

e-Submission System User Manual

For

Authorised Person, Administrator, DI User and Security Officer

July 2019

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1 General Overview

1.1 Introduction

The e-Submission system provides a means for issuers and their representatives (e.g. financial advisors, legal advisors and printers) to submit documents to the Exchange via the Internet. All documents to be published on the HKEXnews website or GEM website must be submitted through the e-Submission System.

1.2 Registration

A company must be registered before its staff may use the e-Submission facilities. This safeguards the system from being used by unauthorised users. To apply for registration, in the case of an issuer or other company, a registration form and a letter of acceptance of the terms and conditions must be signed by a director or other person duly authorised by the issuer or company. In the case of an entity which is not an issuer or other company (such as a partner of a legal firm), these must be signed by a person duly authorised by the entity.

1.3 Security Control

In addition to user login account control, information transmission is protected by a 128-bit SSL encryption mechanism. For Publication Related Matter cases, security passwords are also required.

1.4 Document Submission

Listing Related Matter

A Listing Related Matter user may submit documents under an existing case or a new case / non-case to the Listing Department. A Listing Related Matter user may view his submission history. Company Administrators can view the submission history of all documents submitted by users belonging to the Administrator's company.

Publication Related Matter

Only Publication Related Matter users can submit documents for publication on the HKEXnews website. The person who submits a document for publication is known as a submitter. A person who approves the submission for publication is known as the approver. A pair of security passwords is required in order to publish documents via ESS. A submitter will use a submission security password (the first half of a security password pair) to make a submission or edit a saved submission. An approver will use an approval security password (the second half of a security password pair) to approve the submission of documents for publication.

Please refer to the Publication Matter User Manual for guidance on the submission of documents for publication.

1.5 General System Guidelines

User Identification

The URL of the e-Submission System is https://www.esubmission.hkex.com.hk. A user requires a User ID and a Password to login to the system.

Depending on the user's predefined user profile, a user will be directed to either 'Listing Related Matter' functions or 'Publication Related Matter' functions.

A company is required to register for access to ESS (see "Registration" section above). The Exchange will create a Company Profile and user profiles for a company's Administrator and Security Officer after a company has successfully registered.

Site Map of e-Submission System for Listing Related Matters User

The Main Features in the e-Submission System for Listing Related Matters Users are:

Document Submission

- Submit document
- View submission history

Download Document Template

View Publication Submission Log

Administration

- Profile Administration
 - o Viewing or managing your company details
 - Managing your account details
 - Change User Password
- Request for Security Password
- Related Stock Code List Maintenance

Logout

Site Conventions

Figure 1.1

Listing Related Matters User Home Page



HKEX Logo

Clickable link to the Home Page of The HKEX corporate website

Main Menu

 Drop down menus will appear when placing the cursor over a menu item. Highlighting an item in a drop down menu indicates that the user can access the relevant function.

Left Panel

- Search criteria will appear when a search function is available
- Useful links including About Registration, Forgot Password and Frequently Asked Questions

Footer Links

• Link to the general information for user's reference

Page Content

• Displays the page content of the selected function. If the page is a user input form/page, a red asterisk "*" next to the field label denotes a mandatory field.

Document Conventions

Menu Item

• Times Roman. e.g. Document Submission

Page

• In bold italic, Times Roman. e.g. Document Submission Log

Action Button

In capital letters, Arial. e.g. CHANGE USER PASSWORD

Fields

Italic, Times Roman. e.g. User ID.

System Configurations

Recommended configuration for accessing the e-Submission System

- 1. Screen Resolution of 1024 by 768 pixels
- 2. Internet Browser: Microsoft Internet Explorer 8, 9, 10 and 11*
- 3. Supported Chinese Character Set: Big5
- 4. Internet connection : Broadband (with upload connection speed of 1 MB or above)

*e-Submission System cannot be accessed with any other Internet browser but these versions.

2 Authorised Person's Manual

2.1 Maintaining Your Account Profile

2.1.1 Viewing and Changing Your Profile

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The *Company Details* Page will be displayed.
- 2. Click MY PROFILE on the *Company Details* Page. The *User Details* Page will be displayed.

Figure 2.1

User Details



e-Submission System



3. Your account profile will be displayed: User ID, User Type, Authority Type, Operation Type, Access to DI Data, Resign Status, Family Name & Given Name are for your reference only.

Your personal profile: *Salutation, Position, Phone, fax, Mobile No.* and *Email* are editable. You can make changes as necessary. After you finished editing, click SAVE. A dialog box appears asking for confirmation. Click OK.

NOTE: Clicking CANCEL will bring you back to the *User Details* Page where you can continue editing.

4. After the amendment is saved, an acknowledgement message will appear. Click OK and return to the *User Details* Page.

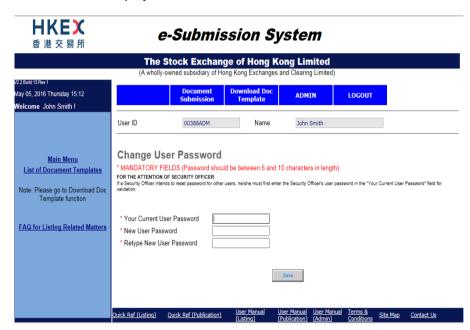
2.1.2 Change Your User Password

It is recommended to change your password periodically. To change your password,

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. Click MY PROFILE on the **Company Details** Page. The **User Details** page will be displayed.
- 3. Click CHANGE USER PASSWORD. The **Change User Password** Page will be displayed:

Figure 2.2

Change User
Password



4. Enter your *Current Login Password*, *New Password* and *Retype New Password*, and then click SAVE.

NOTE: Your *New Password* must be string of 6 to 10 alphanumeric characters and it cannot be the same as the *Previous three Password*.

5. Click OK in the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *Change User Password* Page where you can continue editing the user password.

6. After the password is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *Company Details* Page.

3 Administrator's Manual

3.1 Introduction

Role of the Administrator

The Administrator of a company is the person who has the rights to view all Listing Related Matter Document Submission, maintain his/her company's details and "Related Stock Code List". To facilitate segregation of duties, the e-Submission System prevents each user from viewing the Listing Related Matter documents submitted by their colleagues or external representatives. An Administrator is the only person in the company who can view all Listing Related Matter documents submitted by users of your company, regardless of whether they have been submitted on behalf of your own company or other companies; and submitted by users of other companies on behalf of your company.

Therefore, an Administrator is a Super Listing Related Matter User. The Administrator and Security Officer Manual only cover functions unique to the Administrator and Security Officer. Please refer to the Listing Related Matter User's Manual for the procedures of document submission and document template download.

An Administrator can view a submission history of Publication Related Matter but cannot make submissions for publication. Please refer to the Publication Matter User's Manual for the procedures of document submission for publication.

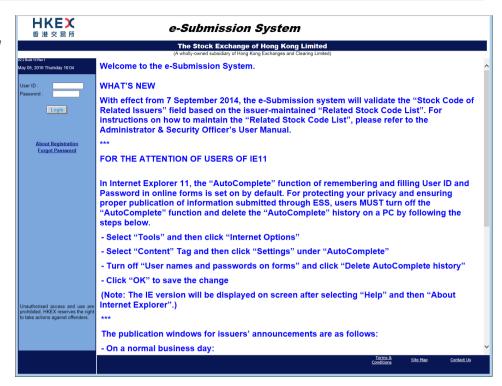
3.2 Login the system

To login into the e-Submission system,

 Type the following URL at the address bar of your browser and press ENTER.

https://www.esubmission.hkex.com.hk

Figure 3.1 eSubmission Main Page



NOTE: There are 3 useful links in the left panel of the login page:

- About Registration. Link to the HKEX website where the registration procedure is described and the relevant documents can be downloaded. Please refer to section 'Registration' above under 'General Overview'
- Forgot Password. If you forget your user password, you may right click to download the form, via this link.

Figure 3.2



Forgot Password

CONFIDENTIAL

ADMINISTRATION OF E-SUBMISSION USER ACCOUNT

EXPLANATORY NOTES

Fax No. +852 2523 1254

- This form must be completed in BLOCK letters.

 This form must be signed by Authorised Person (for subsequent registration matters) of your company.

 The new user ID and/or user password will be sent by registered mail to the Primary Authorised Person
 If you are in doubt as to how to complete this Form, please contact the ESS Hotline (+852 2840-3460).

To assist us in improving our service to you, telephone calls may be recorded.										
A. PARTICULARS OF COMPANY										
Company Code										
Company Name										
B. REQUEST FOR (Please tick where appropriate.) □ Add New User Account (Please complete Section C) □ Remove Existing User Account (Please complete Section D) □ Unlock Authorised Person/Administrator/Security Officer User Account (Please complete Section E)										
C. PARTICULARS OF NEW USER										
1. User Type ¹ (8elect one only)		ng-Relate lication-F		rs User Natters User		Security Office Administrator	r 🗆	DI	user ² 🗆	
Username ³ (2-6 characters)					Saluta	tion	Mr 🗆	Mrs 🗆	Ms 🗆	
Family Name					Given	Names				
Position					Fax No).				
Phone No.					Mobile (Country Co	NO. ode - Ares Code - Mobile No.				
Email Address										
2. User Type ¹ (8elect one only)	Listing-Related Matters User					user ² 🗆				
Username ³ (2-6 characters)					Saluta	tion	Mr 🗆	Mrs 🗆	Ms 🗆	
Family Name					Given	Names				
Salutation	Mr E) M	rs 🗆	Ms 🗆	Fax No					
Phone No.					Mobile (Country Co	NO. ode - Anes Code - Mobile No.				
Email Address					1		l .			
D. REMOVAL OF EXISTING USER ACCOUNT Subject to the maximum number of user accounts of: 1 for Administrator account, 1 for Security officer account, and 8 for Publication-Related Matters accounts. D. It accepts only alphabet and numbers. D. REMOVAL OF EXISTING USER ACCOUNT										
1. ESS User ID	LA	311110	J J L I Y		Name					
2. ESS User ID					Name					
E. UNLOCK AUTHORISED PERSON / ADMINISTRATOR / SECURITY USER ACCOUNT										
1. ESS User ID					Name					
2.ESS User ID					Name					

2. Enter your user-id and password and click LOGIN.

NOTE:

- User ID is case insensitive and Password is case sensitive throughout the site. A user password must be at least 6 characters long and no longer than 10 characters.
- If this is your first time logging in to the system, the Change User Password Page will appear. You must change your login password in order to proceed. For more information on changing your password, please refer to section 'Change Your User Password' below.



You will be requested to change your user password for first time login



The disclaimer message is displayed:

Figure 3.4

Listing Related

Matters

Disclaimer Page

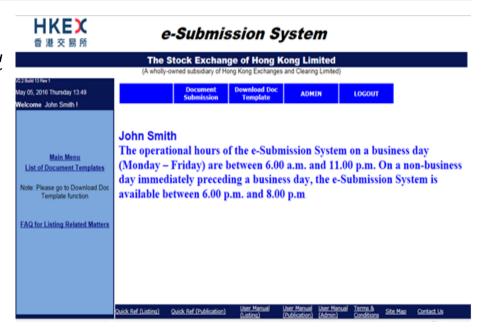


 Please read the message carefully. Then click ACCEPT AND ENTER if you agree to accept the terms and conditions, and proceed to the User Home Page.

NOTE: Clicking EXIT will take you back to the **User Main Page** without logging-in.

Figure 3.5

Listing Related Matters User Home Page



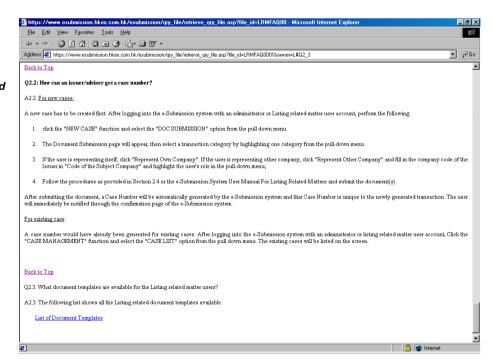
Should you encounter problems logging-in, please contact your company's Security Officer.

NOTE: There is useful link found on the left panel:

 FAQs for Listing Related Matters. Frequently asked questions and answers for using e-Submission System and Listing Related Matters functions can be found.

Figure 3.6

Frequently Asked Questions and Answers



3.3 Maintaining the Company Profile

3.3.1 Amend Company Profile

1. To maintain the company details, select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The *Company Details* Page will be displayed:





2. You can review your company details. Should you want to amend the company or contact details, click AMEND DETAILS. The *Amend Company Details* Page will be displayed:





- 3. You can amend the *company name* (English and Chinese), web site address, address (English and Chinese). Once you have edited the company profile, click SAVE. The confirmation dialog box will be displayed.
- 4. Click OK at the dialog box to confirm the amendments.

NOTE: Clicking CANCEL will return to the *Amend Company Details* Page where you can continue editing the company profile.

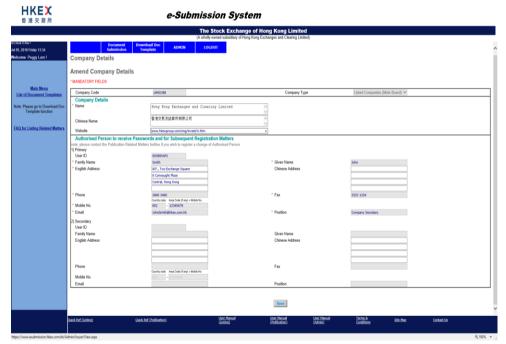
5. After the company's details have been amended successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *Company Details* Page.

3.3.2 Viewing User List

To view the user list of your company,

 Select ADMIN from the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The *Company Details* Page will be displayed:





2. Click USER PROFILE LIST on the *Company Details* Page. The *User Profile List* Page will be displayed. The user profiles are listed in ascending order of User ID.

December | Decembe

Figure 3.10

User Profile List

Searching for a User

The Administrator can conveniently search for a specific user in the Search Panel:

- Enter either the User ID or the User Name. Click SEARCH. If you leave the User ID and User Name blank, the system will display all users. If you enter both search keys, both the User ID and the User Name must be matched.
- The search results are displayed in the *User Profile List* Page in ascending order of User ID. If there is no record fulfilling the search criteria, the list will contain no records.

NOTE: The search fields are case insensitive. When more than one search criterion is entered, the system will search for the records that fulfil <u>all</u> search criteria.

3.3.3 Maintaining Related Stock Code List

The "Related Stock Code List" is a list of stock codes maintained by listed issuers in ESS for their related listed issuers and listed securities and is used for validating the stock codes entered into the "Stock Code of Related Issuer(s)" field in each submission. For the avoidance of doubt, the "Related Stock Code List" will not be applicable to debt and structured product issuers. Please refer to the Publication Matter User Manual for guidance on the submission of documents for publication.

NOTE: Only the e-Submission Administrator of the issuer can view and edit the "Related Stock Code List" of the company.

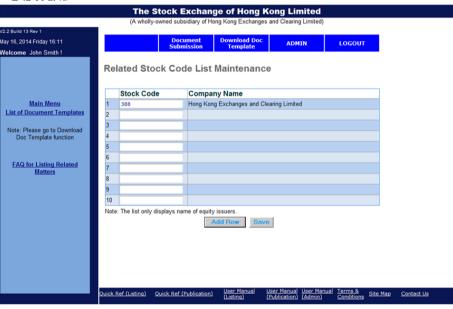
To maintain the "Related Stock Code List":

- 1. Login into the e-Submission System (https://www.esubmission.hkex.com.hk).
- Select ADMIN in the MAIN MENU and then select RELATED STOCK CODE LIST MAINTENANCE in the SUB-MENU. The "Related Stock Code List" Maintenance Page will be displayed:

Figure 3.11

Related Stock Code List Maintenance Page





- You can add or remove a stock code to/from the list. By clicking ADD ROW, you will have extra rows to input additional stock codes.
- 4. Once you have finished editing the list, click SAVE.
- After the list is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the "Related Stock Code List" Maintenance Page where the Company Name column will be updated.

3.4 Document Submission Log

3.4.1 Viewing Document Submission Log

This function displays the history of documents submitted to the Listing Department.

- Click Document Submission under the menu and Document Submission Log on the drop down menu. The Document Submission Log Page will be displayed:
- 2. For Search the specific record, enter subject company code or submission date or case number in the menu bar. Click Search. *The Document Submission Log* Page will be displayed:

The Administrator of your company is authorised to view the document submission log for documents submitted by:

- users of your company, regardless of whether they have been submitted on behalf of your own company or other companies; and
- users of other companies on behalf of your company.





3. After you finished viewing the document submission log, continue by selecting your next action at the Menu Bar.

3.4.2 Searching Document Submission Log

The Search feature is a convenient way to search/ retrieve the document submission list when:

- You know the Case Number;
- You want to filter the submissions for a Subject Company; and
- You want to filter on submission date.

To Perform a Search:

 Enter the Subject Company Code, Submission Date From/To and/or Case Number. Click SEARCH to execute. If you leave all the fields blank, the system will return all submissions that you have the right to view.

Figure 3.13

Document
Submission List



2. The search results are displayed in the list. If there is no record fulfilling the search criteria, the list table will contain no records.

NOTE: The search fields are case insensitive. When more than one search criterion is entered, the system will search for the records that fulfil <u>all</u> search criteria.

3.5 Publication Submission Log

3.5.1 Viewing Publication Submission Log

The Administrator of your company is authorised to view the publication submission log for:

- all submissions that are submitted/approved by the company user; and
- all submissions that are submitted/approved by other companies on behalf of the Administrator's company.

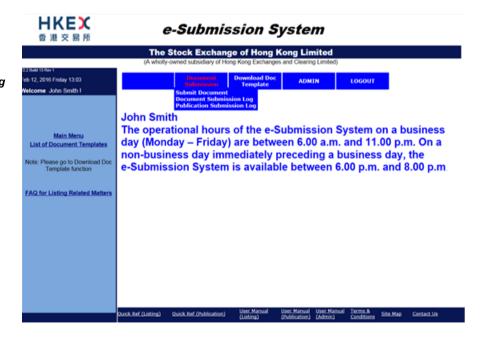
•

To view the Publication Submission Log:

- 1. Select Publication Submission Log from the drop down menu of Document Submission in the MAIN MENU Bar:
- 2.

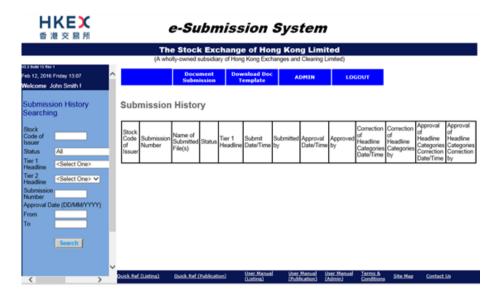
Figure 3.14

Select Publication Submission Log in Menu



3. The **Submission History** appears:

Figure 3.15 **Submission History**



The list is sorted by Company Name in ascending alphabetical order and then by submission date/time in reverse chronological order and then by status, category and case no in descending order.

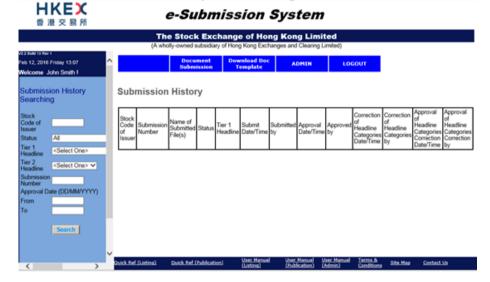
3.5.2 Searching for Publication Submission Log

To Perform a Search on Submission Log:

1. Specify Stock Code, Status, Tier 1 Headline, Tier 2 Headline, Submission Number and/or Approval Date Range and then click SEARCH. If you leave the criteria blank, the system will return all Publication Matter that you have the right to view.

Figure 3.16

Submission History - Search Result



2. All submissions matching the search criteria that you have a right to view are displayed in the submission log.

NOTE:

- The search fields are case insensitive
- Stock Code is enabled only if your company is allowed to represent other companies

3.6 Maintaining Your Account Profile

3.6.1 Viewing and Changing Your Profile

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The *Company Details* Page will be displayed.
- Click MY PROFILE on the Company Details Page. The User Details Page will be displayed.

Figure 3.17 *User Details*



e-Submission System



3. Your account profile will be displayed: User ID, User Type, Authority Type, Operation Type, Access to DI Data and Resign Status are for your reference only.

Your personal profile: Family Name, Given Name, Salutation, Position, Phone, fax, Mobile No. and Email are editable. You can make changes as necessary. After you finished editing, click SAVE. A dialog box appears asking for confirmation. Click OK.

NOTE: Clicking CANCEL will bring you back to the *User Details* Page where you can continue editing.

4. After the amendment is saved, an acknowledgement message will appear. Click OK and return to the *User Details* Page.

3.6.2 Change Your User Password

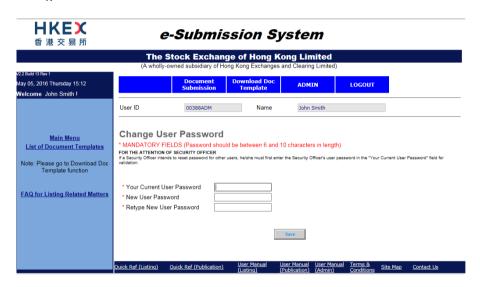
It is recommended to change your password periodically. To change your password,

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. Click MY PROFILE on the **Company Details** Page. The **User Details** page will be displayed.
- 3. Click CHANGE USER PASSWORD. The **Change User Password** Page will be displayed:

4.

Figure 3.18

Change User
Password



5. Enter your *Current Login Password*, *New Password* and *Retype New Password*, and then click SAVE.

NOTE: Your *New Password* must be string of 6 to 10 alphanumeric characters and it cannot be the same as the *Previous three Password*.

5. Click OK in the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *Change User Password* Page where you can continue editing the user password.

6. After the password is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *Company Details* Page.

4 DI User's Manual

4.1 Maintaining Your Account Profile

4.1.1 Viewing and Changing Your Profile

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The *Company Details* Page will be displayed.
- Click MY PROFILE on the Company Details Page. The User Details Page will be displayed.

Figure 4.1

User Details

HKEX 香港交易所 *e-Submission System*



3. Your account profile will be displayed: User ID, User Type, Authority Type, Operation Type, Access to DI Data and Resign Status are for your reference only.

Your personal profile: Family Name, Given Name, Salutation, Position, Phone, fax, Mobile No. and Email are editable. You can make changes as necessary. After you finished editing, click SAVE. A dialog box appears asking for confirmation. Click OK.

NOTE: Clicking CANCEL will bring you back to the *User Details* Page where you can continue editing.

4. After the amendment is saved, an acknowledgement message will appear. Click OK and return to the *User Details* Page.

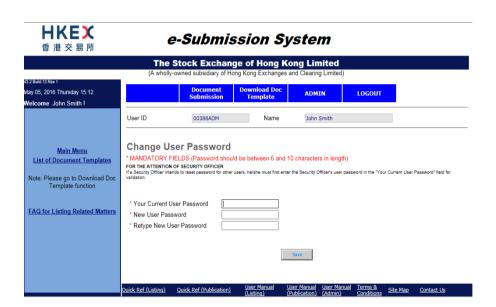
4.1.2 Change Your User Password

It is recommended to change your password periodically. To change your password,

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. Click MY PROFILE on the **Company Details** Page. The **User Details** page will be displayed.
- 3. Click CHANGE USER PASSWORD. The **Change User Password** Page will be displayed:

Figure 4.2

Change User
Password



4. Enter your *Current Login Password*, *New Password* and *Retype New Password*, and then click SAVE.

NOTE: Your *New Password* must be string of 6 to 10 alphanumeric characters and it cannot be the same as the *Previous three Password*.

5. Click OK in the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *Change User Password* Page where you can continue editing the user password.

6. After the password is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *Company Details* Page.

5 Security Officer's Manual

5.1 Introduction

Role of the Security Officer

A Security Officer is the person who controls the access rights of other users of the same company. A Security Officer can maintain the following access rights of other users:

- Operation type the ability to submit documents for Listing Related Matters, Publication Related Matters
- Disable login by marking resignation of the user (except DI user)
- Grant access or disable login by changing a user's password

A Security Officer may also update the details for other users in the company. However, a Security Officer should only act as support to other users and is not permitted to view or submit documents.

A Security Officer can also submit an online request for security passwords through the e-Submission System.

The e-Submission System will lock a user's account if that user has made five consecutive failed attempts to login. In these circumstances, a Security Officer can unlock the account and change the user's password to a more memorable one.

5.2 Login the system

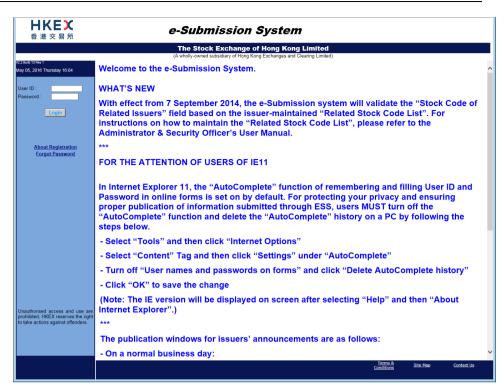
To login into the e-Submission system,

1. Type the following URL at the address bar of your browser and press ENTER.

https://www.esubmission.hkex.com.hk

Figure 5.1

eSubmission Main Page



NOTE: There are 3 useful links in the left panel of the login page:

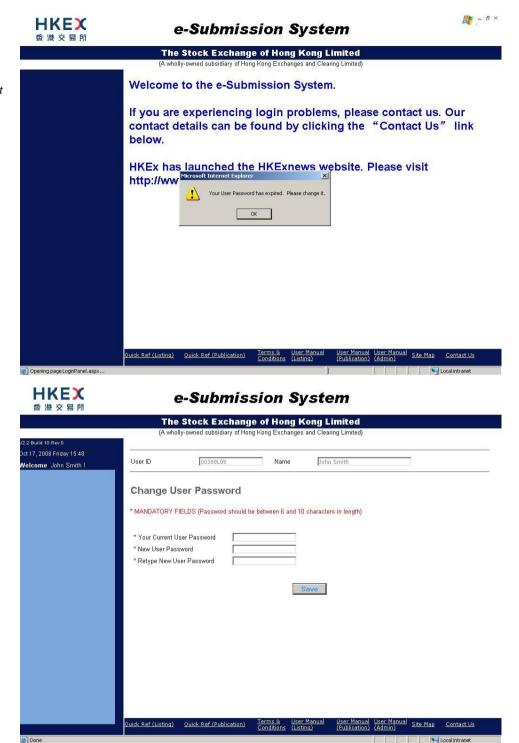
- About Registration. The registration procedure is described here and relevant documents can be downloaded. Please refer to the section 'Registration' above under 'General Overview'
- Forgot Password. If you forget your user password, you may right click to download the form, via https://www.esubmission.hkex.com.hk/public/RetrieveFile.aspx?FileID=L RMFPP0001&Owner=L
 - 2. Enter your User ID and Password and click LOGIN.

NOTE:

- User ID is case insensitive and Password is case sensitive throughout the site. The user password must be at least 6 characters long and no longer than 10 characters.
- If this is your first time logging into the system, the Change User
 Password Page will appear. You must change your login password
 in order to proceed. For more information on changing your
 password, please refer to the section 'Change Your User Password'.

Figure 5.2

You will be requested to change your password the first time you login



The disclaimer message is displayed:

Figure 5.3 Listing Related

Matters



3. Please read the message carefully. Then click ACCEPT AND ENTER if you agree to accept the terms and conditions, and proceed to the User Home Page.

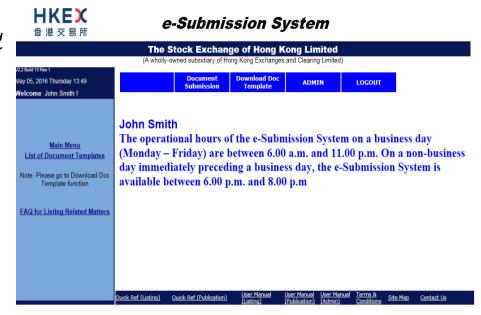
NOTE: Clicking EXIT will take you back to the User Main Page without logging-in.

Figure 5.4

Listing Related

Matters User

Home Page



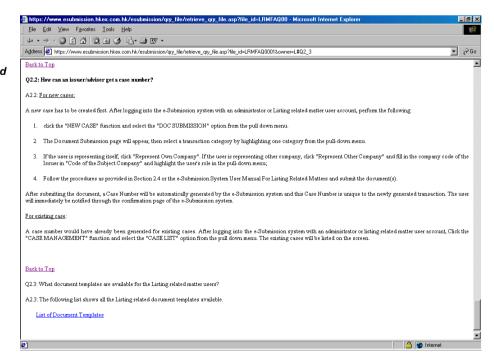
Should you encounter problems logging-in, please contact the Exchange.

NOTE: There is useful link found on the left panel:

 FAQs for Listing Related Matters. Frequently asked questions and answers for using e-Submission System and Listing Related Matters functions can be found here.

Figure 5.5

Frequently
Asked
Questions and
Answers



5.3 Amend Users' Profile

5.3.1 Amend User's Information

The Security Officer has the right to amend the user profile of users (except Authority Person) in the same company. To amend a user profile,

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. On the *Company Details* Page, click USER LIST. The *User Profile List* Page will be displayed.

Figure 5.6

User Profile List



3. On the *User Profile List* Page, select the user you need to amend and click USER DETAILS. The *User Details* Page of the selected user will be displayed:

Figure 5.7

User Details



4. Make the necessary amendment for the user - Family Name, Given Name, Salutation, Position, Phone, fax or email (except Mobile No.)

NOTE: User ID, User Type, Access to DI Data and Authority Type values are not editable.

- 5. Once you have finished editing the user profile, click SAVE. The confirmation dialog box will be displayed.
- 6. Click OK in the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *User Details* Page where you can continue editing the user profile.

7. After the user's details are updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *User Details* Page.

5.3.2 Changing Operation Type

The *Operation Type* will determine which sub-system the user will access to i.e. "Listing Related Matter' or 'Web Publication Related Matter'.

The Security Officer has the rights to amend the *Operation Type* for users in the company.

NOTE: The Security Officer and the Administrator are allowed to operate the 'Listing Related Matter' sub-system only.

- Click the ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. On the *Company Details* Page, click USER LIST. The *User Profile List* Page will be displayed.

Figure 5.8 **User Profile List**



 On the *User Profile List* Page, select the user you need to amend, click USER DETAILS. The *User Details* Page of the selected user will be displayed:

Figure 5.9

User Details -Operation Type



- 1. Edit the *Operation Type* by selecting the appropriate radio button. Click SAVE. The confirmation dialog box will be displayed.
- 2. Click OK at the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *User Details* Page where you can continue editing the user's details.

3. After the user's details are updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *User Details* Page.

NOTE: The difference between Operation Types is explained in the section above.

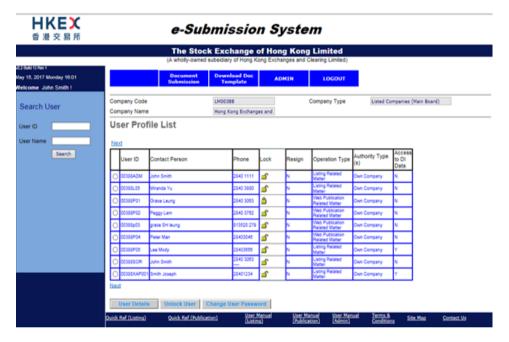
5.4 Changing Another User's Password

Except for the Administrator & Authorised Person's password, the Security Officer can change the password of any other user in his company. To change the passwords for users of your company:

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. On the *Company Details* Page, click USER LIST. The *User Profile List* Page will be displayed:

Figure 5.10

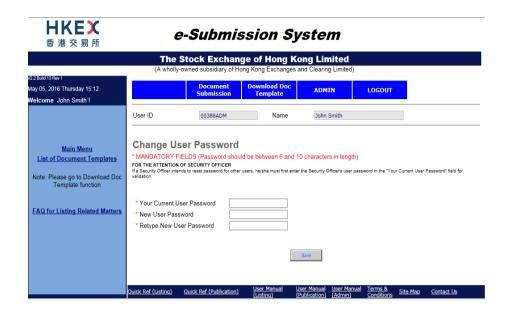
User Profile List



3. Select the user, click CHANGE USER PASSWORD. The *Change User Password* Page will be displayed:

Figure 5.11

Change User Password



4. Enter *Your Current User Password* (i.e. the password of the Security Officer), the user's *New Password* and then *Retype New Password*. Click SAVE. The confirmation dialog box will be displayed.

NOTE: User Passwords are case sensitive.

NOTE: A Security Officer cannot change the user password of an Administrator.

5. Click OK at the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *Change User Password* Page where you can continue the editing.

6. After the password is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *User List* Page.

5.5 Resignation of an User

If a user resigns from the company, his/her account should be set to 'resigned'. When the "Resign" flag is marked 'Yes', a user's login will be disabled. This function can also be used to temporarily suspend a user of your company from submitting documents through the e-Submission system.

After a user resigns, a Security Officer can re-use the account for another user by amending all the resigned user's details and changing the resigned user's password. To do this, please refer to the section 'Amend User's Information' above.

The Security Officer can set any user in the company to 'resigned' except for DI Users and himself/herself.

NOTE: The resignation flag of a Security Officer is always set to 'No' and is non-editable. If the Security Officer resigns, the company should request him/her to surrender the password of the account, change the password and assign another Security Officer to hold the account.

- Click the ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. On the *Company Details* Page, click USER LIST. The *User Profile List* Page will be displayed.





3. Select the user. Click USER DETAILS. The *User Details* Page of the selected user will be displayed:

Figure 5.13

User Details Resignation
Flag



- 4. Disable the user account by clicking 'Yes' against the *Resign* radio buttons, then click SAVE. The confirmation dialog box will be displayed.
- 5. Click OK at the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *User Details* Page where you can continue the editing.

6. After the user's resignation flag is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *User Details* Page.

5.6 Unlocking a user

The user account will be locked when the user enters an invalid password for 5 consecutive times. The user cannot login the system until the Security Officer unlocks the account (except Authorised Person(s) & Administrator)

To unlock the user account,

- Click the ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. On the *Company Details* Page, click USER LIST. The *User Profiles List* Page will be displayed.

Figure 5.14

User Profile List



- 3. The user's *lock* status is displayed with a lock icon. Select the locked user, click UNLOCK USER. A confirmation dialog box appears.
- 4. Click OK at the dialog box to confirm.

NOTE: Clicking CANCEL will return to the *User Profiles List* Page.

 After the user is unlocked successfully, an acknowledgement message will be displayed. Click OK and you will return to the *User Profiles List* Page.

5.7 Viewing Own Company's Profile

To view your company's profile details,

1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU, the *Company Details* Page will be displayed.





2. After you finished viewing, select your next action from the Main Menu.

5.8 Maintaining Your Own Account Details

5.8.1 Viewing and Changing Own User Profile

- 1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* Page will be displayed.
- 2. Click MY PROFILE on the **Company Details** Page. The **User Details** Page will be displayed:

Figure 5.16

User Details - My
Profile



3. Your account profile is displayed: *User ID, User Type, Authority Type, Operation Type* and *Resign Status* are for your reference only. Your personal profile: *Family Name, Given Name, Salutation, Position, Phone, fax, Mobile No.* and *Email* are editable. You can make changes as necessary. After you finished editing, click SAVE. A dialog box appears asking for confirmation. Click OK.

NOTE: Clicking CANCEL will bring you back to the *User Details* Page where you can continue editing.

4. After the amendment is saved, an acknowledgement message appears. Click OK and return to the *User Details* Page.

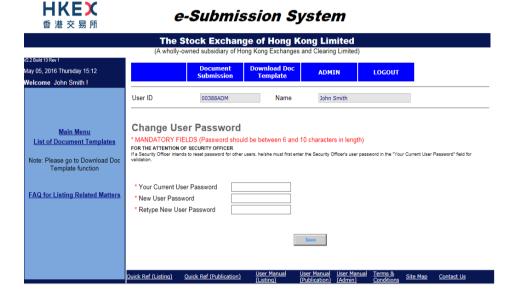
5.8.2 Change Own User Password

It is recommended to change your password periodically. To change your password,

- Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in the SUB-MENU. The *Company Details* will be displayed.
- 2. Click MY PROFILE on the **Company Details** page. The **User Details** page will be displayed.
- 3. Click CHANGE USER PASSWORD. The **Change User Password** page will be displayed:

Figure 5.17

Change User Password



4. Enter you Current Login Password, New Password and Retype New Password and click SAVE.

NOTE: Your *New Password* must be a string of 6 to 10 alphanumeric characters and it cannot be the same as the *Current Password*.

5. Click OK in the dialog box to confirm the update.

NOTE: Clicking CANCEL will return to the *Change User Password* page where you can continue editing the user password.

6. After the password is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the *Company Details* Page.

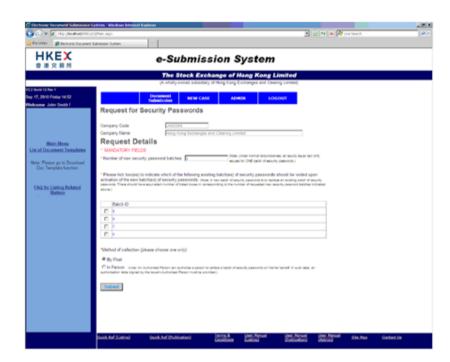
5.9 Request for Security Passwords

The Security Officer has the right to make a request for security passwords. To request a security passwords,

1. Select ADMIN in the MAIN MENU and then select REQUEST FOR SECURITY PASSWORDS in the SUB-MENU. The *Request Details* Page will be displayed:

Figure 5.18

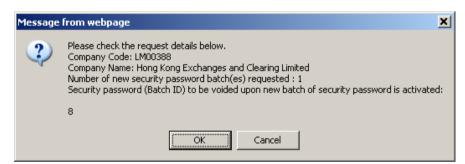
Request for Security Passwords



- 2. Enter Number of new security password batches requested for, select Batch ID to be voided and Method of collection and click SUBMIT.
- 3. The confirmation message box will be prompted up for confirmation.

Figure 5.19

Request for Security Passwords – Confirmation Message



4. Click OK in the dialog box to confirm the request.

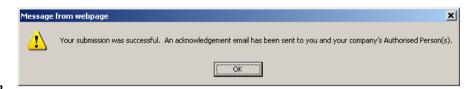
NOTE: Clicking CANCEL will return to the *Request for Security Passwords* page where you can continue editing the request.

5. After the request is submitted successfully, an acknowledgement

message will be displayed. Click OK and you will be taken back to the *Request for Security Passwords* Page.

Figure 5.20

Request for Security Passwords – Acknowledgemen t Message



NOTE: An acknowledgement email will be sent to Security Officer and your company's Authorized Person(s).

Figure 5.21

Request for Security Passwords – Acknowledgemen t Email Acknowledgement of Online Request for ESS Security Password

This is to acknowledge receipt of your online request for new security passwords. We will proceed to issue new security password batch(es) and will arrange to send the batch(es) by registered mail to the postal address of the Primary Authorised Person within 2 working days from the issue date of this email. To avoid unnecessary delay, you should inform us of any change in postal address as early as possible by updating relevant information under the Profile Admin section of the e-Submission System.

If you have any questions relating to ESS operations, please contact our hotline at +852 2840 3460. To assist us in improving our service to you, telephone calls may be recorded.

The Stock Exchange of Hong Kong Limited

06-11-2015

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