DI FORM 4

Click "Browse" (refer to number bubble 7) to select from file directory DI Form 4 to be submitted (refer to number bubble 8) and click "Open" (refer to number bubble 9).





Click "Start Upload" (refer to number bubble 10) to upload the form and click "Next" after completion (refer to number bubble 11).

Note:

During the uploading process, the system will perform online validation. Upload bar will turn green, yellow or red to indicate whether the forms are ready for submission. If upload bar turns red, filer must remove the form, make correction to the form and upload it again. Sometimes errors may be related to inconsistency between logged in user profile and data input in the DI Form. User may need to update either the DI Form or profile information within DION System before the form can be submitted successfully.

Green upload bar	DI Form has passed all validation and is ready for submission
Yellow upload bar	DI Form data and system information do not match while DI Form can still be submitted if filer considers amendment is not necessary.
Red upload bar	DI Form cannot pass validation and filer is required to remove the form and make revision and upload the file again.

User type	DION System profile details that are required to match the DI Form uploaded
Individual user	1. Name of substantial shareholder (English) 2. HKID/Passport/PRC Resident Card No. 3. Name of substantial shareholder (Chinese) 4. email address
Corporate user	1. Name of substantial shareholder 2. Place of incorporation 3. Certificate of incorporation No 4. email address
Listed corporation user	1. Stock code of listed corporation 2. email address of individual filing this Form 4

Example of red upload bar:

Hide error message

EN_Form4_1.1.1 (blank).xism--Box 1 - Please fill in the date in (dd/mm/yyyy) format.
 EN_Form4_1.1.1 (blank).xism--Box 2 - No matching results are found for the inputted stock code.
 EN_Form4_1.1.1 (blank).xism--Box 4 - The "Class of shares of listed corporation specified in the s.329 notice" is left empty. Please complete this box.

Error message in red. Please remove the form(s) highlighted in red and correct the error(s) before you may proceed to submission.

Save Error Messages

Upload Form Browse... Start Upload

EN_Form4_1.1.1 (blank).xism Remove

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

Next >

STEP 2 – UPLOAD INVESTIGATION REPORT(S) AND/OR CONCERT PARTY DOCUMENT(S)

Click "Browse" (refer to number bubble 12) to select *Investigation Reports* (support PDF format only) from the file directory. Select file (refer to number bubble 13) and then click "Open" (refer to number bubble 14).

Uploaded Form 4 EN_Form4_1.1.1.xism

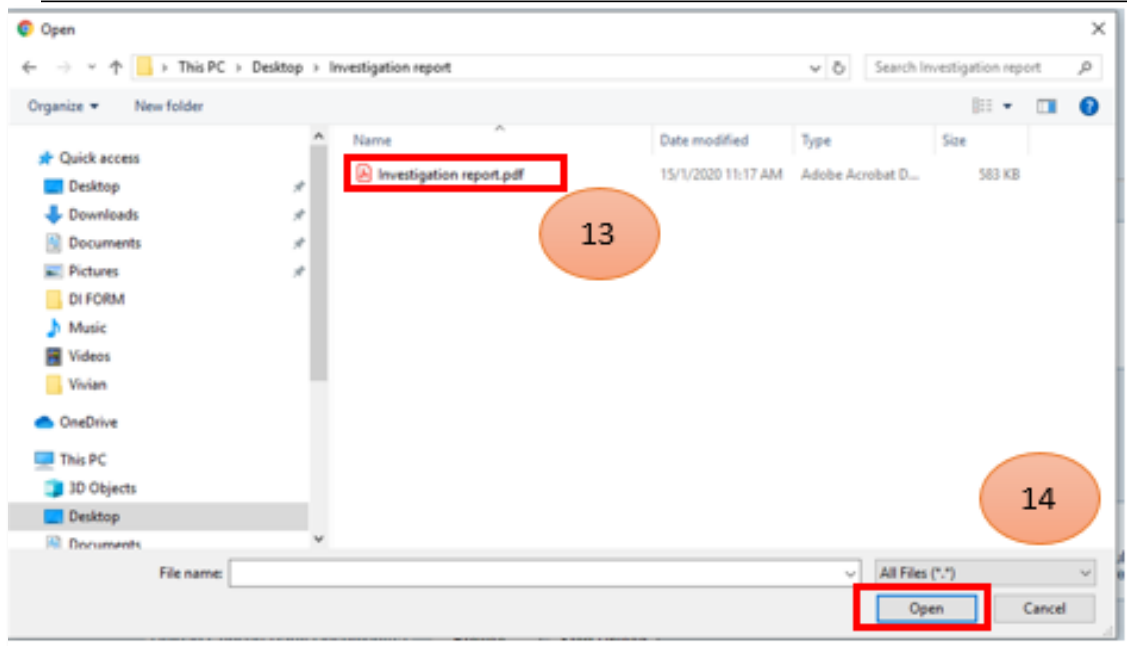
Upload Investigation Report(s) Browse... Start Upload 12

Note: All documents uploaded here will be displayed together with the corresponding DI form on HKEX website and will be available for viewing by the public when searching the DI pages of the HKEX website. If you wish to keep any personal information in Concert Party Documents private, redact such information before uploading.

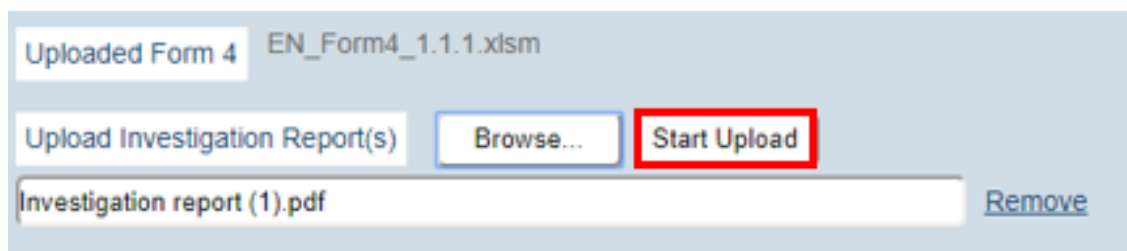
Upload Concert Party Document(s) Browse... Start Upload

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

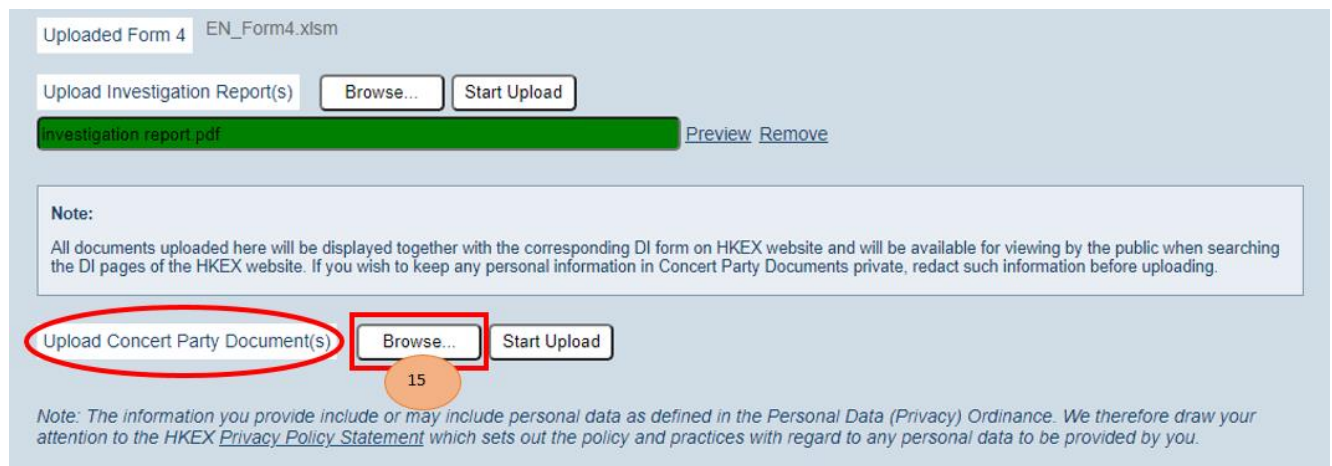
< Back Submit



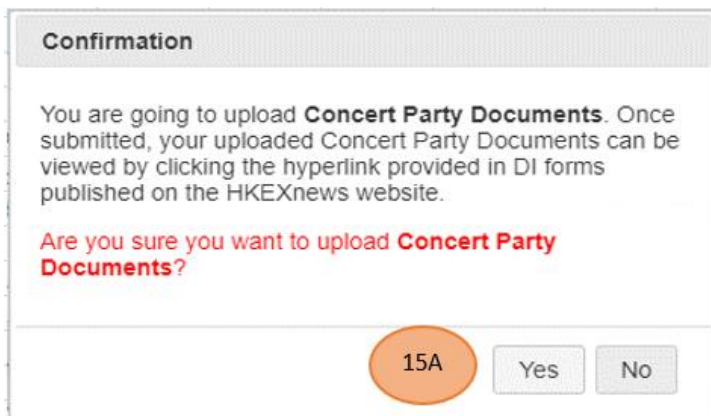
Click "Start Upload" (refer to *highlighted box*) to upload the investigation report.



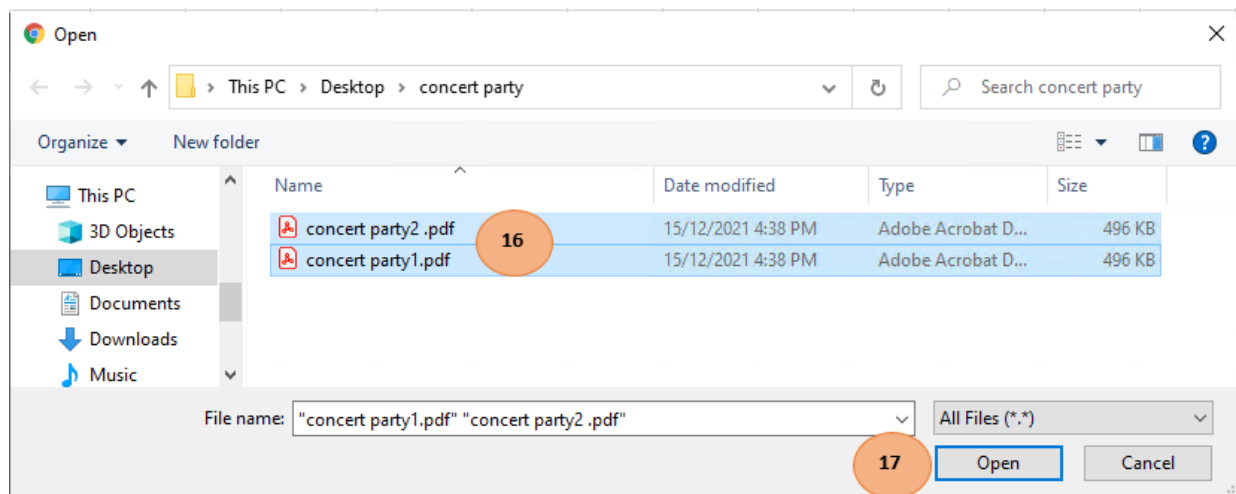
Click "Browse" (refer to *number bubble 15*) to select *Concert Party Documents* from file directory.



After clicking “Browse”, a confirmation box will be popped up. User may click “Yes” to proceed to file selection page or click “No” to go back to Upload Investigation Report(s) and/or Concert Party Document(s) page (refer to number bubble 15A).



If “Yes” is chosen, user can select file (refer to number bubble 16) and then click “Open” (refer to number bubble 17).



Note: You may upload up to 10 concert party documents in PDF or MS Word format here

Click "Start Upload" (refer to number bubble 18) to upload the Concert Party Documents and click "Submit" (refer to number bubble 19) after completion.

Upload Concert Party Document(s) [Browse...](#) **Start Upload** 18

Concent party doc1.pdf [Remove](#)

Concent party doc2.pdf [Remove](#)

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the [HKEX Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

[< Back](#) [Submit](#)

Concent party doc1.pdf [Preview](#) [Remove](#)

Concent party doc2.pdf [Preview](#) [Remove](#)

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your attention to the [HKEX Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

[< Back](#) **Submit** 19

Note: There will be alert message(s) if the number of concert party documents uploaded does not match with the number as stated in the DI Form. You may choose to continue your submission or to make appropriate correction before submission.

The investigation reports will not be published on the HKEX website. The public cannot access the documents. The Concert Party Documents can be viewed on HKEX website.

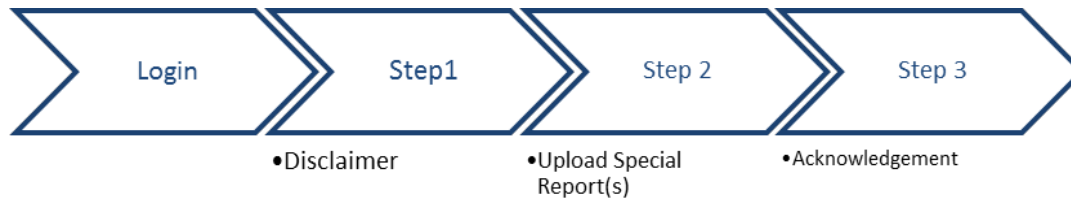
STEP 3 – ACKNOWLEDGEMENT

You will find a system generated serial number on the acknowledgement page. You may send, save or print this page for record.

You have completed the DI Form 4 submission. You may print/ save/ send this acknowledgement page for future reference.

Date/Time of Filing:	15/01/2020 11:28:54 GMT+08:00
Serial Number/Form Type:	IR20200115E00001 (Form 4)
Specified date:	12/01/2020
Listed Corporation / Stock Code:	Hong Kong Exchanges and Clearing Ltd. (00388)
Name of Individual Filing this Form 4:	Chan Tai Man
Daytime Tel of Individual Filing this Form 4:	287654321
Email of Individual Filing this Form 4:	aaa@abc.com
DI Form File Name:	EN_Form4_1.1.1.xlsm
Investigation Reports(s) File Name:	Investigation report (1).pdf
Concert Party Document(s) File Name:	Concent party doc1.pdf Concent party doc2.pdf
Check Digit:	AD30D9B835F7A4B5AEEB2ECF60ABA214

[Save this page](#) [Send this page to registered email address](#) [Print this page](#) [Back to home](#)

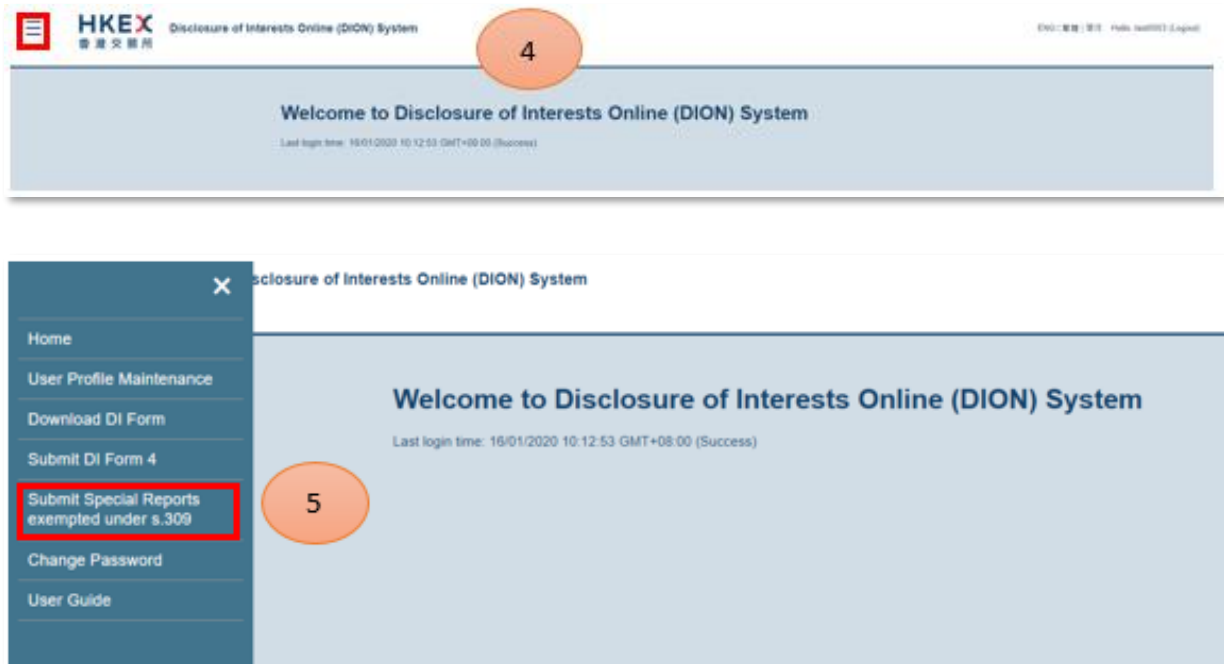
Submit Special Report (For Listed Corporations Exempted under s.309 SFO)**LOGIN AND GO TO SUBMISSION FUNCTION**

Log into DION System by clicking “Login” on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click “Login” button (refer to number bubble 3).

The top screenshot shows the header of the HKEX Disclosure of Interests Online (DION) System. It includes the HKEX logo, the text 'Disclosure of Interests Online (DION) System', and a 'Login' link. A red bubble with the number 1 is placed over the 'Login' link.

The bottom screenshot shows the login form. It has a title 'Login' and a form with the following fields: 'User ID', 'Password', and 'Enter the characters in the image' (with a CAPTCHA image showing '1807'). There is a 'Refresh Image' button next to the CAPTCHA. A red bubble with the number 2 is placed over the CAPTCHA field. Below the form is a 'Login' button, with a red bubble with the number 3 placed over it. There are also links for 'Forgot User ID or Password?' and 'If you are new User, please register here'.

Click "☰" (refer to number bubble 4) to open the function menu on the top left hand corner and select "Submit Special Reports exempted under s.309" (refer to number bubble 5).



STEP 1 - DISCLAIMER

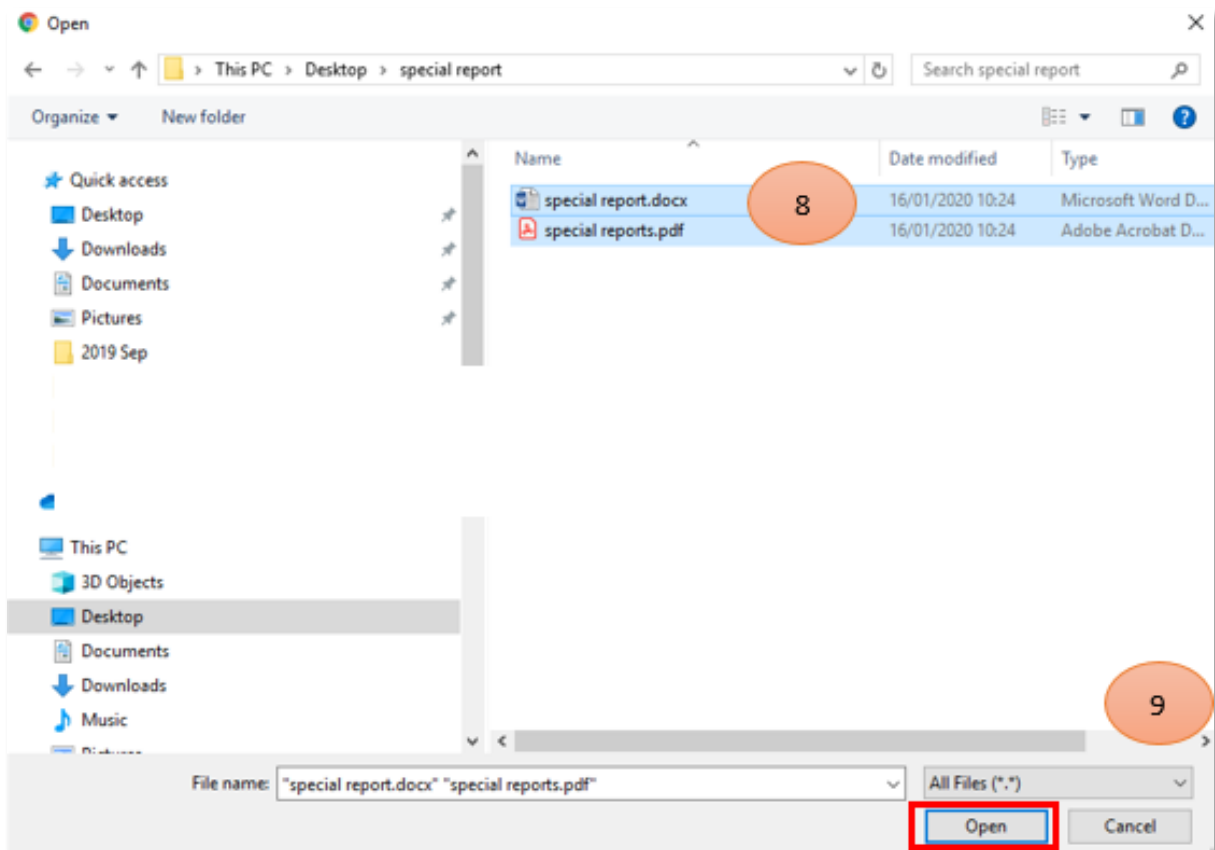
Click the check box to confirm the Listed Corporation User has been granted an exemption and then click "Next" (refer to number bubble 6).

The screenshot shows the 'Submit Special Reports exempted under s.309 of the Securities and Futures Ordinance' form. At the top, there is a progress bar with three steps: 1. Disclaimer (active), 2. Upload s.309 Special Reports, and 3. Acknowledgement. Below the progress bar, there is a 'Note:' section stating: 'Logged-in DI User should only file Special Report(s) exempted under s.309 of the Securities and Futures Ordinance on behalf of its own listed corporation.' Below the note, there is a checkbox with the text: 'Check this box to confirm the listed corporation concerned has been granted an exemption under section 309 of the Securities and Futures Ordinance.' At the bottom right, there is a 'Next >' button, labeled with a red circle containing the number 6.

STEP 2 – UPLOAD s.309 SPECIAL REPORTS

Click "Browse" (refer to number bubble 7) to select from file directory the special report(s) (refer to number bubble 8) to be submitted and click "Open" (refer to number bubble 9). Click "Start Upload" to upload the report(s). After the report(s) has/have been uploaded, please click "Submit" (refer to number bubble 10).

The screenshot shows a web interface titled "Submit Special Reports exempted under s.309 of the Securities and Futures Ordinance". It features a progress bar with three steps: 1. Disclaimer, 2. Upload s.309 Special Reports (active), and 3. Acknowledgement. A "2 Help" link is in the top right. A "Note" box contains three instructions: 1. Upload only PDF or Word files. 2. Multiple files can be uploaded in one submission. 3. Check the "Revised" box and input a serial number for revisions. Below the note are buttons for "Upload report(s)", "Browse" (highlighted with a red box and labeled with bubble 7), and "Start Upload". A "Note" at the bottom states that the information may include personal data and refers to the HKEX Privacy Policy Statement. At the bottom right are "< Back" and "Submit" buttons.



Submit Special Reports exempted under s.309 of the Securities and Futures Ordinance

1 Disclaimer 2 Upload s.309 Special Reports 3 Acknowledgement

[? Help](#)

Note:

1. Please only upload report in PDF or Word format.
2. The browse function allows multiple files to be uploaded. You may upload both PDF files and Word files in one submission.
3. If the uploaded report is a revision to a previously submitted report, please check the "Revised" box and input the serial number of the report to be revised.

Upload report(s) Browse... Start Upload

special report.docx Preview Remove ☐ Revised: Insert log/serial number of the previous filing

special reports.pdf Preview Remove ☐ Revised: Insert log/serial number of the previous filing

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

< Back Submit

Notes:

1. Support PDF and MS Word format.
2. User may upload up to 10 Special Reports in each submission.
3. Maximum size of each uploading file is 5MB.
4. If the uploaded report is a revision to a previously submitted report, please check the "Revised" box against the report and input the serial number of the report to be revised.

STEP 3 – ACKNOWLEDGEMENT

You will find a system generated serial number on the acknowledgement page. You may send, save or print this page for record.

You have completed the s.309 special report(s) submission. You may print/ save/ send this acknowledgement page for future reference.

Date/Time of Filing: 16/01/2020 10:32:43 GMT+08:00
 Serial Number/Form Type: SN20200116E00001 (s.309 Special Report)
 Listed Corporation / Stock Code: Hong Kong Exchanges and Clearing Ltd. (00388)
 Contact Person: Chan Tai Man
 Daytime Tel: 287654321
 Email: aaa@abc.com
 Report File Name: special report.docx
 Check Digit: A1395A1323094952ED752D43B539CC1C

Date/Time of Filing: 16/01/2020 10:32:43 GMT+08:00
 Serial Number/Form Type: SN20200116E00002 (s.309 Special Report)
 Listed Corporation / Stock Code: Hong Kong Exchanges and Clearing Ltd. (00388)
 Contact Person: Chan Tai Man
 Daytime Tel: 287654321
 Email: aaa@abc.com
 Report File Name: special reports.pdf
 Check Digit: 2EEDADA48B403AD01FE9223229404099

Save this page Send this page to registered email address Print this page Back to home

Change Login Password

Log into DION System by clicking "Login" on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click "Login" button (refer to number bubble 3).

Click "≡" (refer to number bubble 4) to open the function menu on the top left hand corner.

Click "Change Password" (refer to number bubble 5).

Input current password, new password and confirm new password fields (*refer to number bubble 6*). Click "Submit" to confirm (*refer to number bubble 7*).

Notes:

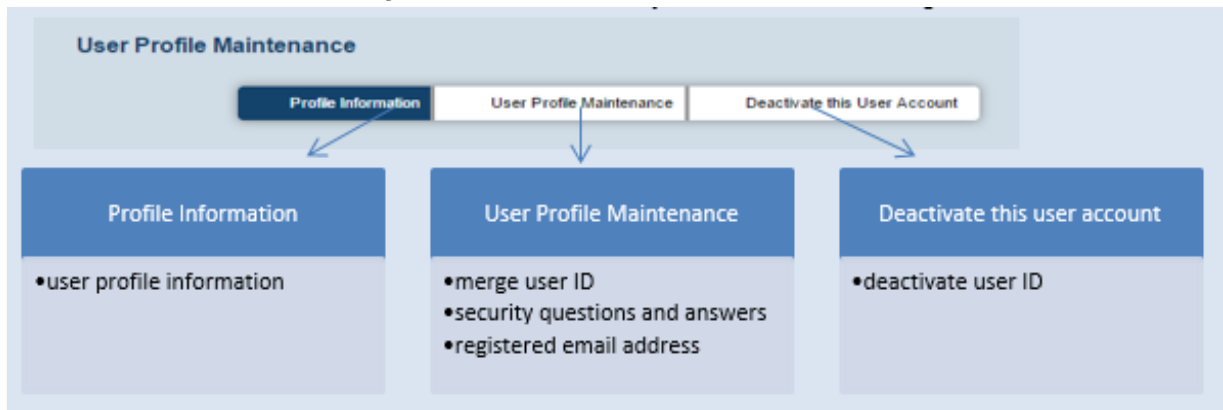
1. Password is case-sensitive.
2. Password should be a combination of letters (both upper & lower case) and numbers (0-9), ranging from 10 to 15 characters. Password can consist of special characters (i.e. ! # \$ ^ *).
3. Upon successful updating, the system will notify the user that "The password is changed."

User Profile Maintenance

After log into DION System, click "≡" (*refer to number bubble 1*) to open the function menu on the top left corner and then click "User Profile Maintenance" (*refer to number bubble 2*)



Under “User Profile Maintenance” function, user may maintain the following User ID information under the following 3 tabs.



Notes:

1. To update the respective information, user is required to select the tab right after entering the “User Profile Maintenance” functions.
2. Remember to save change/ confirm at each tab before the information maintained with the system can be updated.
3. Facilities in the same tab cannot be updated simultaneously. E.g. User cannot update registered email address and merge User ID in a single process. User is required to update registered email address and merge User ID in two updating processes.
4. An email notification will be sent to the registered email address when user profile has been updated (i.e. update of profile information, list of merged user ID(s), security question(s)/ answer(s) or registered email address).

(i) Update profile information

Under "User Profile Maintenance" function (refer to number bubble 1), click on the 1st tab “Profile Information” (refer to number bubble 2). Then update the profile information (refer to number bubble 3). After completion, click “Save Changes” button (refer to number bubble 4) to confirm the updates.



User Profile Maintenance

2 **Profile Information** User Profile Maintenance Deactivate this User Account


* represents a mandatory field [2 Help](#)

Please note the following information will be pre-filled in the DI form(s) downloaded after login.

Surname (English) <small>(Printed on HKID Card/Passport)</small>	Chan	<input type="checkbox"/> English name is not applicable
Other Names (English) <small>(Printed on HKID Card/Passport)</small>	Tai Man	
Name (Chinese) <small>(Printed on HKID Card/Passport/PRC Resident Card)</small>	陳大文	<input type="checkbox"/> Chinese name is not applicable
Chinese Character Code <small>(Printed on HKID Card)</small>		
HKID Card/Passport/PRC Resident Card No.	<input checked="" type="radio"/> HKID Card <input type="radio"/> Passport <input type="radio"/> PRC Resident Card <input type="radio"/> Others A123456(3)	
Country of Issue of Passport		3
Address	1/F ABC Tower, 1 ABC Road, Hong Kong	
Daytime Telephone Number	21112111	
Email Address	aaa@abc.com	
Re-type Email Address	aaa@abc.com	

Personal data collected through the Disclosure of Interests Online System will not be used for direct marketing purposes and will be processed in line with the [HKEX Privacy Policy](#).

Cancel **Save changes** 4


 Disclosure of Interests Online (DION) System
 ENG | 繁體中文 | Hello, test001 (Logout)

Your profile has been updated successfully.

[Back to home](#)

Notes:

1. After user has successfully updated the profile information, the corresponding updates will be reflected in the newly downloaded pre-filled DI Forms.
2. Certain key profile information stated in the DI Form must match the DION System record. You are advised to keep the profile information up-to-date.

User type	DION System profile details that are required to match the DI Form uploaded
Individual user	1. Name of substantial shareholder (English) 2. HKID/Passport/PRC Resident Card No. 3. Name of substantial shareholder (Chinese) 4. email address
Corporate user	1. Name of substantial shareholder 2. Place of incorporation 3. Certificate of incorporation No 4. email address
Listed corporation user	1. Stock code of listed corporation 2. email address of individual filing this Form 4

(ii) Merge User ID (only available for individual and corporate user)

Under "User Profile Maintenance" function, click on the 2nd tab "User Profile Maintenance" (refer to number bubble 1). Then input the previous registered User ID to be merged with current User ID (refer to number bubble 2). After completion, click "Confirm" button (refer to number bubble 3). The previous registered User ID will be updated in the "List of merged User ID(s)" (refer to number bubble 4). Upon completion, click "Save Changes" button (refer to number bubble 5) to confirm the update.

Notes:

1. After you click "Save Changes", the previous registered User ID will be deactivated automatically.
2. Users can merge one or more User ID(s).
3. After User IDs are being merged, the DI notices filed by the merged User IDs will be regarded as being filed by same entity as the current user. This will determine how the DI filings are consolidated under HKEX DI web search.

The screenshot displays the 'User Profile Maintenance' interface. At the top, there are three tabs: 'Profile Information', 'User Profile Maintenance' (highlighted with a red box and labeled 1), and 'Deactivate this User Account'. Below the tabs, a message states: 'You may merge previously registered user ID(s) by editing the list below. Please note that the previous user ID(s) will be deactivated after merging.' A text input field for 'List of merged User ID(s):' is highlighted with a red box and labeled 4. Below this, a section titled 'Please provide your previous registered user ID(s) below' contains four input fields: 'Previous Registered User ID: *', 'Registered Email Address of the above User ID: *', 'Security Question:', and 'Answer *'. These fields are grouped within a red box labeled 2. At the bottom of this section are 'Clear' and 'Confirm' buttons, with the 'Confirm' button highlighted with a red box and labeled 3. At the very bottom of the interface, there are 'Cancel' and 'Save changes' buttons, with the 'Save changes' button highlighted with a red box and labeled 5. A 'Help' link is visible in the top right corner of the main content area.

Data field	Instruction / Data to be inputted
Previous registered User ID	Provide your previous registered User ID Note: User ID not yet activated is not accepted
Registered email address of the above User ID	Provide registered email address for the previous registered User ID
Security Question	Upon completion of the above 2 fields, security question will be prompted. Please provide answer to it.
Close	Click "Close" if you want to cancel the update
Confirm	Click "Confirm" after completion

(iii) Security questions and answers maintenance

Under "User Profile Maintenance" function, click on the 2nd tab "User Profile Maintenance" (refer to number bubble 1). Then modify/update the security questions and answers (refer to number bubble 2). Click "Save Changes" button (refer to number bubble 3) to confirm the update.

Note:

Security questions and answers will be used when you need to reset your forgotten password or to merge User ID(s).

The screenshot displays the 'User Profile Maintenance' interface. At the top, there are three tabs: 'Profile Information', 'User Profile Maintenance' (highlighted with a red box and labeled with bubble 1), and 'Deactivate this User Account'. Below the tabs, a message states: 'You may merge previously registered user ID(s) by editing the list below. Please note that the previous user ID(s) will be deactivated after merging.' Below this is a section for 'List of merged User ID(s)' with an 'Edit this list' button. Another message states: 'You may change security question(s) or answer(s) below. They will be used when you need to merge user ID or retrieve forgotten password.' Below this is a section for 'Security Question' and 'Answer'. Three security questions are listed: 'Where is your company's first office?' (Answer: HK), 'Where is your most favourite place to travel?' (Answer: YVR), and 'Where is your company stamp?' (Answer: HKEX). This section is highlighted with a red box and labeled with bubble 2. At the bottom, there are two buttons: 'Cancel' and 'Save changes' (highlighted with a red box and labeled with bubble 3). There are also three 'Help' links throughout the interface.

(iv) Registered email address

Under "User Profile Maintenance" function, click on the 2nd tab "User Profile Maintenance" (refer to number bubble 1). Then click on the "Set Registered Email address" button (refer to number bubble 2). Enter the new registered email address (refer to number bubble 3) and click "Confirm" (refer to number bubble 4).

Notes:

1. Registered email address will be used to activate User ID, retrieve forgotten User ID and merge User ID. The system accepts using the same registered email address for different User IDs.
2. When the registered email address has been changed, the system will send a notification email to the original registered email address to alert user.
3. The system will continue to show the original registered email address until the new registered email address becomes effective (i.e. after the new registered email address has been verified).

The figure consists of three screenshots of the 'User Profile Maintenance' interface, illustrating the steps to change the registered email address. Each step is marked with a numbered orange bubble.

Screenshot 1: The 'User Profile Maintenance' tab is selected and highlighted with a red box. A red bubble with the number '1' is positioned above it.

Screenshot 2: The 'Registered Email Address' field shows 'a@a.com'. The 'Set Registered Email Address' button is highlighted with a red box. A red bubble with the number '2' is positioned to the right of the button.

Screenshot 3: The 'Set New Registered Email Address' dialog box is shown. The 'New Registered Email Address' field contains 'aaa@abc.com' and is highlighted with a red box. A red bubble with the number '3' is positioned to the right of the field. Below the field, a 'Tips' section states: '1. New registration email address must be different from the original one.' At the bottom, the 'Confirm' button is highlighted with a red box. A red bubble with the number '4' is positioned to the right of the button. The 'Registered Email Address' field at the bottom still shows 'a@a.com'.

(v) Deactivate User ID

Under "User Profile Maintenance" function, click on the 3rd tab "Deactivate this User Account" (refer to number bubble 1). Input user account passwords (refer to number bubble 2) and click "Deactivate this account" (refer to number bubble 3).

Notes:

1. A dialog box will be prompted to ask you to reconfirm if you are going to deactivate this User ID. Choose "Yes" if you are going to deactivate this User ID.
2. Once user has confirmed the deactivation, user will be logged out immediately and cannot log into DION System any more by using the deactivated User ID. There is no way to restore the deactivated User ID.
3. Deactivated User ID cannot merge with any other User ID.

HKEX 香港交易所 Disclosure of Interests Online (DION) System

END (關閉) 退出 Help, test0001 (Logout)

User Profile Maintenance

Profile Information User Profile Maintenance Deactivate this User Account

* represents a mandatory field

Important Note: You will not be able to login this account after you enter the account password below and click "Deactivate this account" button to confirm the account deactivation.

User Account Password

Re-type User Account Password

Cancel Deactivate this account

Retrieve Forgotten User ID

If User ID was forgotten, user can retrieve the User ID by providing the registered email address used for that User ID. The system will send all User ID(s) registered under that registered email address.

1. Click "Login" on the top right corner (*refer to number bubble 1*) and then click the link "Forgot User ID" (*refer to number bubble 2*). Fill in the registered email address (*refer to number bubble 3*) of the forgotten User ID. Then, input the characters in the image (*refer to number bubble 4*) and click "Submit" (*refer to number bubble 5*).
2. The system will send an email to the registered email address. All User IDs registered under this registered email address will be listed in the email.

Forgotten Password

If you have forgotten your User password or if your User ID has been locked after 5 consecutive unsuccessful login attempts, user can reset and unlock User ID after providing User ID, registered email address and answer to the security question. If correct information is provided, the system will send an email to the registered email address with a link to reset user password.

1. Click "Login" on the top right corner (refer to number bubble 1) and then click the link "Password" (refer to number bubble 2). Fill in the User ID and registered email address (refer to number bubble 3). Input the characters in the image (refer to number bubble 4) and click "Next" (refer to number bubble 5). A security question will be posted. You need to provide the answer (refer to number bubble 6) and click "Submit" (refer to number bubble 7).
2. The system will send an email to the registered email address. User may use the reset password link provided in the email to reset and unlock the user account.
3. Password can only be changed once a day

Listed corporation using E-Submission System (ESS) user account to login DION System

(i) Login

The DION System will notify the listed corporations by email upon receipt of DI notices through DION System. The email notification will be sent to ESS users' (AP with DION System access rights/ ESS DI user) email address. Such user should log into DION System by using his/her ESS User ID and password through the link <https://sdinotice.hkex.com.hk/notification> to retrieve DI filing(s) and related document(s) filed for his/her listed corporation.

Enter URL <https://sdinotice.hkex.com.hk/notification> (refer to number bubble 1). Click "Login" on the top right corner (refer to number bubble 2) and enter the ESS User ID and password (refer to number bubble 3). Then, input the characters in the image (refer to number bubble 4) and click "Login" (refer to number bubble 5).

Notes:

1. All ESS users should maintain their account information through ESS website. (<https://www1.esubmission.hkex.com.hk/public/login.aspx>)
2. To ensure the notification email can be delivered in an accurate and timely manner to the listed corporation, the AP/DI ESS user should always keep his/her profile information up-to-date in ESS.
3. It is possible to set more than one email address for each ESS AP/ DI user account. Please input semi-colon between emails in format of a@Alistedcorp.com; b@Alistedcorp.com

The screenshot shows a web browser window with the URL <https://sdinotice.hkex.com.hk/Notification> in the address bar, indicated by callout 1. The page header includes the HKEX logo and the text "Disclosure of Interests Online System". In the top right corner, there is a "Login" button, indicated by callout 2. The main content area is titled "User Login (Only for ESS user with DION System access permission)". It contains a login form with three input fields: "Input your ESS user ID with DION System access permission", "Input your ESS user password", and "Enter the characters in the image" (which shows the number 6542), all indicated by callout 3. Below the image input field is a "Refresh image" button, indicated by callout 4. At the bottom of the form is a "Login" button, indicated by callout 5. A note at the bottom of the form states: "Note: If you need to reset password, unlock user account or update profile of your ESS user account, please execute through E-submission system." At the very bottom, a disclaimer reads: "Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offender."

(ii) Download copy of DI Form(s) and attachment(s)

After logged into DION System, click "☰" to open the function menu on the top left corner (*refer to number bubble 1*). Select "Download Copy of DI Forms and Attachments" (*refer to number bubble 2*). User will see DI Forms filed on current date. User may define search criteria (*refer to number bubble 3*) and click "Search" (*refer to number bubble 4*) to narrow down the display of DI Form(s) and attachment(s).

Notes:

1. Only DI Forms and related documents filed within 90 calendar days are available for downloading.
2. User may use batch download function to download selected DI Forms and related documents in zip file.
3. By default, user will see all DI Form(s) filed on current date.



Download Copy of DI Forms and Attachments

Last login time: 2020-01-08 10:05:17 (HKT) (Success)

Note:
Forms and attachments filed within 90 calendar days are available for download.

Listed Corporation:

Serial Number : Filing date : From : To :

DI Form Type : Event Date : From : To :

<input type="checkbox"/> All	Serial Number	Filing date	Name of director / substantial shareholder	Event Date	DI form	DI form Attachment(s)
<input type="checkbox"/>	IS20200115E00008	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325958.xism	
<input type="checkbox"/>	IS20200115E00007	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325957.xism	
<input type="checkbox"/>	IS20200115E00006	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325956.xism	
<input type="checkbox"/>	DA20200115E00005	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325952.xism	
<input type="checkbox"/>	DB20200115E00004	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325953.xism	
<input type="checkbox"/>	DC20200115E00003	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325954.xism	
<input type="checkbox"/>	IS20200115E00002	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325955.xism	

Page 1 of 1 Total Count : 7

To download DI Form(s) and attachment(s), please select the forms or click check box of “All” to the left of serial number (refer to number bubble 1) and then click “Download selected forms and attachments” (refer to number bubble 2).

Note:

User may also click on the link under “DI Form”/ “DI Form Attachment(s)” column to download the specific DI Forms/attachments.

Download Copy of DI Forms and Attachments

Last login time: 2020-01-08 10:05:17 (HKT) (Success)

Note:
Only DI Forms and attachments filed within 90 calendar days are available for download.

Listed Corporation:

Serial Number : Filing date : From : To :

DI Form Type : Event Date : From : To :

<input type="checkbox"/> All	Serial Number	Filing date	Name of director / substantial shareholder	Event Date	DI form	DI form Attachment(s)
<input type="checkbox"/>	IS20200115E00008	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325958.xism	
<input type="checkbox"/>	IS20200115E00007	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325957.xism	
<input type="checkbox"/>	IS20200115E00006	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325956.xism	
<input type="checkbox"/>	DA20200115E00005	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325952.xism	
<input type="checkbox"/>	DB20200115E00004	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325953.xism	
<input type="checkbox"/>	DC20200115E00003	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325954.xism	
<input type="checkbox"/>	IS20200115E00002	15/01/2020	Chan Tai Man	12/01/2020	F00000000000000325955.xism	

Page 1 of 1 Total Count : 7

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