

e-Submission System User Manual

For

Publication Related Matters

January 2007

This document will no longer be valid after 24th June 2007.
For any publication to be made via ESS from 25th June 2007
onwards please use the ESS Publication Related Matter User
Manual that can be found via the following link.

http://www.hkex.com.hk/edp/ESS_UserManual.htm



Hong Kong Exchanges and Clearing Limited

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1.6 Submission Management

NOTE: Submissions that have not been approved after a certain period will be automatically removed from the system. The retention period is set to 60 days initially and may be changed without prior notice.

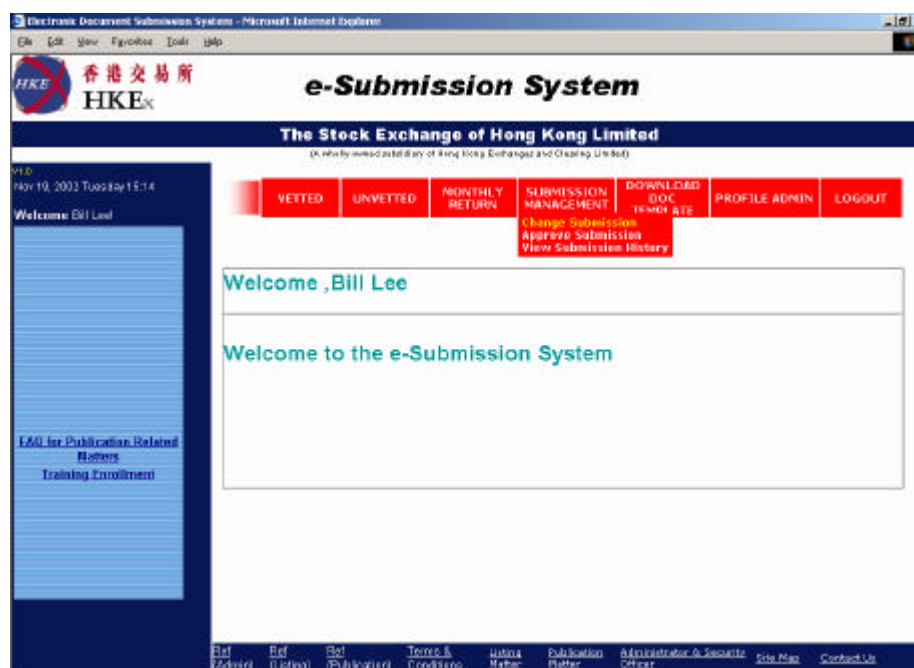
1.6.1 Changing Submission

Please follow the steps set out below to amend the rejected submission details or to amend the submission that is pending for approval:

1. Select Change Submission from the drop down menu of SUBMISSION MANAGEMENT in the MAIN MENU Bar:

Figure 1.98

*Change
Submission Menu*



The *Change Submission Page* appears:

Figure 1.99

*Change
Submission Page*

NOTE: You should also enter the corresponding submission password to retrieve vetted or unvetted general submission.

2. Enter the *Submission No* and *Submission password* (for vetted or unvetted general submission only) and click **RETRIEVE**. The *Corresponding submission details page* of that submission will be displayed:

Figure 1.100

*Submission
Details Page*

3. User can either save the submission for later approval or amendment or proceed to the authorization page to let approver to make approve right after the submitter amended the submission details. You may refer to the

corresponding sections according to the types of submission being amended.

NOTE: Submitter can only retrieve the submission(s) that is (are) submitted by him. Users other than the submitter can not retrieve submission for amendment through the Change submission function.

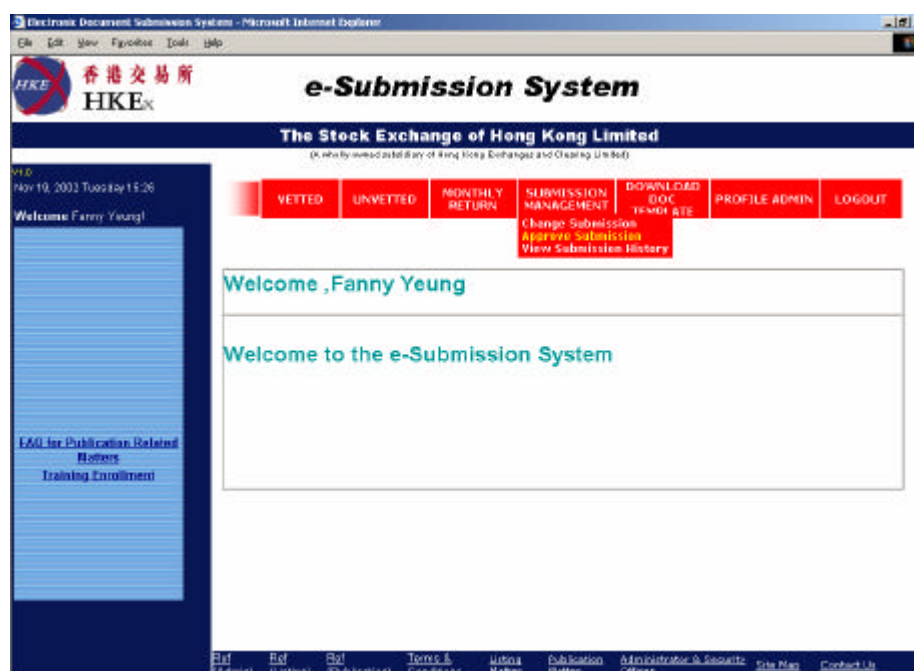
1.6.2 Approving Submission

Please follow the steps set out below to approve submission that is pending for approval:

1. Select Approve Submission from the drop down menu of SUBMISSION MANAGEMENT in the MAIN MENU Bar:

Figure 1.101

*Approve
Submission Menu*



The *Approve Submission Page* appears:

Figure 1.102

*Approve
Submission Page*

The screenshot shows the 'Approve Submission' page of the e-Submission System. The page is titled 'Approve Submission' and includes a 'Retrieve' button. The left sidebar contains a 'Welcome' message and a list of links. The top navigation bar includes links for 'VETTED', 'UNVETTED', 'MONTHLY RETURN', 'SUBMISSION MANAGEMENT', 'DOWNLOAD DOC TEMPLATE', 'PROFILE ADMIN', and 'LOGOUT'.

NOTE: You should also enter the corresponding submission password to retrieve vetted or unvetted general submission.

2. Enter the *Submission No* and *Submission password* only for vetted or unvetted general submission) and click **RETRIEVE**. The *submission authorization page* of that submission will be displayed:

Figure 1.103

**Submission
Authorization
Page**

VETTED

UNVETTED

MONTHLY RETURN

SUBMISSION MANAGEMENT

DOWNLOAD DOC TEMPLATE

PROFILE ADMIN

LOGOUT

General Submission - Vetted - Authorisation

Please review the following information, then enter Approver's ID and Password:

*** MANDATORY FIELDS**

Submission Company Code/Name

ume0000

Hong Kong Exchange Limited

Submitted by

umeeappr

Date/Time submitted

20/11/2002

21:18:11

Company Code

ume0000

Hong Kong Exchange Limited

Transaction Type

Introduction

Case Number

20021119-Fe0000-0044

Category

Announcement

The type(s) of file(s) to be submitted :

☒ English Text
 ☐ English Word/PDF/Excel
☒ Chinese Text
 ☐ Chinese Word/PDF/Excel

Contact Person

Amy Chan

Contact No.

12345678

Related Company Names

| Document Type | Subject Matter | Filename | |
|--------------------------------|----------------|------------|-------------------------|
| Vetted Published Announcements | Chinese | CT_doc.txt | Preview |
| Vetted Published Announcements | English | ET_doc.txt | Preview |

We hereby submit the above document(s) for publication on the HKEx/GEM website, as the case may be.

The document(s) were cleared by a Listing division officer of the Exchange.

* Approver ID

* Approver Password

Approve

Reject

- Enter the *Approver ID* and *Approver Password* and click **APPROVE** to approve the submission or click **REJECT** to reject the submission. If **APPROVE** is clicked, all buttons at the bottom will be disabled. You will be redirected to a loading page which means the system is processing your request. Once your request has been processed, the **Submission Details Page** will be displayed. You should take note of the *Submission Number* for future reference.

Figure 1.104

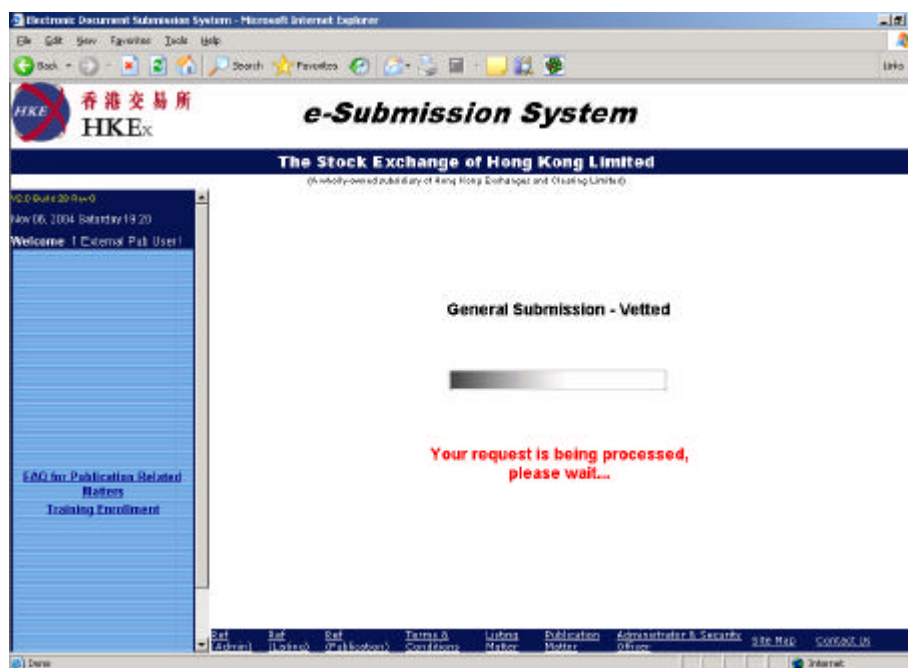
Processing Page

Figure 1.105

Submission Authorization Page

| VETTED | UNVETTED | MONTHLY RETURN | SUBMISSION MANAGEMENT | DOWNLOAD DOC TEMPLATE | PROFILE ADMIN | LOGOUT |
|--------|----------|----------------|-----------------------|-----------------------|---------------|--------|
|--------|----------|----------------|-----------------------|-----------------------|---------------|--------|

General Submission - Vetted

Your submission has been approved! Please record the Submission No. for future reference.

Submission Details

| | | | |
|---------------------|---------------------|--------------|----------|
| Date/Time submitted | 20/11/2002 21:22:38 | Submitted By | jumeappr |
| Date/Time approved | 20/11/2002 21:23:36 | Approved By | jumeuser |
| Submission No. | EBIS-021120-00678 | Status | Approved |

Company Code: jume0000 Hong Kong Exchange Limited

Transaction Type: Introduction

Case Number: 20021119-Fe0000-0044

Category: Announcement

The type(s) of file(s) to be submitted:

☒ English Text ☐ English Word/PDF/Excel

☒ Chinese Text ☐ Chinese Word/PDF/Excel

Contact Person: Amy Chan

Contact No.: 12345678

Related Company Names:

| Document Type | Subject Matter | Filename |
|--------------------------------|----------------|------------|
| Vetted Published Announcements | Chinese | CT_doc.txt |
| Vetted Published Announcements | English | ET_doc.txt |

OK

NOTE: For the details of summary page, you may refer to the corresponding sections according to the types of submission being approved.

NOTE: When you have approved a submission, the status displayed in the

submission summary page will be "Approved" which is different from the submission summary page when making submission rejection.

4. If **REJECT** is clicked, all buttons at the bottom will be disabled. You will be redirected to a loading page which means the system is processing your request. Once your request has been processed, the **reject submission summary page** of that submission will be displayed:

Figure 1.106

Processing Page

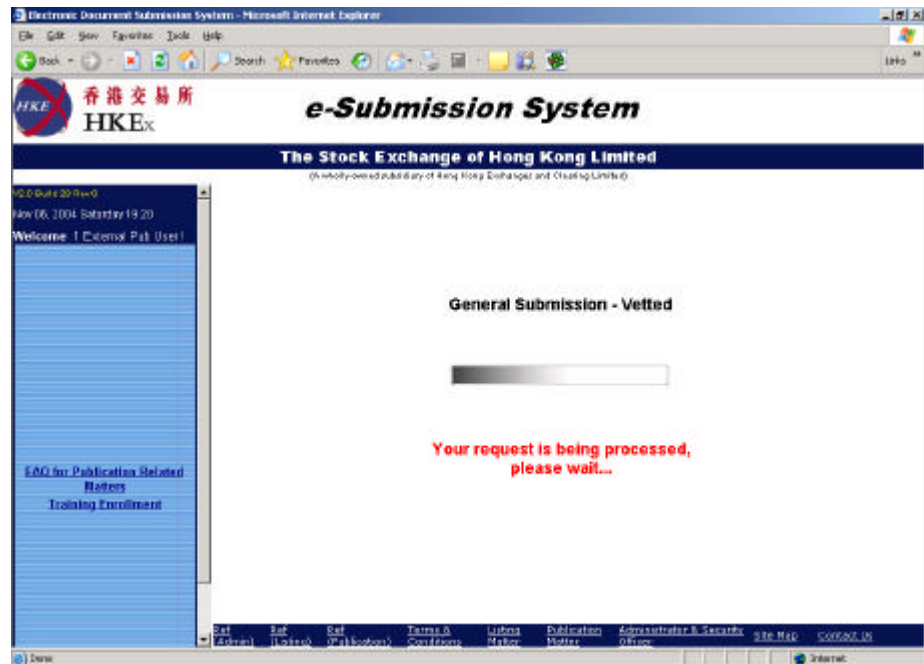


Figure 1.107

*Submission
Authorization
Page*

General Submission - Vetted

Your submission has been rejected!

Submission Details

| | | | |
|---------------------|---------------------|--------------|-----------|
| Date/Time submitted | 20/11/2002 21:18:11 | Submitted By | jumeeappr |
| Date/Time rejected | 20/11/2002 21:21:17 | Rejected By | jumeeuser |
| Submission No. | EBIS-021120-00678 | | |
| | | Status | Rejected |

Company Code: jum0000 Hong Kong Exchange Limited

Transaction Type: Introduction

Case Number: 20021119-Fe0000-0044

Category: Announcement

The type(s) of file(s) to be submitted :

| | |
|--|---|
| <input checked="" type="checkbox"/> English Text | <input type="checkbox"/> English Word/PDF/Excel |
| <input checked="" type="checkbox"/> Chinese Text | <input type="checkbox"/> Chinese Word/PDF/Excel |

Contact Person: Amy Chan

Contact No.: 12345678

Related Company Names:

| Document Type | Subject Matter | Filename |
|--------------------------------|----------------|------------|
| Vetted Published Announcements | Chinese | CT_doc.txt |
| Vetted Published Announcements | English | ET_doc.txt |

OK

NOTE: For the details of summary page, you may refer to the corresponding sections according to the types of submission being approved.

NOTE: When you have rejected a submission, the status displayed in the submission summary page will be "Rejected" which is different from the submission summary page when making submission approval.

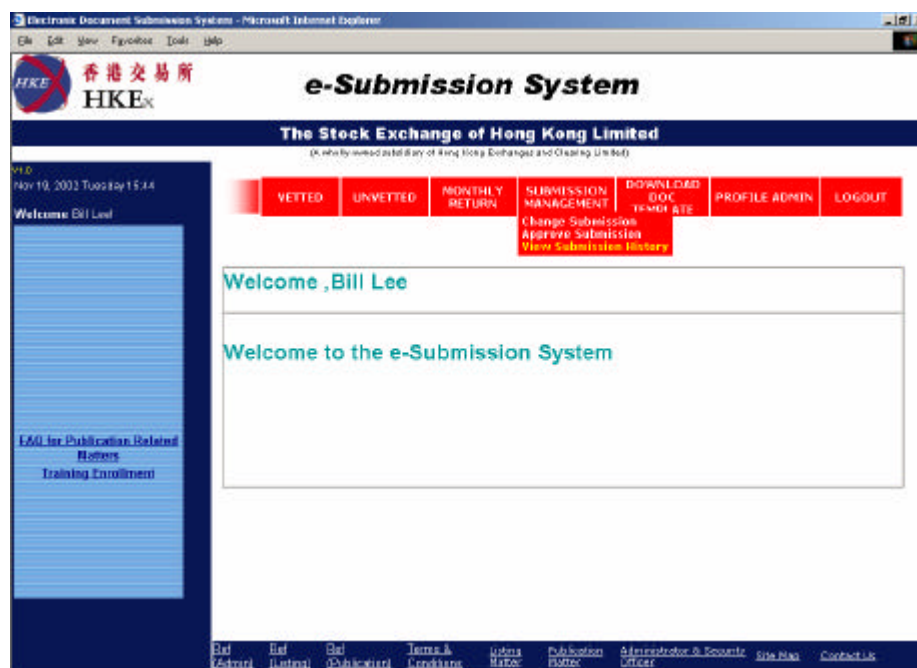
1.6.3 Viewing Submission History List

To view the Submission History List,

1. Select View Submission History from the drop down menu of SUBMISSION MANAGEMENT in the MAIN MENU Bar:

Figure 1.108

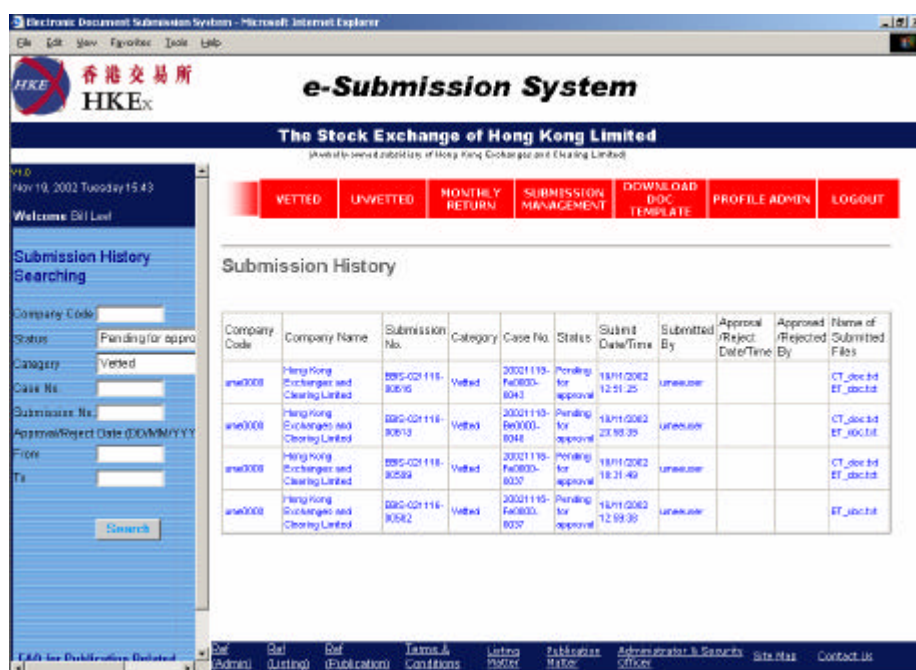
View Submission History Menu



The *Submission History List* appears:

Figure 1.109

Submission History List Page



The list is sorted by ascending *Company Name*, and then descending *submission date/time*, *status*, *category* and *case no*

1.1.3.1 Searching for Submission

The search function on the left panel allows you to filter the submissions by:

- company code
- approval date range
- submission status
- submission category
- case number for vetted announcement/documents
- submission number

To Perform a Submission Search:

You may specify any combination of the above criteria to perform key search or leave all criteria blank/unselected to view all the submissions relating to the login user.

NOTE:

- The search fields are case insensitive
- *Company Code* is enabled only if user's company is allowed to represent others or all companies
- Submissions relating to the login user are:
 - the submission submitted by user either rejected or pending for approval
 - all approved submissions which belong to the user's company

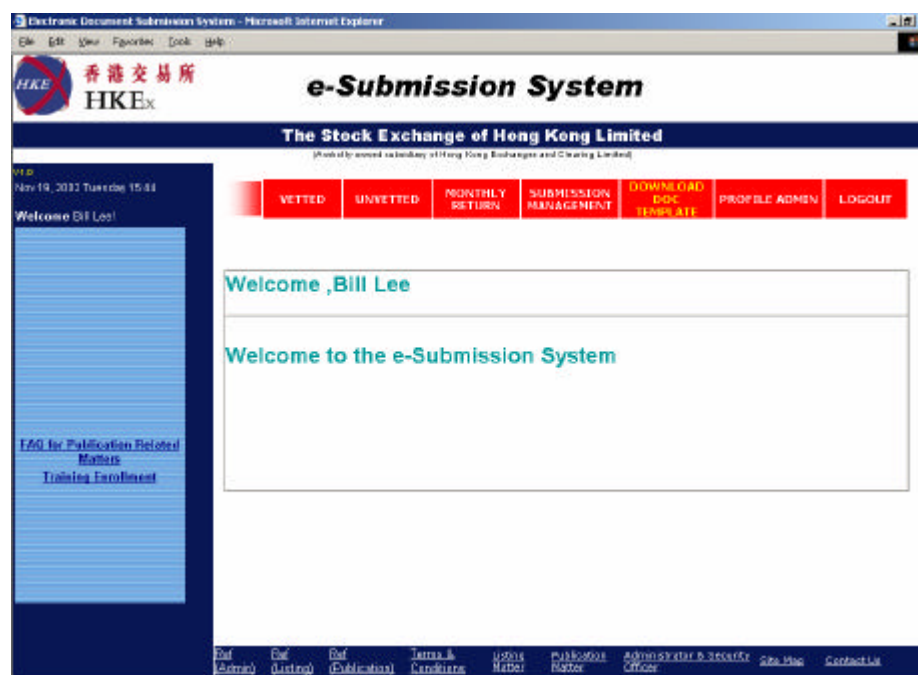
1.6 Downloading Document Template

Please follow the steps set out below to download Document Template:

1. Select DOWNLOAD DOC TEMPLATE from the main menu.

Figure 1.110

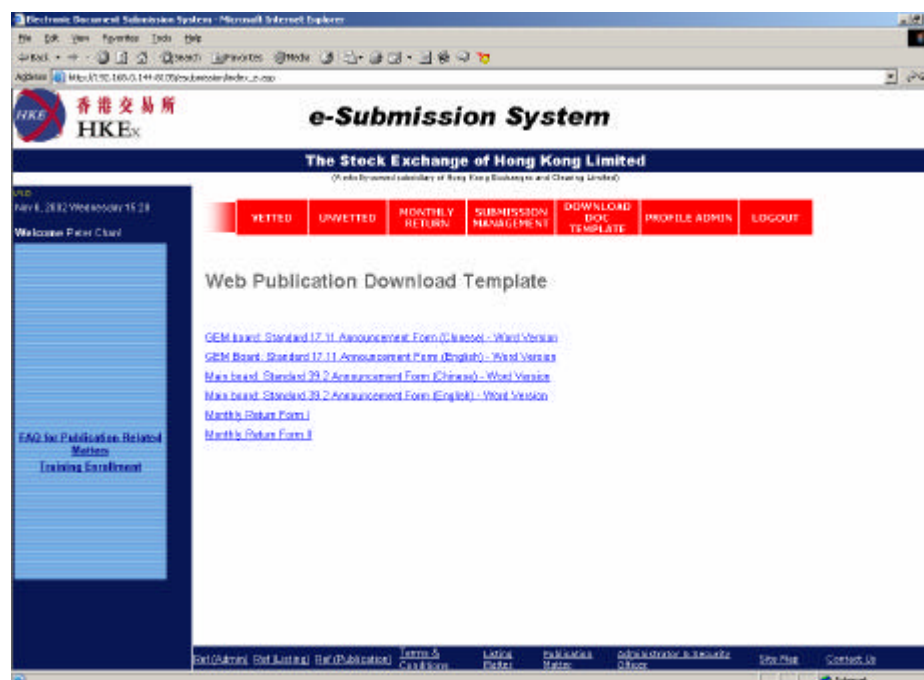
*Download
Document
Template Menu*



The *Web Publication Download Template* Page will be displayed:

Figure 1.111

*Web Publication
Download
Template*



There are a few alternatives to download a file,

(A) At the file link, right click and select SAVE TARGET AS...

Figure 1.112

Save Target As

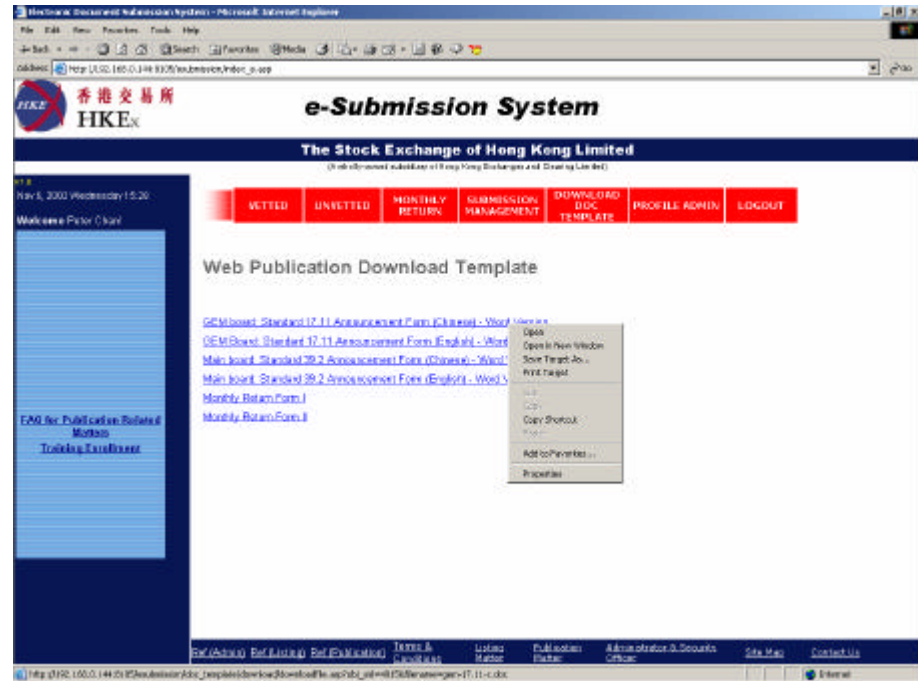
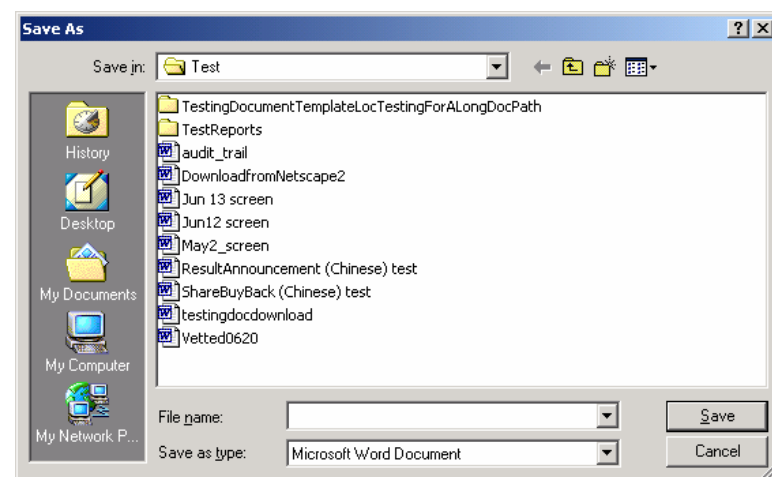


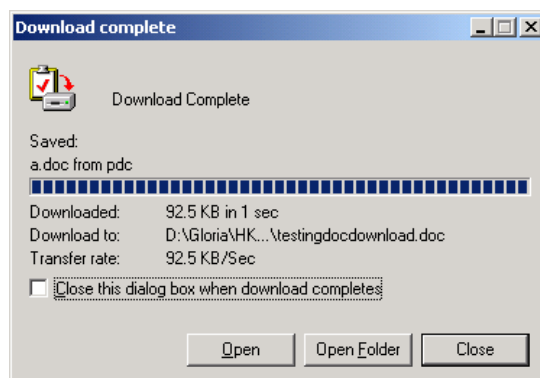
Figure 1.113

*Browsing Location
for Download*



Specify the *file name* and *desired folder*. Click SAVE. After the file is downloaded successfully, the **Download Complete** dialog box appears. The file will be stored in the selected location.

Figure 1.114

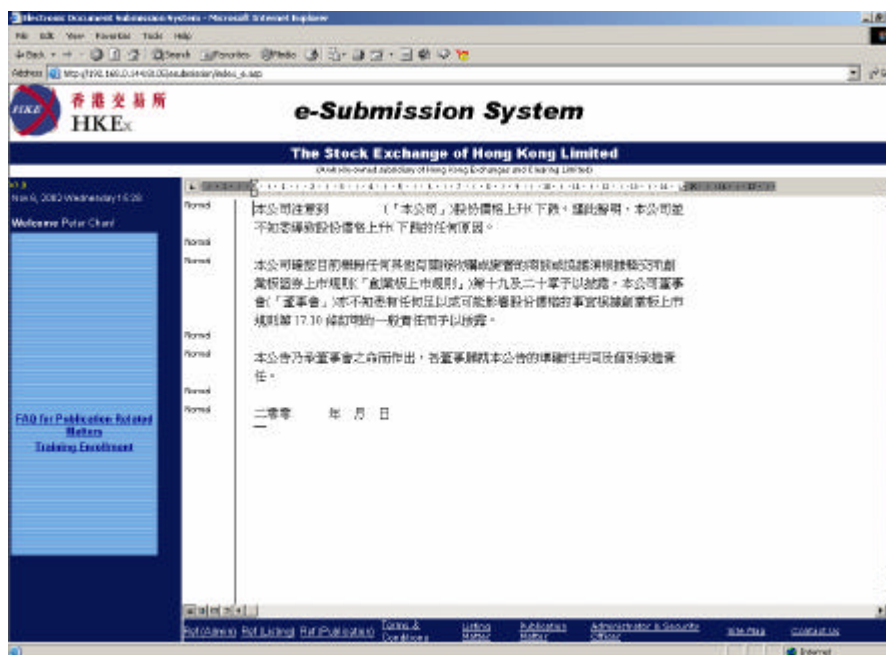
Download Complete

Click CLOSE and return to the *User Home Page*.

(B) Click on the file link,

- A new window will be opened to display the file content automatically:

Figure 1.115

Download Files with File Menu

- Use the SAVEAS under the FILE MENU to save the file to the desired location.

1.6 Viewing Your Company's Profile

To view your company's profile details,

1. Click PROFILE ADMIN in the MAIN MENU, the *My Company Details Page* will be displayed.

Figure 1.116

My Company Details

The screenshot displays the 'My Company Details' page within the 'e-Submission System' interface. The page is titled 'My Company Details' and is part of 'The Stock Exchange of Hong Kong Limited' system. It features a navigation bar with links: VETTED, UNVETTED, MONTHLY RETURN, SUBMISSION MANAGEMENT, DOWNLOADED DOC TEMPLATE, PROFILE ADMIN, and LOGOUT. The main content area is divided into two sections: 'Company Details' and 'Contact Details'. The 'Company Details' section includes fields for Company Code (000000), Company Type (United Companies (Main Board)), Name (Hong Kong Exchanges and Clearing Limited), Chinese Name (香港交易所有限公司), and Web Site (http://www.hkex.com.hk). The 'Contact Details' section includes fields for Family Name (FISH), Given Name (Penny), Address (11/F, 800 CANNON ROAD, HONG KONG), Phone (1-23358 888), Fax (37654321), and Email (enquiry@hkex.com.hk). A checkbox for 'Permitted to Represent Others' is set to 'No'. The footer contains links for Adm, Adm (Listing), Adm (Publication), Terms & Conditions, User Manual, Publication Dates, Administrative & Security Officer, Site Map, and Contact Us.

2. After you have finished viewing the company profile, continue by selecting your next action in the Menu Bar at the top.

1.6 Maintaining Your Account Profile

1.6.1 Viewing and Changing Your Profile

1. Select PROFILE ADMIN in the MAIN MENU. The *My Company Details Page* will be displayed.
2. Click MY PROFILE button in *My Company Details Page*. The *Company User Detail Page* will be displayed:

Figure 1.117

*Company User
Details*

The screenshot displays the 'Company User Details' page within the e-Submission System. The page header includes the HKE logo and the text 'The Stock Exchange of Hong Kong Limited'. A navigation bar at the top contains buttons for 'VETTED', 'UNVETTED', 'MONTHLY RETURN', 'SUBMISSION MANAGEMENT', 'DOWNLOAD DOC TEMPLATE', 'PROFILE ADMIN', and 'LOGOUT'. Below the navigation bar, there are input fields for 'Company Code' (000000), 'Company Type' (Listed Companies (Main Board)), and 'Company Name' (Hong Kong Exchanges and Clearing Limited). The main section is titled 'Company User Details' and contains a form with the following fields: 'User ID' (00000000), 'User Type' (E-User), 'Authority Type' (Represent MY company), 'Operation Type' (Listing Related Matter), 'Resign' (Yes/No), 'Family Name' (Lee), 'Given Name' (Bill), 'Salutation' (Mr), 'Position' (E-User), 'Phone' (22345678), 'Fax' (87654321), and 'Email' (bill@hke.com.hk). There are 'Save' and 'Reset Password' buttons at the bottom of the form. The footer contains links for 'Ref', 'Ref', 'Ref', 'Terms & Conditions', 'Listing Rules', 'Publication Rules', 'Administrative & Security', 'Site Map', and 'Contact Us'.

3. Your account profile will be 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* and *Email* can be amended. You can make changes as required. After you have finished editing, click SAVE. A dialog box will appear to ask for confirmation. Click OK.

NOTE: Click CANCEL to go back to the *Company UserDetails Page* where you can continue your amendment.

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

1.6.2 Reset Your Login Password

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

1. Select PROFILE ADMIN in the MAIN MENU. The *My Company Details* Page will be displayed.
2. Click MY PROFILE button on the *My Company Details Page*. The *Company User Profile* Page will be displayed.
3. Click RESET PASSWORD. The *Reset Login Password Page* will be displayed:

Figure 1.118

Reset Login Password

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

NOTE: Your *New Password* cannot be the same as any of the 3 latest passwords used before.

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

NOTE: Clicking CANCEL will return to the *Reset Login Password Page*.

After the password is updated successfully, an acknowledgement message will be displayed. Click OK to go back to the *Company Profile Page*.

1.6 Exit the System

It is recommended that you logout the system when you leave your PC unattended or when you have finished the session.

1. Select LOGOUT in the MAIN MENU.

NOTE: If you are submitting announcements or forms, you should complete the submission (ie obtaining the Submission Confirmation with a Submission Number assigned); else the unsubmitted data will be lost.

Figure 1.119

Main Menu

Electronic Document Submission System - Microsoft Internet Explorer

File Edit View Favorites Tools Help

HKE 香港交易所 HKE

e-Submission System

The Stock Exchange of Hong Kong Limited
(Incorporated in the Cayman Islands)

Nov 10, 2003 Tuesday 15:48

Welcome Bill Leal

My Company Details

Company Code: [unsub000] Company Type: [listed companies (main board)]

Company Details

Name: [Hong Kong Exchanges and Clearing Limited]
Chinese Name: [香港交易所有限公司]
Web Site: [http://www.hkex.com.hk]

Contact Details

Family Name: [Leah] Given Name: [Amy]
Address: [80F, 800 Queen Road, Central, Hong Kong] Phone: [12345678] Fax: [12345678] Email: [amy@hkex.com.hk]

Permitted to Represent Others: ☐ Yes ☒ No

[My Profile](#)

Ref Admin Ref (Listing) Ref (Publication) Terms & Conditions Login Button Publication Button Administrator & Security Officer Site Map Contact Us

The *e-Submission Main* Page will be displayed:

Figure 1.120

*e-Submission Main
Page*



2. Close the browser window.