

## Explanation of the Details in the Forms:

### Introduction:

The e-Submission System provides a means for issuers and market practitioners to submit documents to The Stock Exchange of Hong Kong Limited (“Exchange”) via the Internet. All documents to be published on the HKEXnews website or GEM website must be submitted through the e-Submission System. A company must be registered before its staff may use the e-Submission System.

### Authorised person:

Authorised person: Each company must appoint a primary authorised person to receive passwords and for subsequent registration matters. The applicant company may also appoint a secondary authorised person to act as a backup. HKEX will mail notifications to this person on matters such as training and amendments to the system.

By default, the authorised person of a listed issuer can access to view and download Disclosure of Interests (“DI”) notices filed with the Exchange concerning its own company. Alternatively, he can choose to disable the access rights to retrieve DI information and appoint a separate person in the company as a DI user who can only view and download DI information concerning its own company. Please also see the paragraph headed “Access to DI Data” for more details.

### Types of computer operation accounts:

There are five types of computer operation accounts:

Administrator	The administrator of a company is the person who maintains the company details. To facilitate segregation of duties, e-Submission System prevents each user from viewing the cases initiated by his colleagues or external representatives. The administrator is the only person in the company who can view the entire case list (on listing-related matters) and submission history (on publication-related matters) in respect of matters initiated by himself or others for the company. However, he cannot view the submitted documents.
Security officer	The security officer is the person who controls the access rights of other users of his company. He controls the other users on the following aspects: (1) disabling logging in by marking resignation of the user; and (2) granting access or disabling logging in by resetting the password. The security officer may also update the user profile (i.e. particulars) of other users in the company. Where e-Submission System has locked an account due to there have been 5 consecutive failed attempts to log in, the security officer is the person who can unlock the account. The security officer is only a support staff and not supposed to view or submit any document. The security officer cannot reset the password of the administrator and the authorised person. If the administrator or authorised person wishes to reset his password, he has to make a request to HKEX.
Listing-related matter user	The listing-related matter user can submit documents to the Listing Department of The Stock Exchange of Hong Kong Limited and view his own submission history.
Publication-related matter user	The publication-related matter user can submit documents to the Exchange for publication on the HKEXnews website or GEM website (as applicable) and view his own submission history. A publication-related matter user can also approve documents for publication provided they have been submitted by a publication-related matter user other than himself.

DI user (*applicable to listed issuers only*)

DI user is the person who can view and download DI notices filed with the Exchange concerning its own company. Please also see the paragraph headed "Access to DI Data" for more details.

### **Number of operation accounts:**

Each company may apply for 1-2 Authorised Person(s), 1 administrator account, 1 security officer account and up to 8 other operation accounts for each of listing-related matters, publication-related matters and up to 2 DI users. More accounts may be granted upon request.

### **Dual Capacity:**

An issuer whose business includes acting as an agent for other issuers (e.g. as a financial adviser) should complete and submit two sets of registration forms, i.e. one in each capacity.

An equity issuer that also issues listed debt securities does not need to register separately as a listed debt issuer (i.e. it need only register once as a listed issuer).

If you issue Structured Products, you must register as an issuer once for each of the following categories applicable to you:

- (i) Derivative Warrants
- (ii) Equity Linked Instruments and/or Callable Bull/Bear Contracts

For example, to issue Derivative Warrants and Equity Linked Instruments, you will need to register twice. To issue Equity Linked Instruments and Callable Bull/Bear Contracts, you will only need to register once.

### **Security passwords:**

The security passwords are paired unique 8-digit alphanumeric security passwords which are randomly generated by the system as part of our efforts to safeguard the security of information and to verify that submissions have been duly authorised. These security passwords, which will only be issued to issuers, are required for the submission of documents for publication on the HKEXnews website or GEM website (as appropriate) through e-Submission System and will be validated by it. Security passwords are issued in batches. Security passwords comprise pre-designated pairs and the pairs must be used in a pre-designated sequence within the relevant batch. They can only be used once. One password is for uploading documents for submission (submission password) and one password is for approval (approval password). Approval means approval by or on behalf of the issuer for publication. Security passwords have a validity period beyond which they can no longer be used.

### **Access to DI Data:**

When the mandatory electronic filing of DI notices becomes effective on 3<sup>rd</sup> July 2017, the Exchange will send an email to the listed issuer in concern for notification of the receipt of a DI notice. The authorised person and/or the DI user of the listed issuer can access to view and download the DI notices filed with the Exchange by logging into <https://sdinotice.hkex.com.hk/notification> with his user ID and password. Each listed issuer must have at least one user to access DI data. By default, the authorised person of a listed issuer can access to retrieve DI information. Alternatively, he can appoint a separate person in the company as a DI user. The maximum number of user accounts for each listed issuer to access DI data is limited to two (e.g. 2 Authorised Persons or 2 DI users or 1 Authorised Person and 1 DI user). To ensure the notification email can be accurately and timely delivered, the authorised person and the DI user should always keep their profile information, particularly their email addresses, up-to-date in the ESS.

**REGISTRATION FOR E-SUBMISSION**

**EXPLANATORY NOTES**

1. If you are in doubt as to how to complete this form, please contact the Registration Hotline on 2840-3460 (to assist us in improving our service to you, telephone calls may be recorded).
2. The completed form must be signed by a director or other authorised person. A copy of the board resolution (or equivalent document) authorising such director or other person must be submitted along with this form.
3. Every company should have at least one authorised person, one administrator and one security officer and a maximum of 8 other users for each of listing-related matters, publication-related matters and up to 2 DI users\*. Please complete the USER REGISTRATION FORMS with these other users' particulars.

**PARTICULARS OF COMPANY**

Company Name (in English)	
Company Name (in Chinese)	
Stock Code (applicable to Main Board and GEM issuers only)	
Type of Company (Please tick one)	Main Board Issuer (other than Structured Products) <input type="checkbox"/> Main Board Structured Product Issuer <input type="checkbox"/> GEM Issuer <input type="checkbox"/> Agent <input type="checkbox"/> (i.e. lawyers, accountants, financial advisers, sponsors and printers) Other <input type="checkbox"/>
Website URL	

PRIMARY AUTHORISED PERSON		SECONDARY AUTHORISED PERSON (Optional)	
User Name # (2- 6 characters)		User Name # (2- 6 characters)	
Family Name		Family Name	
Given Names		Given Names	
Salutation	Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms <input type="checkbox"/>	Salutation	Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms <input type="checkbox"/>
Position		Position	
Phone No.		Phone No.	
Fax No.		Fax No.	
Mobile No. (Country Code - Area Code - Mobile No.)		Mobile No. (Country Code - Area Code - Mobile No.)	
Email		Email	
Access to DI Data*		Access to DI Data*	
Signature		Signature	

\* Applicable to listed issuers only

# The Username will form part of the User ID and only accepts alphabet and numbers.

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PRIMARY AUTHORISED PERSON		SECONDARY AUTHORISED PERSON (Optional)	
Correspondence Address (English)		Correspondence Address (English)	
Correspondence Address ^ (optional) (Chinese)		Correspondence Address ^ (optional) (Chinese)	

^ Chinese correspondence address (in Traditional Chinese) must be provided for persons located in Mainland China

**ADMINISTRATOR**

Family Name		Given Names	
Salutation	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>	Username# (2-6 characters)	
Phone No.		Fax No.	
Email		Mobile No. (Country Code - Area Code - Mobile No.)	

# The Username will form part of the User ID and only accepts alphabet and numbers.

**SECURITY OFFICER**

Family Name		Given Names	
Salutation	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>	Username# (2-6 characters)	
Phone No.		Fax No.	
Email		Mobile No. (Country Code - Area Code - Mobile No.)	

# The Username will form part of the User ID and only accepts alphabet and numbers.

This registration form is submitted by \_\_\_\_\_ (Printed name) \_\_\_\_\_  
 (Date) \_\_\_\_\_ (Position) \_\_\_\_\_  
 (Signature) \_\_\_\_\_

**FOR OFFICE USE ONLY**

STOCK CODE		COMPANY TYPE	
Approved by: _____			

**THE STOCK EXCHANGE OF HONG KONG LIMITED**  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

**USER REGISTRATION FORM FOR LISTING-RELATED MATTERS**

**EXPLANATORY NOTES**

1. This form must be completed to enable the submission of documents to the Listing Department with regard to listing-related matters.
2. If you are in doubt as to how to complete this form, please contact the Registration Hotline on 2840-3460 (to assist us in improving our service to you, telephone calls may be recorded).
3. The completed form must be signed by a director or other authorised person. A copy of the board resolution (or equivalent document) authorising such director or other person must be submitted along with this form.

Company Name		Stock Code <i>(applicable to Main Board and GEM issuers only)</i>		Applied By	Printed Name	Signature
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**LISTING-RELATED MATTER USER DETAILS**

	Username# <small>(2- 6 characters)</small>	Family Name	Given Names	Salutation	Phone No.	Position	Fax No.	Email Address	Mobile No. <small>(Country Code - Area Code - Mobile No.)</small>
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					

FOR OFFICE USE ONLY

Approved by:
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**THE STOCK EXCHANGE OF HONG KONG LIMITED**  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Username# (2- 6 characters)	Family Name	Given Names	Salutation	Phone No.	Position	Fax No.	Email Address	Mobile No. (Country Code - Area Code - Mobile No.)
			Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
			Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
			Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
			Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					

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**THE STOCK EXCHANGE OF HONG KONG LIMITED**  
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

**USER REGISTRATION FORM FOR PUBLICATION-RELATED MATTERS**

**EXPLANATORY NOTES**

1. This form must be completed to enable the submission of documents to the Listing Department with regard to listing-related matters.
2. If you are in doubt as to how to complete this form, please contact the Registration Hotline on 2840-3460 (to assist us in improving our service to you, telephone calls may be recorded).
3. The completed form must be signed by a director or other authorised person. A copy of the board resolution (or equivalent document) authorising such director or other person must be submitted along with this form.

Company Name		Stock Code <i>(applicable to Main Board and GEM issuers only)</i>		Applied By	Printed Name	Signature
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**LISTING-RELATED MATTER USER DETAILS**

	Username# <small>(2- 6 characters)</small>	Family Name	Given Names	Salutation	Phone No.	Position	Fax No.	Email Address	Mobile No. <small>(Country Code - Area Code - Mobile No.)</small>
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					

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Approved by:
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**THE STOCK EXCHANGE OF HONG KONG LIMITED**  
*(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)*

	Username# (2- 6 characters)	Family Name	Given Names	Salutation	Phone No.	Position	Fax No.	Email Address	Mobile No. (Country Code - Area Code - Mobile No.)
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					

# The Username will form part of the User ID and only accepts alphabet and numbers.

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Approved by: \_\_\_\_\_

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**THE STOCK EXCHANGE OF HONG KONG LIMITED**  
*(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)*

**USER REGISTRATION FORM FOR DI USERS**

**(For listed issuers only)**  
**EXPLANATORY NOTES**

1. This form must be completed if the authorised person wishes to appoint a separate person in the company to view and download DI notices filed with the Exchange concerning its own company.
2. If you are in doubt as to how to complete this form, please contact the Registration Hotline on 2840-3460 (to assist us in improving our service to you, telephone calls may be recorded).
3. The completed form must be signed by a director or other authorised person. A copy of the board resolution (or equivalent document) authorising such director or other person must be submitted along with this form.
4. The maximum number of user accounts for each listed issuer to access DI data is limited to **two** (e.g. 2 Authorised Persons or 2 DI users or 1 Authorised Person and 1 DI user).

Company Name		<b>Stock Code</b> <i>(applicable to Main Board and GEM issuers only)</i>		Applied By	Printed Name	Signature
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**DI USER DETAILS**

	Username <sup>#</sup> <small>(2- 6 characters)</small>	Family Name	Given Names	Salutation	Phone No.	Position	Fax No.	Email Address	Mobile No. <small>(Country Code - Area Code - Mobile No.)</small>
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					
				Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>					

<sup>#</sup> The Username will form part of the User ID and only accepts alphabet and numbers.

**FOR OFFICE USE ONLY**

Approved by:
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## Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "**Group**") (and each being "**HKEX**", "**we**", "**us**" or "**member of the Group**" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("**PDPO**"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

### **Purpose**

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("**Regulatory Functions**");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

### **Direct marketing**

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

#### **Identity Card Number**

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

#### **Transfers of personal data for direct marketing purposes**

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

#### **Other transfers of your personal data**

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative, telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and
3. other parties as notified to you at the time of collection.

#### **How we use cookies**

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

**Session Cookies:** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

**Persistent Cookies:** cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

### **Compliance with laws and regulations**

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

### **Corporate reorganisation**

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

### **Access and correction of personal data**

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link

<https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

### **Termination or cancellation**

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

### **General**

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

### **Contact us**

By Post:

Personal Data Privacy Officer  
Hong Kong Exchanges and Clearing Limited  
8/F., Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong

By Email:

DataPrivacy@HKEX.COM.HK