e-Submission System

User Manual

For

Authorised Person, Administrator, Security Officer and DI Users

October 2022

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1 Introduction

1.1 User Identification

Your company is required to register for access to the system. If your registration is successful, HKEX will create your Company Profile on the system. HKEX will also create user accounts for your company's Authorised Person, Administrator, Security Officer, Disclosure of Interests ("DI") user and up to 8 Publication Related Matter and up to 8 Listing Related Matter users. After registration, Security Officer and/or Authorised Person can create additional user accounts for new users of the company, if required.

The URL of the e-Submission System (ESS) is https://www1.eSubmission.hkex.com.hk. A user account includes a User ID, a User Password and a One-Time Passcode generated from security token that are required to login to the system.

A login user should be defined as an Authorised Person, Administrator, Security Officer, DI user in order to use the functions as set out in the respective sections in this manual.

For Publication Related Matter users, please refer to User Manual for Publication Related Matters for further details.

For Listing Related Matter users, please refer to User Manual for Listing Related Matters for further details.

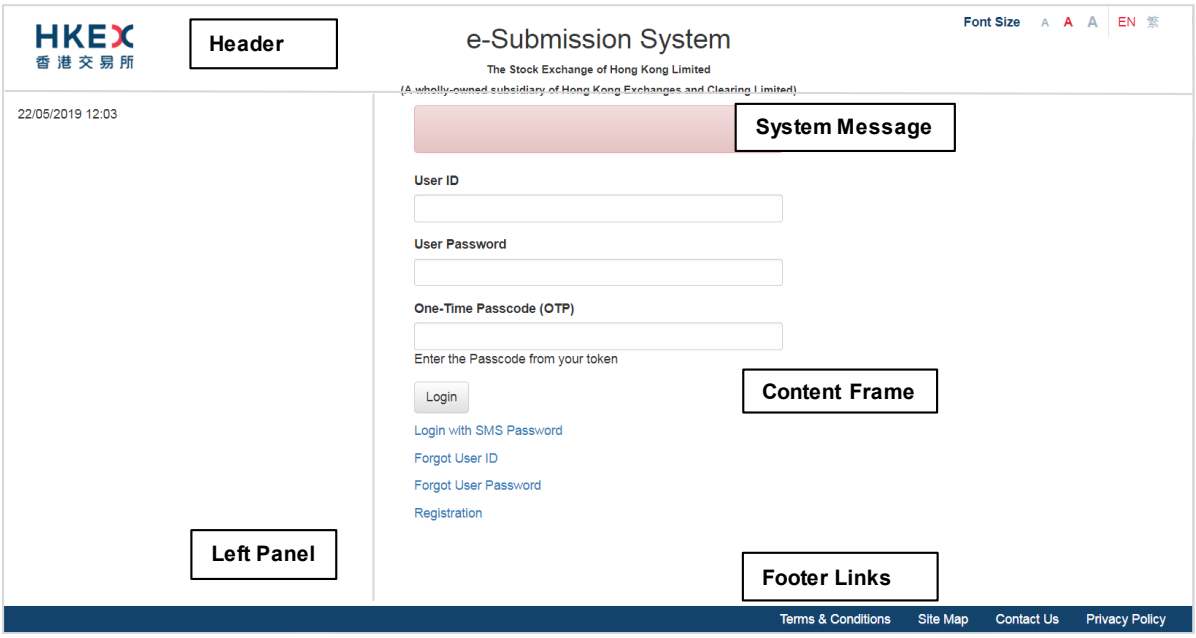
1.2 User Types

The following table lists the user role of Authorised Person, Administrator, Security Officer and DI user in ESS.

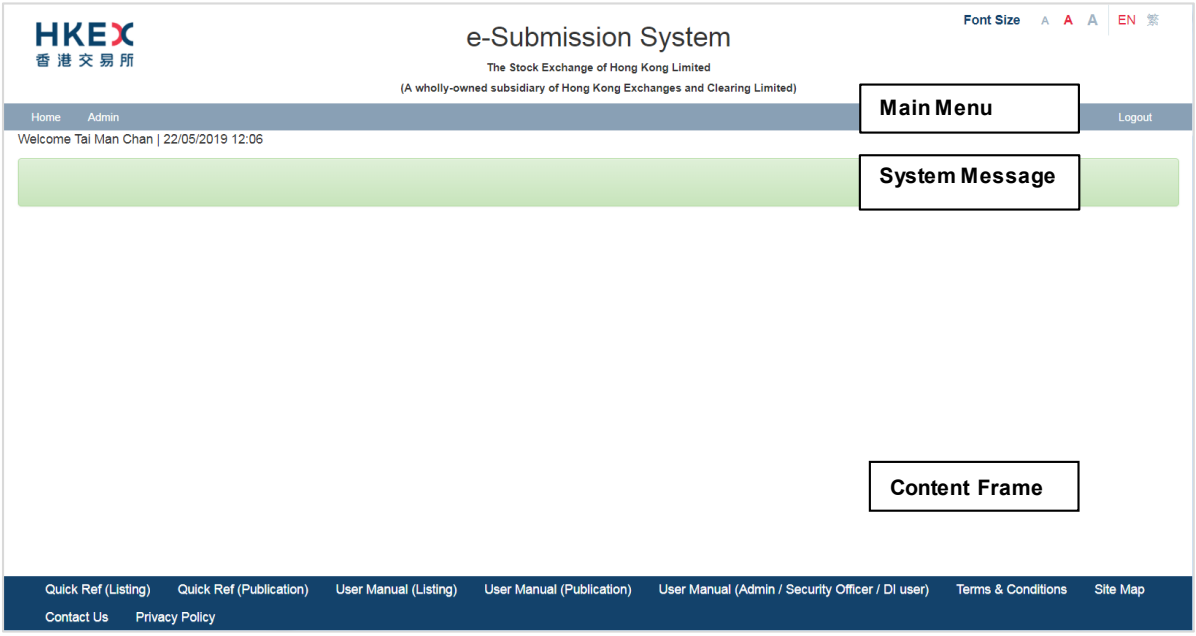
User Type	Role
Authorised Person (Primary Authorised Person and/or Secondary Authorised Person)	An Authorised Person is a person at a company who is the HKEX's primary contact for subsequent administrative matters. Authorised Person can: - maintain user profile list, including create/delete user accounts, approve user creation by Security Officer and change of Administrator/Security Officer; - approve to revoke of user's security token; - appointment of agents for Publication Related Matters; - appointment of approvers; and - appointment of agents for Listing Related Matters
Administrator	An Administrator is the person at a company who maintains the company's details on the ESS. Administrator can: - update the company's profile; - maintain the company's "Related Stock Code List" (applicable for Main/GEM board and Exchange Traded Products issuers); - submit the request to HKEX for change of Authorised Person; - maintain submission template (applicable for Structured Product issuers); - view the submission log of Listing Related Matter ; - view the submission log of Publication Related Matter; and - view e-Form submission log.
Security Officer	The Security Officer is the person who controls the access rights and manages the assigned token of the other users of his/her company. Security Officer can: - unlock all user accounts (except own account); - update the user profile of Publication Related Matter users, Listing Related Matter users and DI users; - disable login the Publication Related Matter users and Listing Related Matter users (i.e. due to resignation); - submit request to Authorised Person to create user account; - submit request to Authorised Person to revoke user's security token; and - assign a security token to a user.
DI user (only applicable to Listed Issuers)	DI User is a person at a company who has been delegated the right to receive an email notification and access (i.e. viewing or downloading) the complete set of DI notices and related documents when a DI notice concerning his/her company is received through the DION System.

1.3 Site Conventions

Before Login



After Login



Header

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

Left Panel

- Display the system date/time and general information.

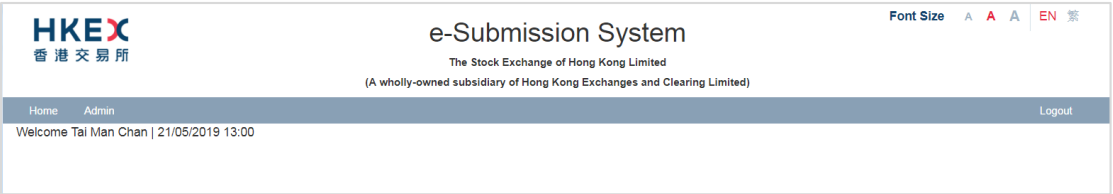
Content Frame

Before login,

- Display the login page content and links to Login with SMS Password, Forgot User ID, Forgot User Password and Registration.

After login, the Content Frame will extend to the Left Panel for display the Function page content.

- Display the Login User Name and the system date/ time at the top left.



System Message

- Error message is displayed in the red message box.
- Warning message is displayed in the yellow message box.
- System Information is displayed in the green message box.

Main Menu

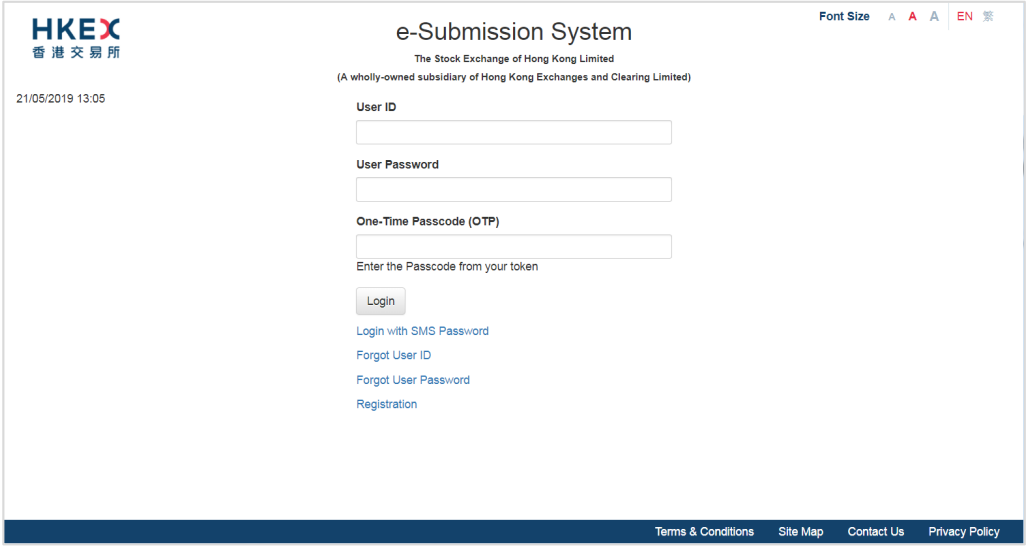
- A drop-down menu will be displayed when placing the cursor over the menu item.

Footer Links

- Link to general information for user's reference.

2 Login to e-Submission System

You must login the ESS for profile maintenance. Open the web browser and enter the web address: https://www1.esubmission.hkex.com.hk. The ESS Main page (i.e. the login page) will be displayed.

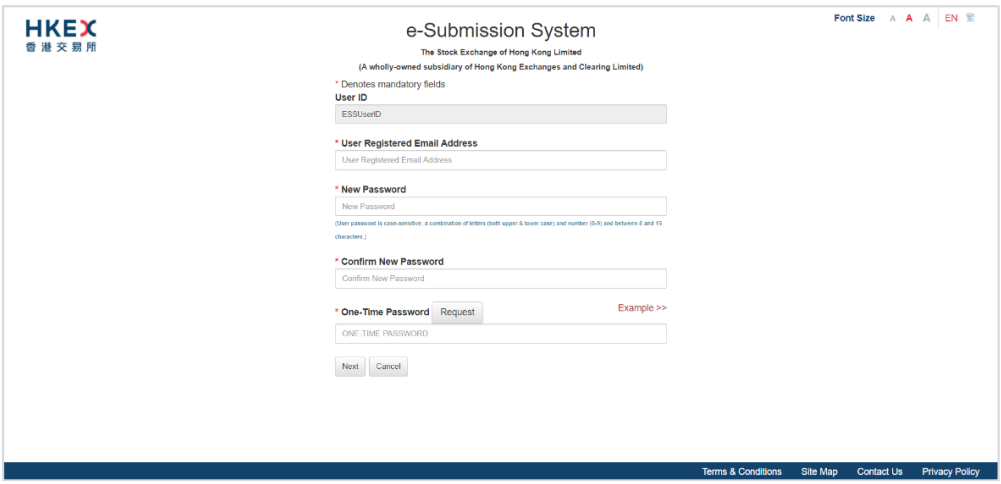


2.1 First-time login to e-Submission System

You need to setup your security token on your first-time login to the ESS. Download the software token application "SafeNet MobilePASS+" on your mobile device from App Store or Google Play before your first-time login.

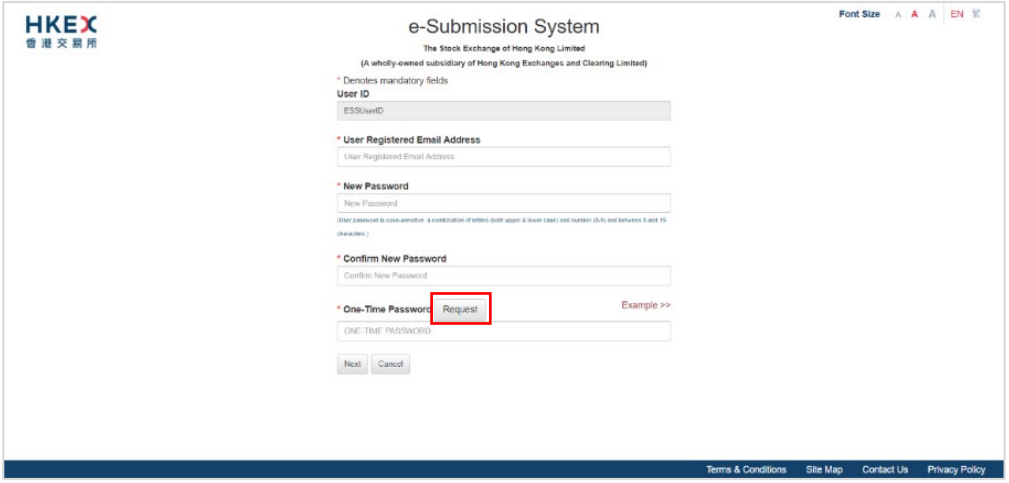
2.1.1 User Activation and Token set-up (MobilePASS+)

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

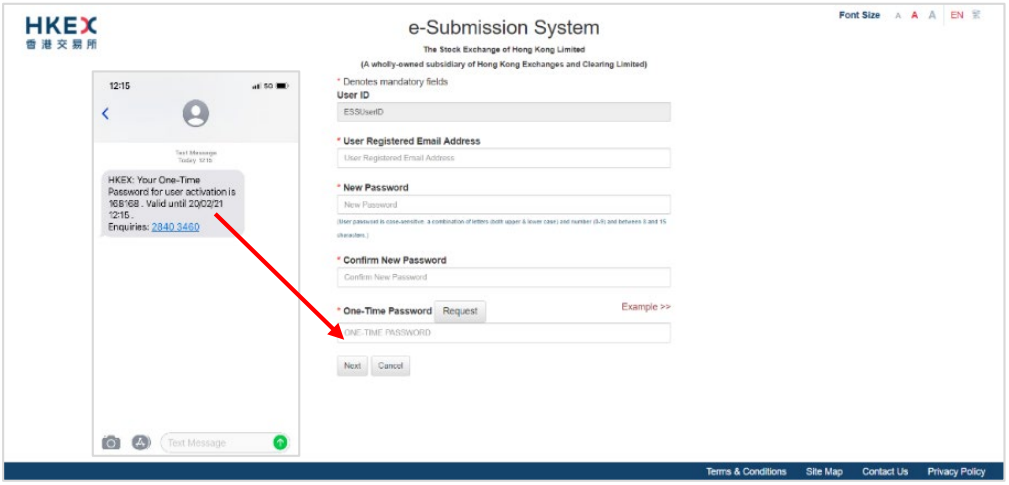


2. Fill in your Registered Email Address.
3. Set up your User Password, enter a new password and re-enter the new password. The User password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and numbers (0-9).

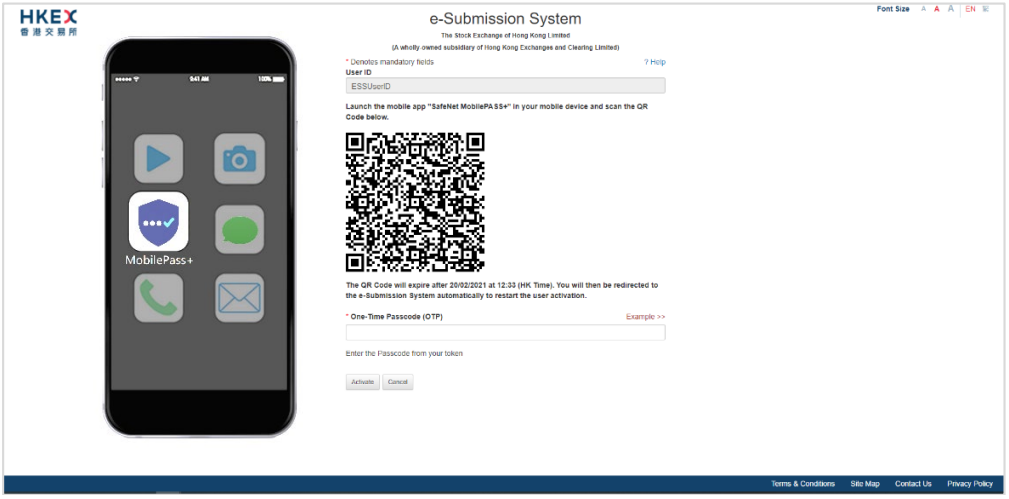
4. Click REQUEST. A One-Time Password will be sent to your registered mobile phone number via SMS.



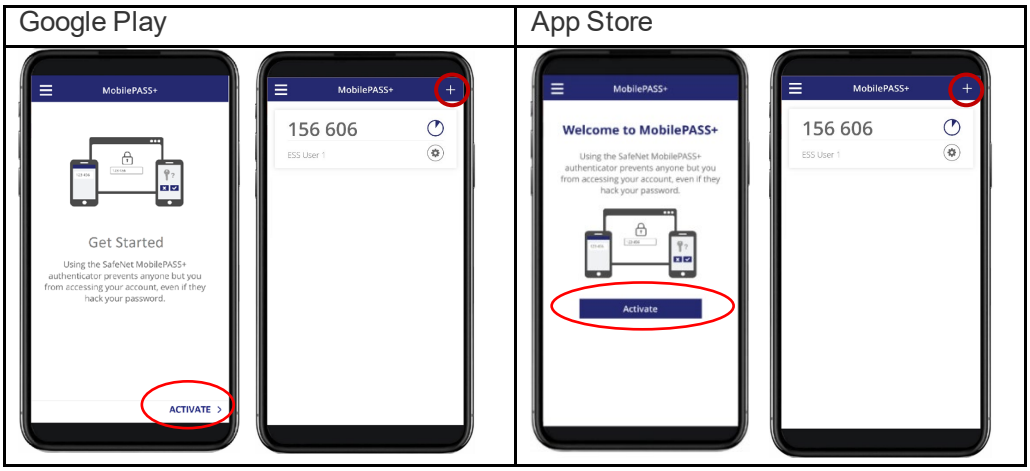
5. Input the One-Time Password. Then, click NEXT.



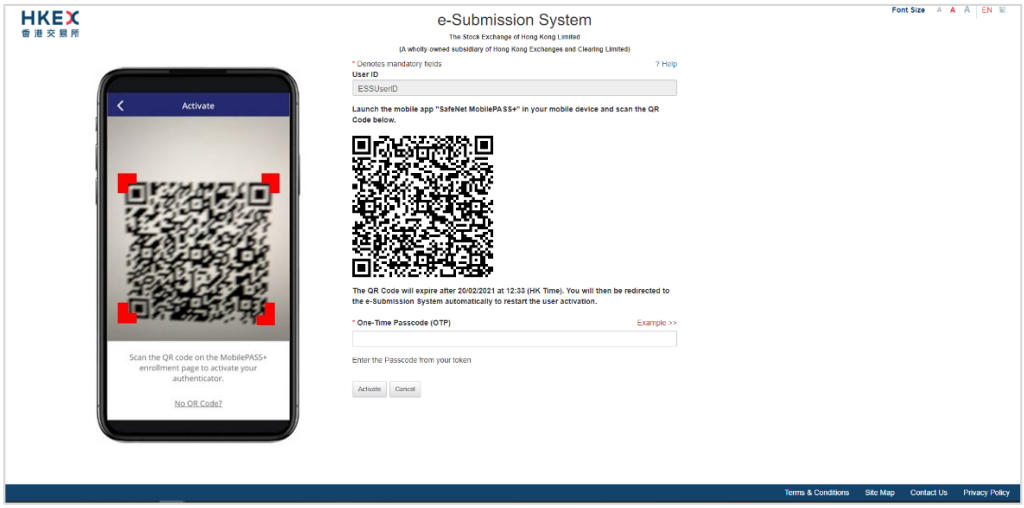
6. A system generated QR code will be displayed. Launch the mobile app "MobilePASS+" in your mobile device.



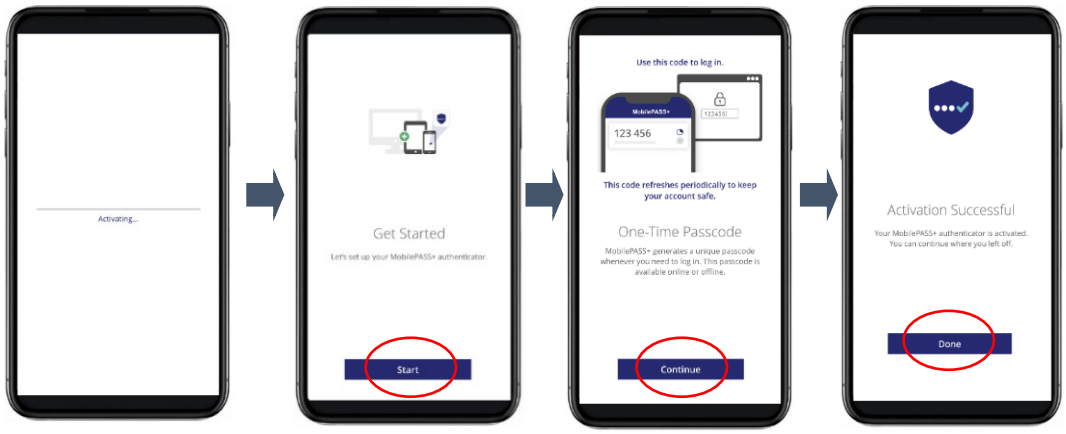
7. Tap “Activate” or “+” to create a new security token in your MobilePASS+.



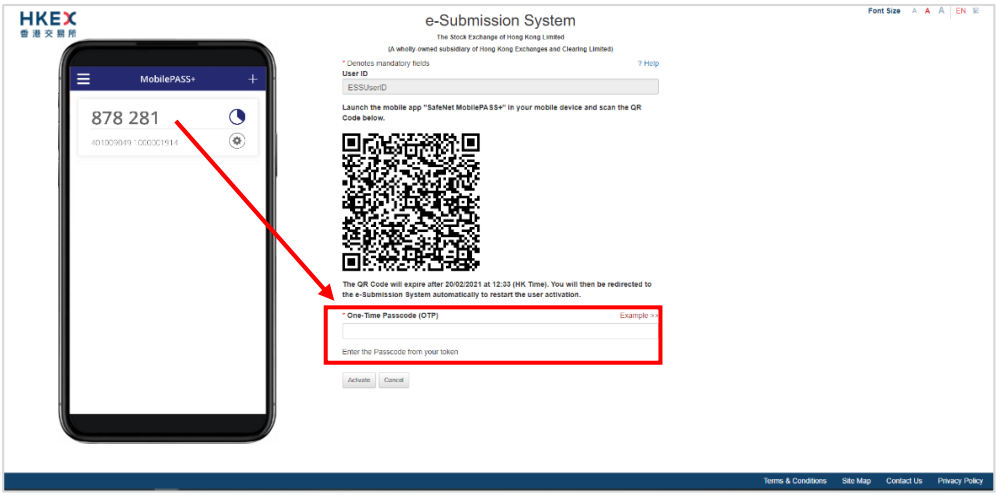
8. Scan the QR Code with your MobilePASS+. (Note: The QR Code will expire after 10 minutes. Once the QR has been expired, you will be automatically redirected to the homepage to restart the process of User Activation.)



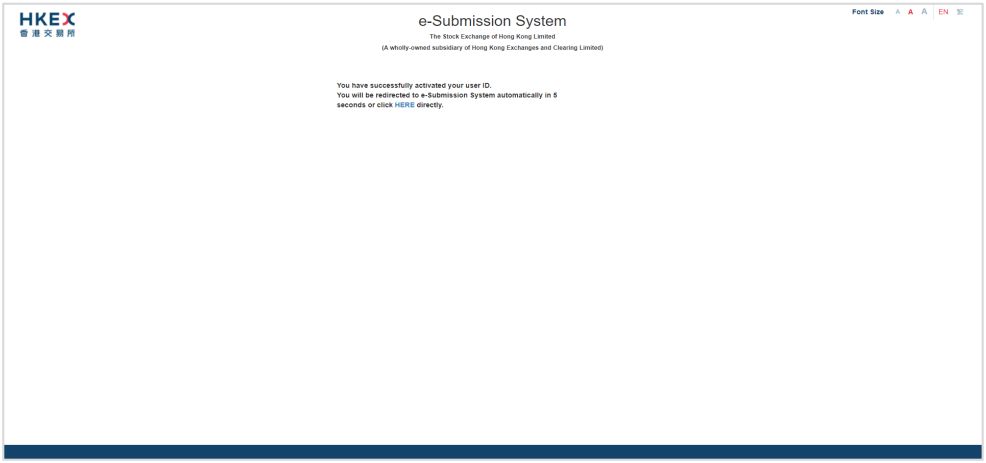
9. The token setup starts automatically. Follow the instructions on the screen, tap “Start” and “Continue”. When you’ve successfully set up your token, you will see a confirmation message. Tap “Done” to get a One-Time Password (OTP).



10. Input the One-Time Passcode (OTP) generated from your token. Then click ACTIVATE to complete the user activation.



11. If your user account has been activated successfully, the acknowledgement page will be displayed. You will be redirected to User Main page after 5 seconds.

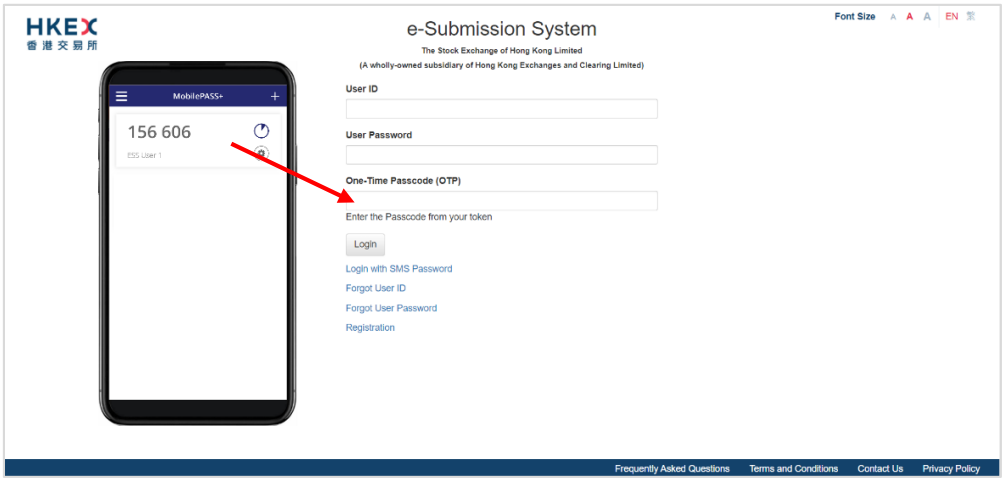


Notes:

- The screen displays and the images of the SafeNet MobilePASS+ are for reference and illustration purposes only.
- If your assigned token has been revoked previously (e.g. change of mobile device), your Security Officer has to assign a new token to you. You have to repeat the steps above to re-activate your user account.
- Following the steps above, you can set up multiple tokens within a single MobilePASS+ application if you have different roles in the ESS. For easy identification, you may tap ⚙ to update the Display Name of each token.

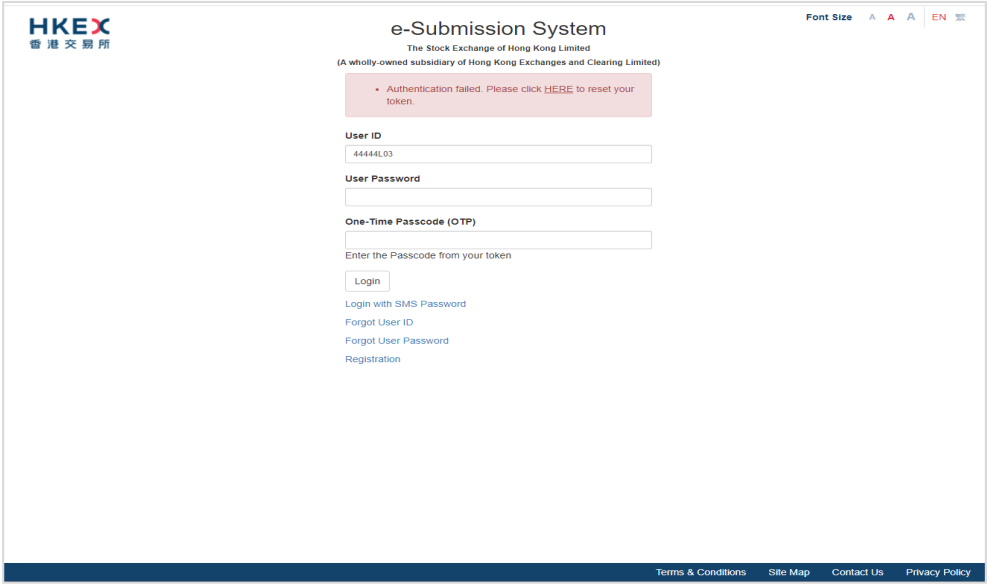
2.2 Logging into the ESS

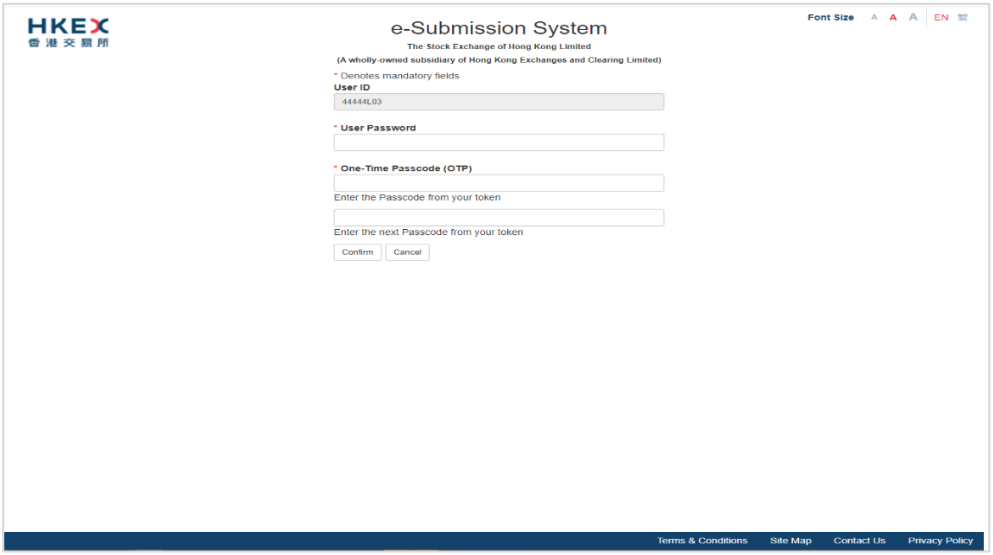
1. On ESS Main page, enter your User ID, Password and One-Time Passcode (OTP) generated from the assigned token and then click LOGIN.



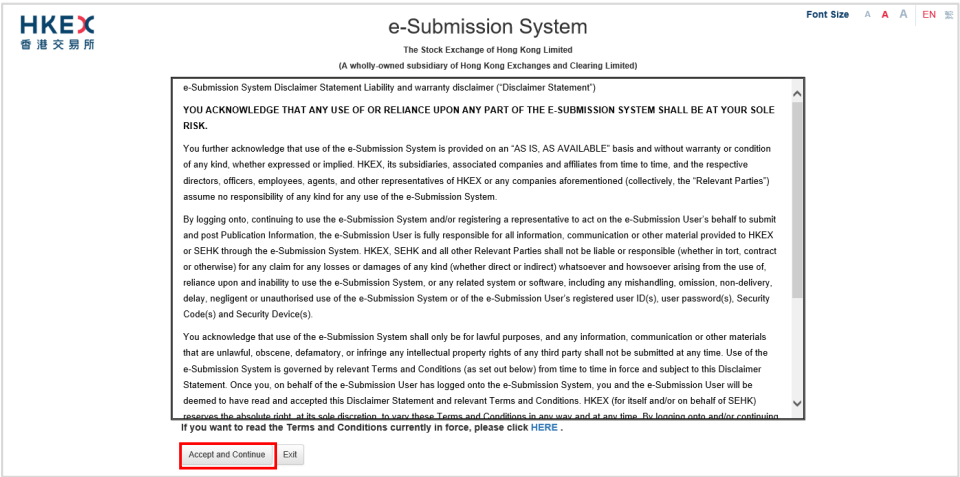
Notes:

- User Password is case sensitive.
- If an incorrect User Password and/or OTP generated from the security token was entered 5 consecutive times, your user account will be locked until it is unlocked by your company's security officer. A locked account cannot be used.
- If the date when you last changed your password is more than 90 days ago, the system will require you to change your user password immediately. You will not be able to use any function on the ESS until your password is changed (refer to Section 3.3 "Change Your Own User Password").
- If you leave the ESS idle for 30 minutes, you will be logged out automatically for security reason.
- Multiple logins are not allowed.
- If you have forgotten your User ID, you can click "Forgot User ID" to retrieve your login ID (refer to Section 2.4 Forgot User ID).
- If you have forgotten your User Password, you can click "Forgot User Password" to reset your password (refer to Section 2.5 Forgot User Password).
- If you cannot retrieve One-Time Passcode (OTP) from your assigned security token, you can click "Login with SMS Password" which serves as a **back-up channel** for you to access the ESS (refer to Section 2.3 Login with SMS Password).
- Deviation of time setting of your mobile device may result in OTP verification error. In this case, you should click the link "HERE" in the error message. System will ask you to input your User Passwords and the two consecutive OTPs to reset your security token. After you have successfully reset your security token, a successful message will be displayed.

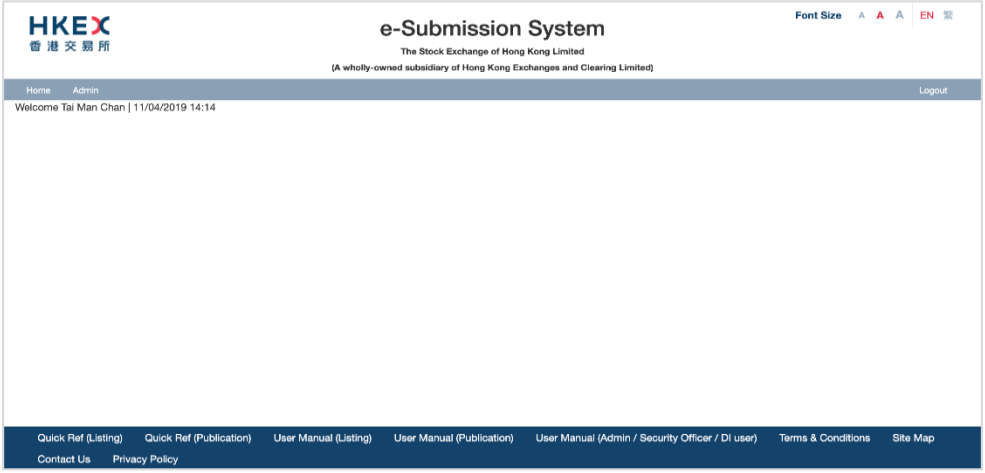




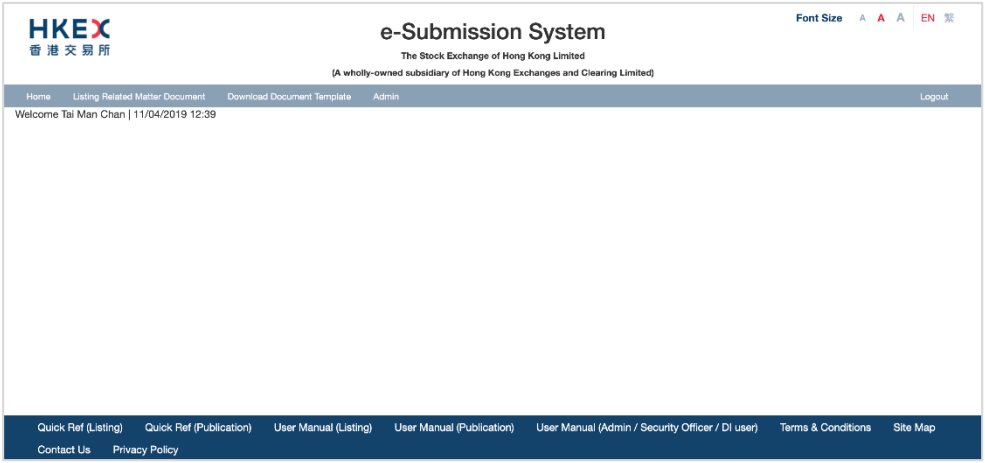
2. Read the disclaimer statement carefully. Then click ACCEPT AND CONTINUE to accept the terms and conditions to proceed or click EXIT to go back to Main page.



3. User Home page will be displayed.



User Home page for Authorised Person / Security Officer / DI User



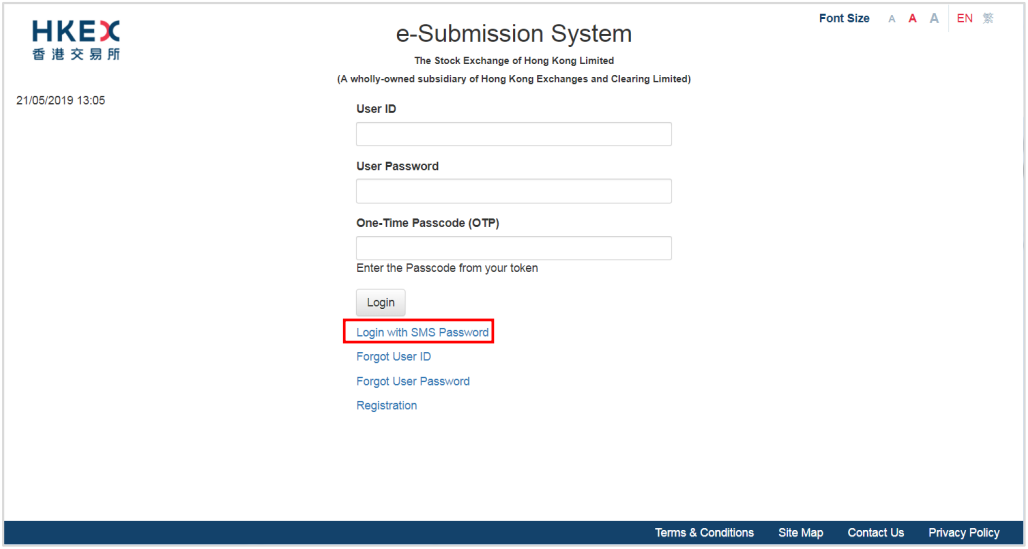
User Home page for Administrator

2.3 Login with SMS Password

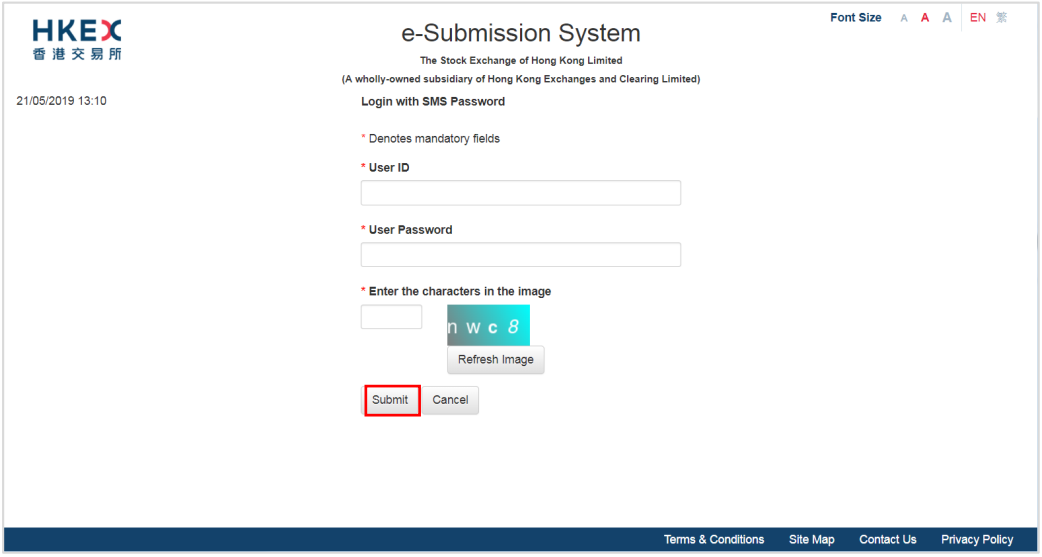
Login with SMS Password is a **back-up channel** for users to access the ESS when user cannot retrieve OTP from the assigned security token. User can click "Login with SMS Password" at the Main page to request a One-Time Password by providing User ID and Password. The One-Time Password will be sent through SMS to user's registered mobile number.

To login the ESS with SMS Password,

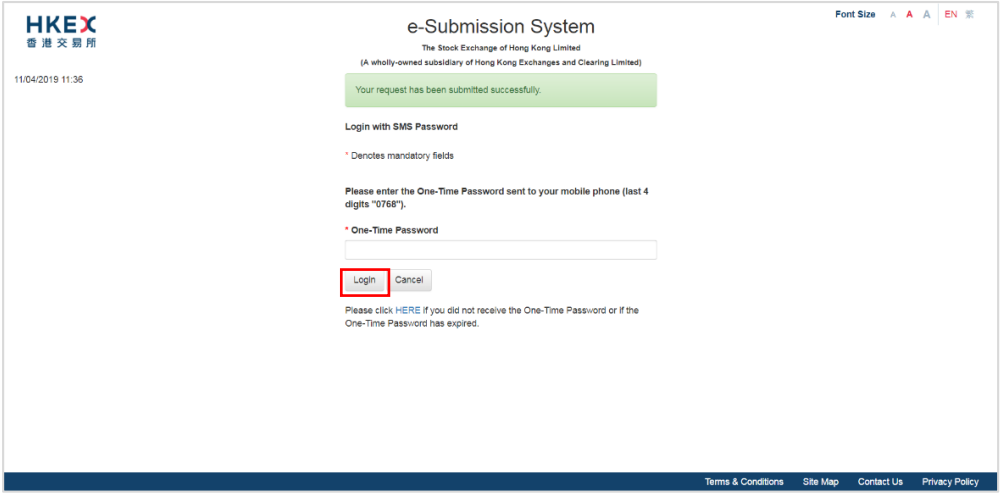
1. Click "Login with SMS Password" on the Main page.



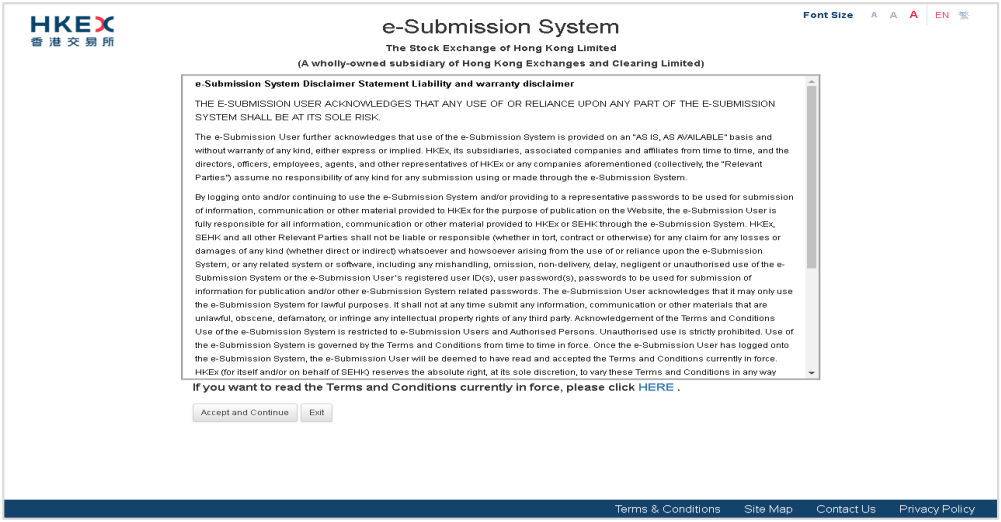
2. Enter your User ID, User Password and the characters in the image. Click SUBMIT.



3. A One-Time Password will be sent to your registered mobile phone number via SMS. Input One-Time Password and click LOGIN.

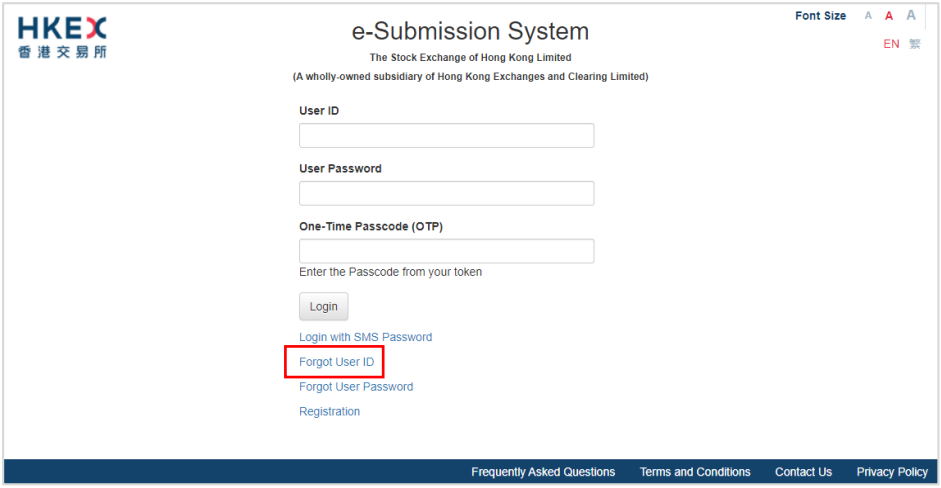


4. Read the disclaimer statement carefully. Then click ACCEPT AND CONTINUE to accept the terms and conditions to proceed or click EXIT to go back to Main page.

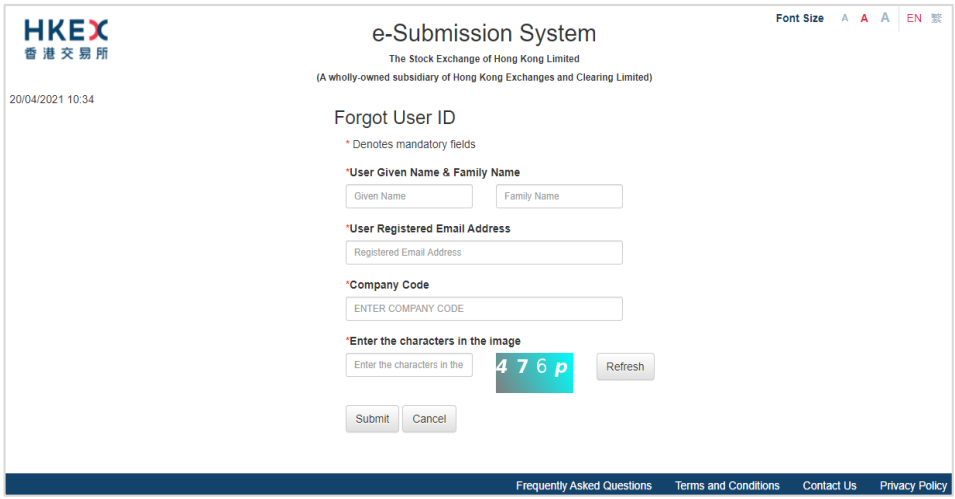


2.4 Forgot User ID

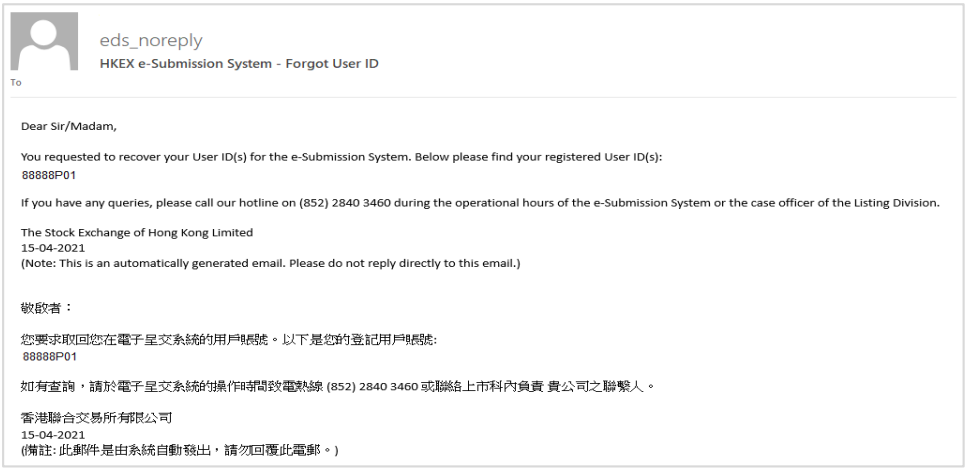
1. If you have forgotten your User ID, you may click “Forgot User ID” at the Main page.



2. Fill in your User Name (User Given Name & Family Name), Registered Email Address, Company Code, the characters in the image and click SUBMIT.

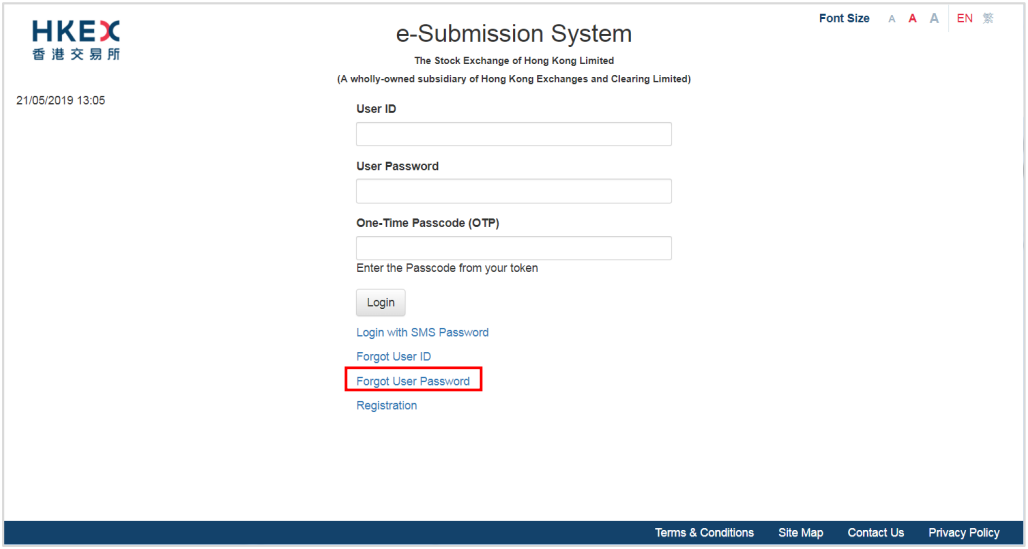


3. An email will be sent to the registered email address listing all User IDs matched with the information provided in step 2 above.

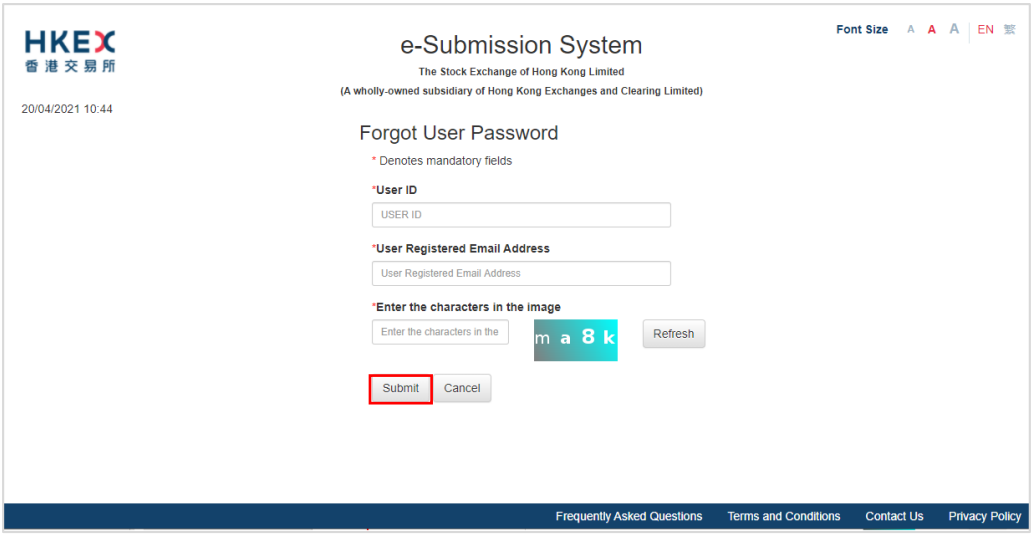


2.5 Forgot User Password

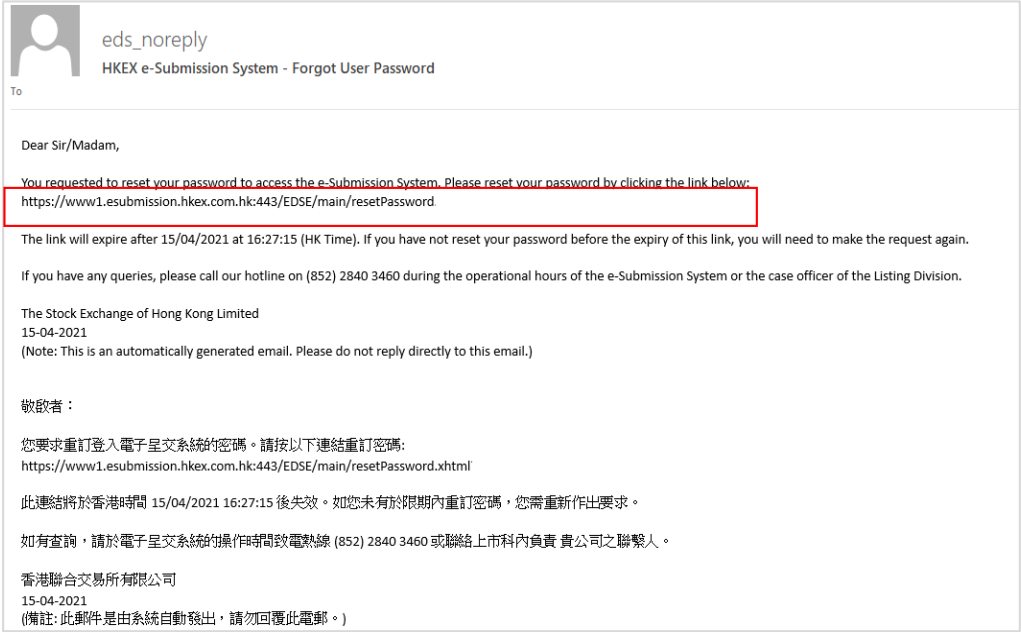
1. If you have forgotten your user password, you may click "Forgot User Password" at Main page.



2. Fill in your User ID, Registered Email Address, the characters in the image and click SUBMIT.



3. An email contains the URL will be sent to your registered email address. Click the URL in the email to reset your password. If the URL is not clickable, try copying and pasting it into the address bar of your web browser.


eds_noreply
HKEX e-Submission System - Forgot User Password
To

Dear Sir/Madam,

You requested to reset your password to access the e-Submission System. Please reset your password by clicking the link below:
https://www1.esubmission.hkex.com.hk:443/EDSE/main/resetPassword

The link will expire after 15/04/2021 at 16:27:15 (HK Time). If you have not reset your password before the expiry of this link, you will need to make the request again.

If you have any queries, please call our hotline on (852) 2840 3460 during the operational hours of the e-Submission System or the case officer of the Listing Division.

The Stock Exchange of Hong Kong Limited
15-04-2021
(Note: This is an automatically generated email. Please do not reply directly to this email.)

敬啟者：

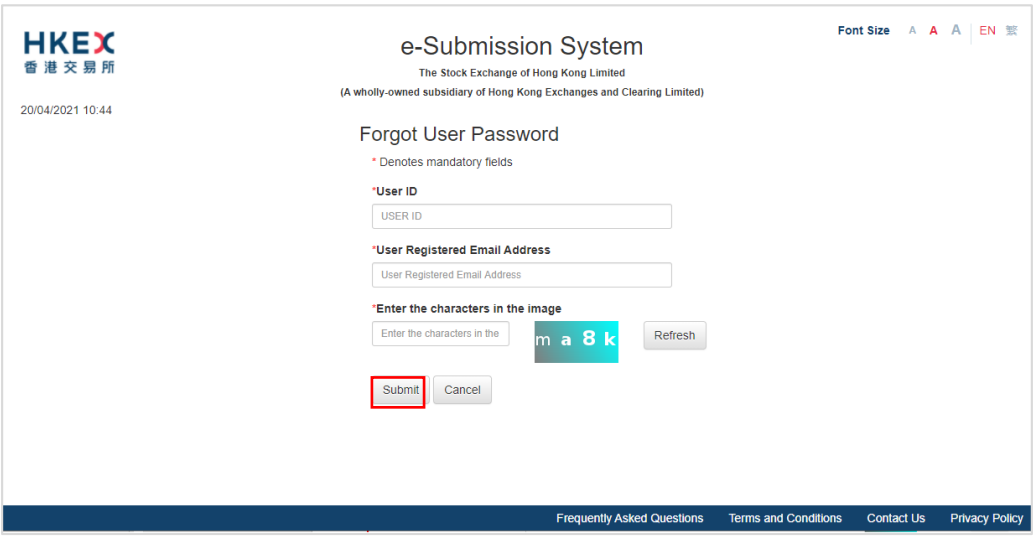
您要求重訂登入電子呈交系統的密碼。請按以下連結重訂密碼:
https://www1.esubmission.hkex.com.hk:443/EDSE/main/resetPassword.xhtml

此連結將於香港時間 15/04/2021 16:27:15 後失效。如您未有於限期內重訂密碼，您需重新作出要求。

如有查詢，請於電子呈交系統的操作時間致電熱線 (852) 2840 3460 或聯絡上市科內負責 貴公司之聯繫人。

香港聯合交易所有限公司
15-04-2021
(備註: 此郵件是由系統自動發出，請勿回覆此電郵。)

4. Input your User ID, New Password and Re-type New Password. Then click SUBMIT.



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

Notes:

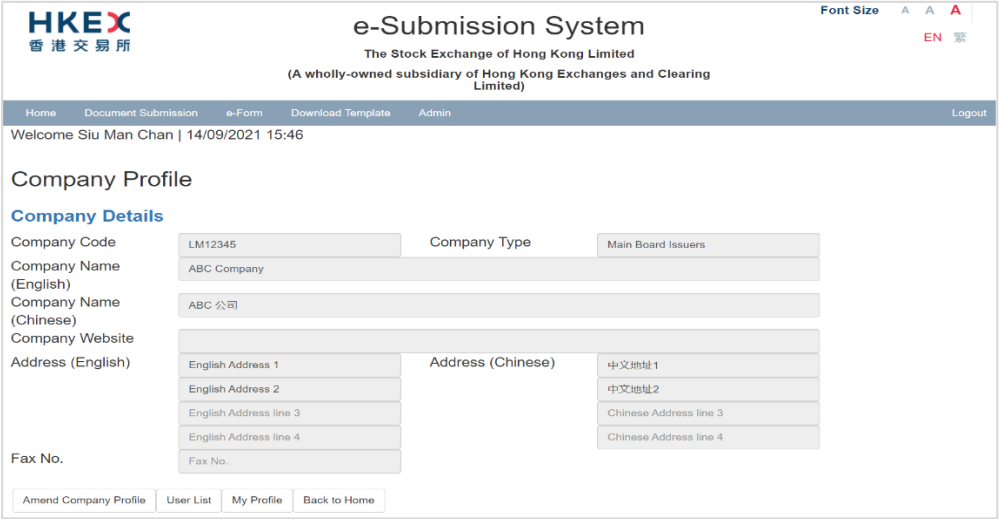
- User password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9). It shall not be the same as any of the last 5 passwords (including your Current Password).
- The URL to reset the password will be expired after 30 minutes.

3 Common Administrative Functions

This section covers the common administrative functions under Profile Admin functions which are applicable to Authorised Person, Administrator, Security Officer and DI user. For functions which are specific to particular user type, please refer to the corresponding section in this manual.

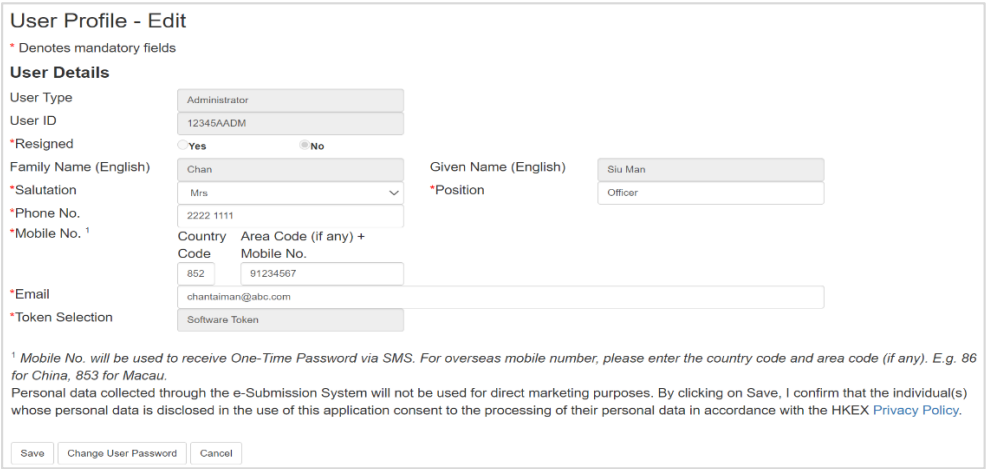
3.1 View Your Company's Profile

1. Select **Profile Admin** under **Admin** from Main Menu.
2. Your Company Profile will be displayed.



3.2 View and Update Your Own User Profile

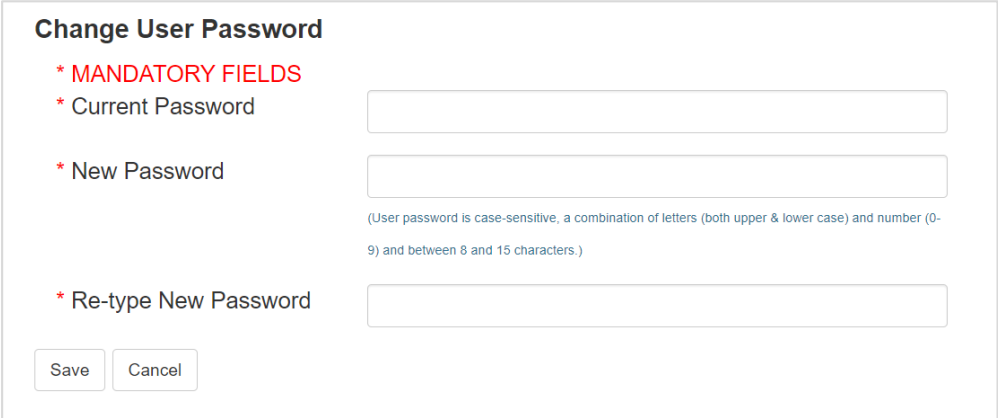
1. On the Company Profile page, click MY PROFILE.
2. Review and update as required. Click SAVE after you have finished editing.



3.3 Change Your Own User Password

1. On your User Profile page, click CHANGE USER PASSWORD.

2. Input your Current Password and a New Password. Re-enter the New Password and then click SAVE.



Notes:

- User Password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9). It shall not be the same as any of the last 5 passwords (including your Current Password).
- User Password is not allowed to change again within 24 hours.

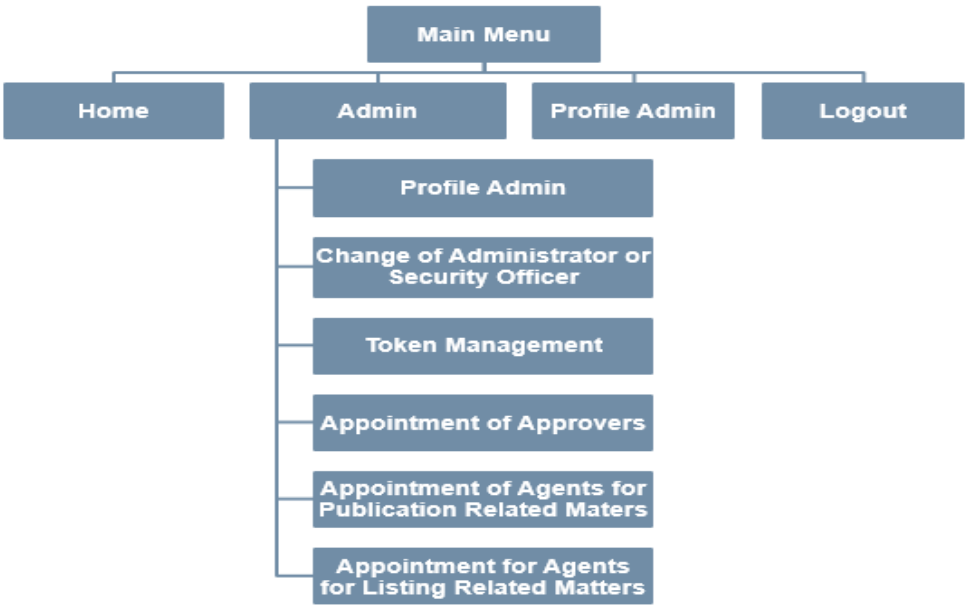
3. If your password has been changed successfully, an acknowledgement message will be displayed.

4 For Authorised Person

This section only covers functions unique to the Authorised Person.

4.1 User Menu for Authorised Person

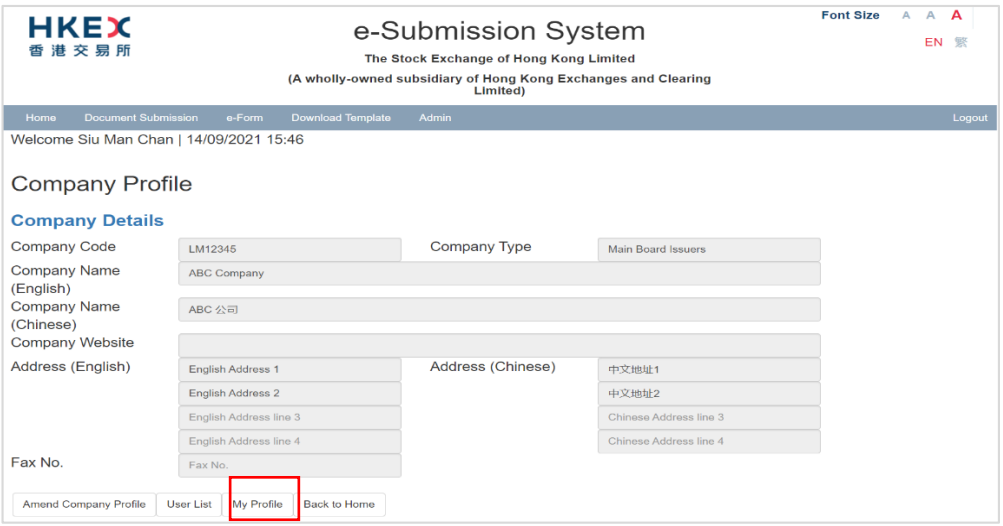
The Authorised Person's user menu is subdivided into the following categories:



4.2 Profile Admin

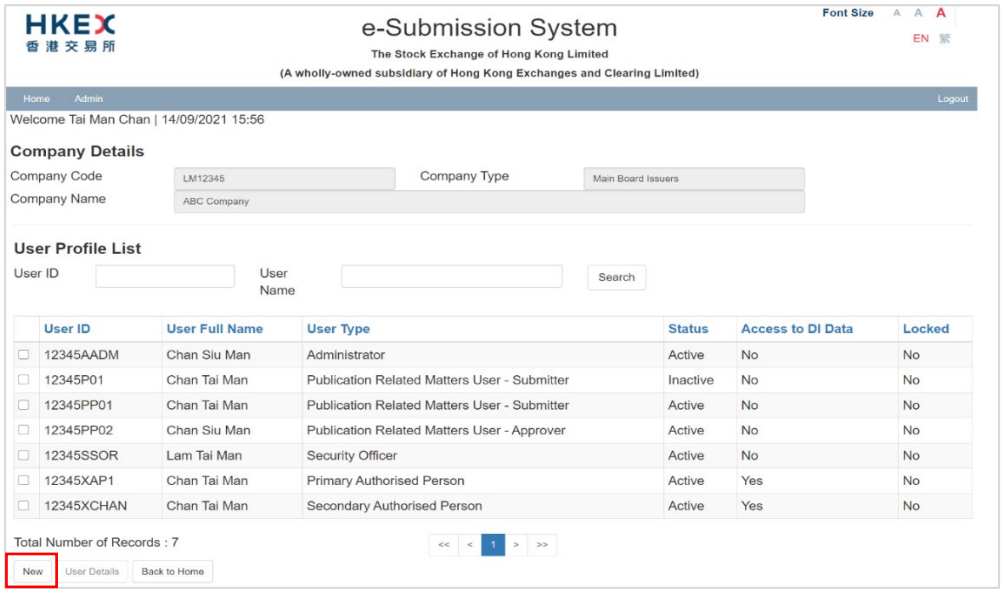
The Authorised Person of a Company is responsible to maintain his/her company's user accounts, including create or delete users. Through the Profile Admin function, you can create or delete Publication Related Matter user, Listing Related Matter user or DI user of the company and approve the user creation initiated by Security Officer.

1. Select **Profile Admin** from **Admin**.
2. The Company Profile page will be displayed. Click USER LIST.

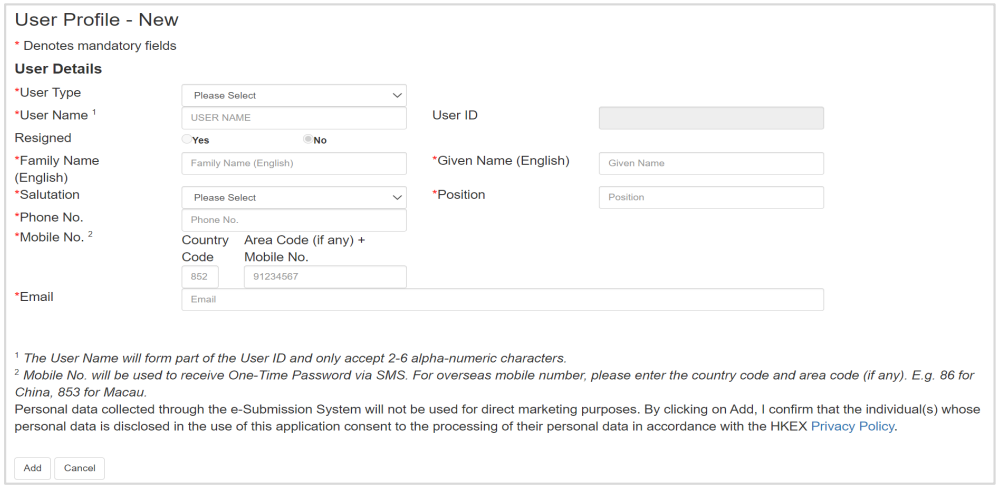


4.2.1 Create a User

1. On the User Profile List page, click NEW.



2. Select the User Type and fill in the new user's details. Click ADD.

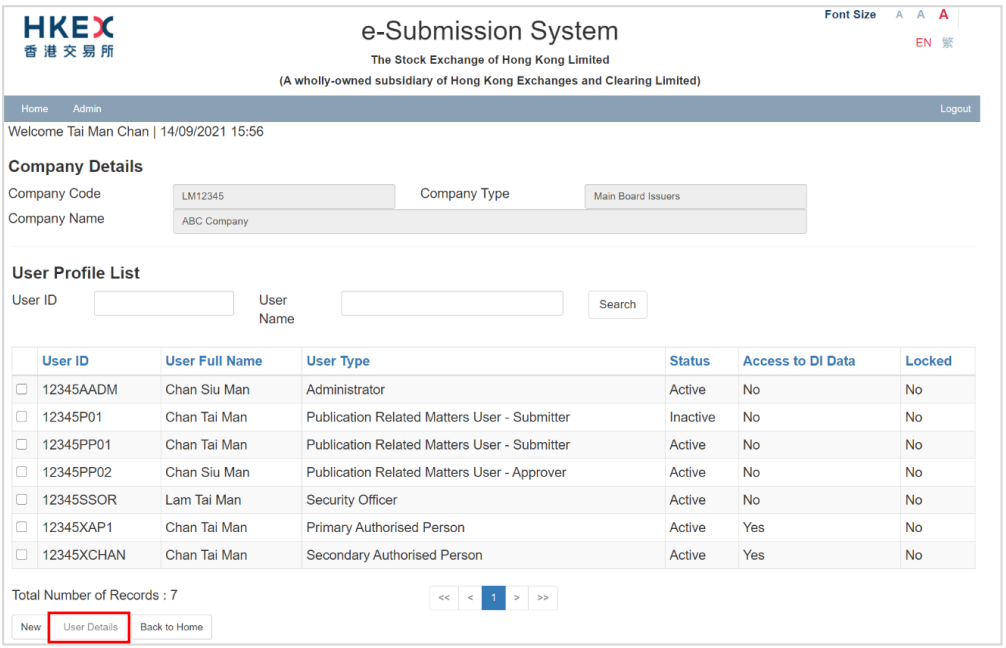


3. If the user has been created successfully, an acknowledgement message will be displayed. An email notification will be sent to the new user.

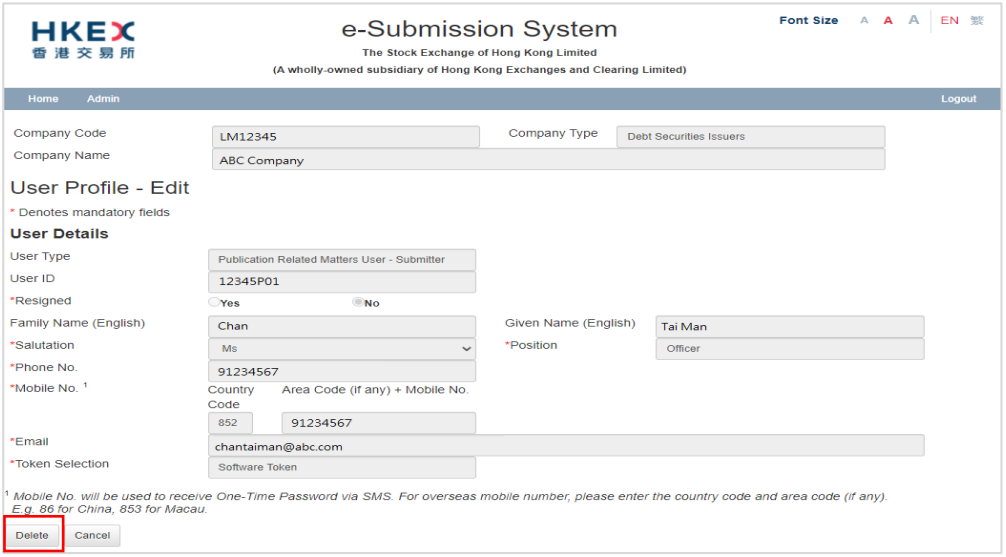
   New user can immediately set up his/her token at the first-time login to the ESS (refer to "First-time Login to e-Submission System" on relevant user manual for user activation procedure).

4.2.2 Delete a User

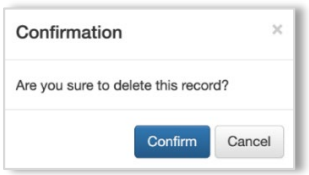
1. On the User Profile List page, select the user to delete by checking the appropriate selection box. Then click USER DETAILS.



2. Review the User Profile. Click DELETE if this is the user account you wish to delete.



3. The Confirmation dialog box will be prompted. Click CONFIRM.

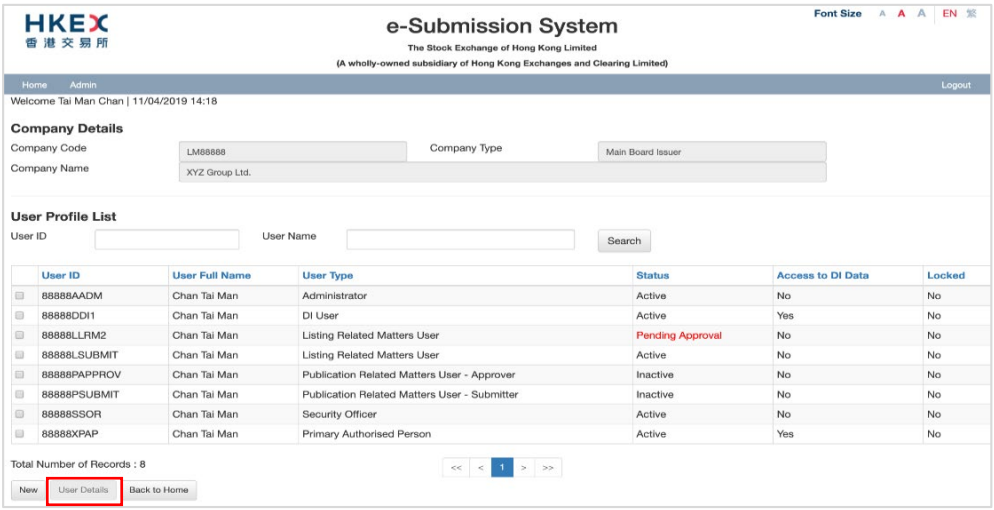


4. If the user account has been deleted successfully, an acknowledgement message will be displayed.

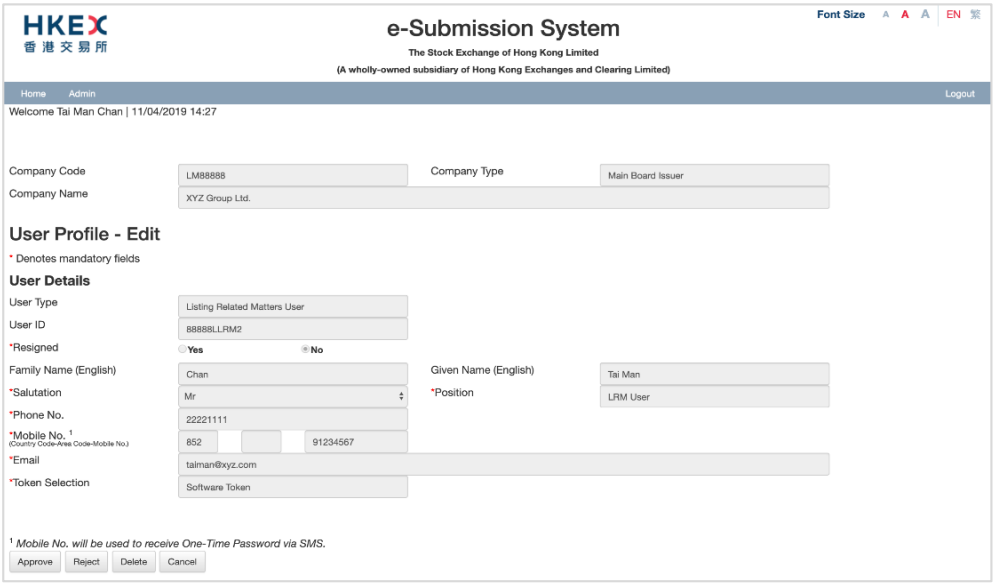
4.2.3 Approve User Creation Initiated by Security Officer

Authorised Person can create a new user (refer to Section 4.2.1) by your own or approve the request initiated by your Company's Security Officer. To approve the request for user creation from your Security Officer, please follow the steps set out below:

1. On the User Profile List page, select the user (user status is "Pending Approval") and click USER DETAILS.



2. Review the user profile. Click APPROVE (or REJECT to reject the user creation).

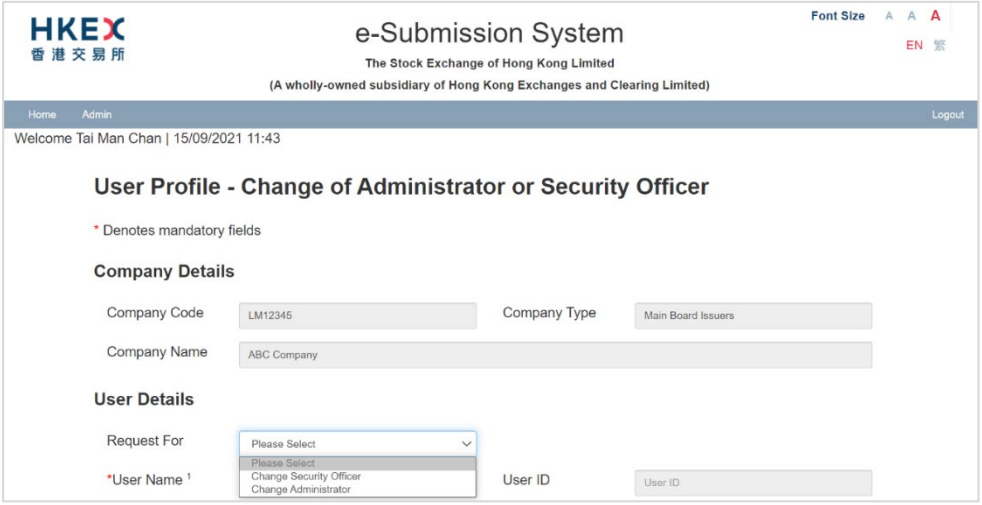


3. If the request has been approved or rejected successfully, an acknowledgement message will be displayed. For rejected request, the Security Officer has to submit a new request for user creation.

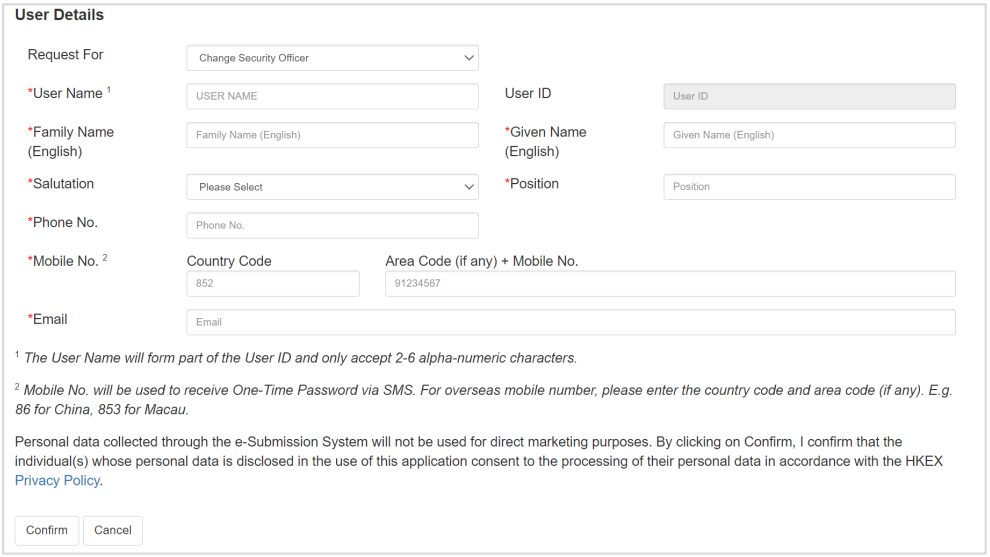
   An email notification will be sent to the new user. New user can immediately setup his/her token at the first-time login to the ESS (refer to "First-time Login to e-Submission System" on relevant user manual for user activation procedure).

4.3 Change of Administrator or Security Officer

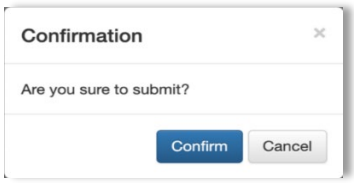
1. Select **Change of Administrator or Security Officer** under **Admin**.
2. Select the request for "Change Administrator" or "Change Security Officer".



3. Enter the user profile information and then click CONFIRM.



4. The Confirmation dialog box will be prompted. Click CONFIRM to confirm the change.



5. If the Administrator or Security Officer has been changed successfully, an acknowledgement message will be displayed.

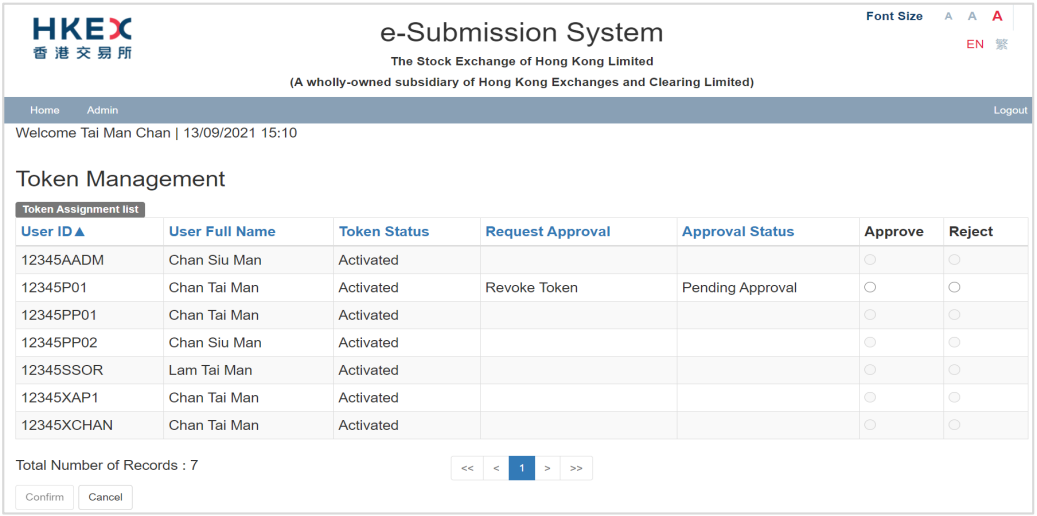
   An email notification will be sent to the new user. The new Administrator or Security Officer can immediately setup his/her assigned token at the first-time login to the ESS (refer to Section 2.1).

4.4 Token Management

Users' tokens are managed by their company's Security Officer. If your company's user reported his/her mobile device (containing the software token) has been changed, lost or stolen, your company's Security Officer should immediately revoke that user's token to prevent unauthorized access. Your company's Security Officer will submit the request for your approval.

To approve the request:

1. Select **Token Management** under **Admin** from Main Menu.
2. The Token Management page will be displayed. Select APPROVE and click CONFIRM.



3. If the request has been approved successfully, an acknowledgement message will be displayed. Your Security Officer would require to assign a new token to the user when he/she has been equipped with a new mobile device (refer to Section 6.3).

4.5 Appointment of Approvers

Authorised Person of listed issuers and agents can exercise control over the approval of document submissions of each approver according to its own internal control procedures of your company by enabling the Appointment of Approvers function. You can set criteria to control approvals to be made by your appointed approvers, either by the number of approvals or a time range or both.

The default setting is **disabled** (meaning that every approver can approve document submissions without restrictions). Authorised Person should practically consider to decide "Enable" or "Disable" this function according to its own internal control procedure. **If this function has been enabled, there would be a need to maintain the appointment list on a continuing basis.**

System will notify the Authorised Person(s) and/or Approver through email, to remind the expiry of the appointment according to the following scenarios:

- on the 7 calendar days before the appointment will expire; and
- on the expiration day of the appointment; and
- on the next calendar day (to Authorised Person(s) only) when all the appointments of approvers have expired.

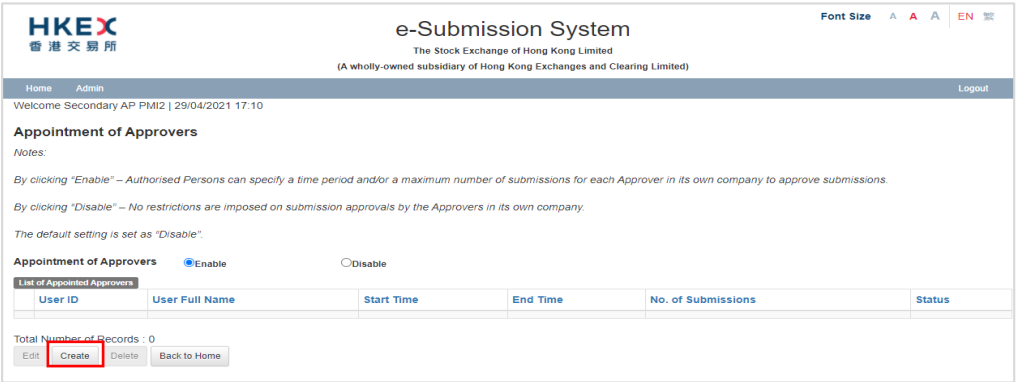
To enable the Appointment of Approvers function:

1. Select **Appointment of Approvers** under **Admin** from Main Menu.
2. The Appointment of Approvers page will be displayed. It is set to be "Disabled" by default. To enable this function, select the ENABLE button and click CONFIRM in the Confirmation dialog box.

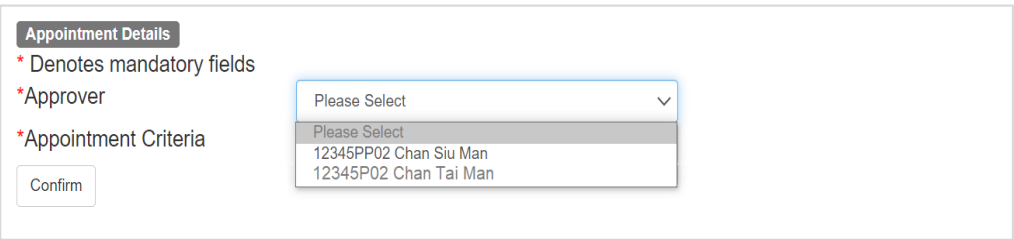
3. After the Appointment of Approvers function has been enabled, you need to appoint at least one approver to ensure a smooth submission process.

4.5.1 Appoint an Approver

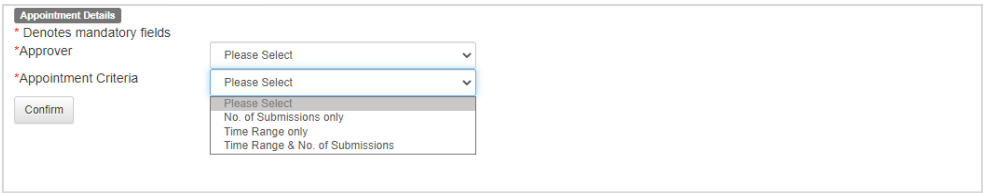
1. Click CREATE at Appointment of Approvers page.



2. Select an approver from the Approvers list.



3. Select Appointment Criteria to limit the appointment according to:-
   - "No. of Submissions Only" to pre-set the maximum number of submissions; or
   - "Time Range Only" to pre-set time range; or
   - "Time Range and No. of Submissions" to pre-set both time range and the maximum number of submissions.



4. Depending on selected Appointment Criteria, input the appointment Start Time / End Time and/or No. of Submissions. Click CONFIRM.

5. After the appointment has been created successfully, an acknowledgement message will be displayed.

Notes:

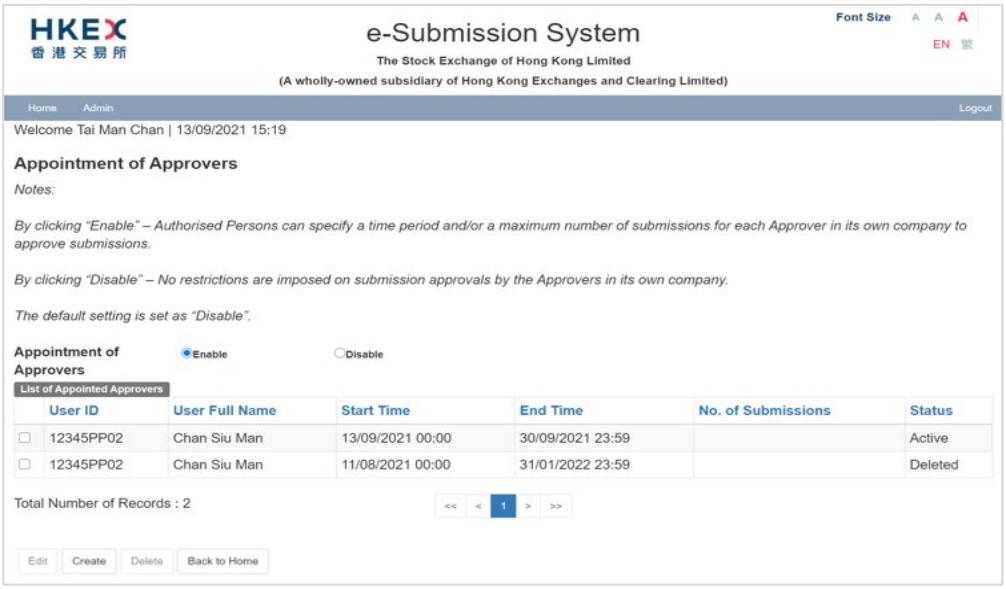
- The count of the No. of Submissions in the appointment will be deducted by one on the following situation:-
  - Approved submission for publication; or
  - Approved submission for correction of headline categories;
  - Approved removal of Documents on Display[1]; or
  - Approved submission for AP/PHIP (applicable for agent only).
- The Appointment Status will become "Expired" if its End Time has expired or the No. of Submission becomes zero. **After expiry of the appointment, the related Approvers will no longer be allowed to approve submission of documents for publication purpose.**
- Expired appointment will remain on the list for 30 days for record purpose.
- To ensure a smooth submission process, an up-to-date appointment list should be maintained on a continuing basis.
- Authorised Person should consider its own operational needs and internal control procedures when presetting the Appointment Criteria.

[1] Submission under the following headline categories:-
- Documents on Display; or
- Documents on Display (Debt Issuance Programmes); or
- Documents on Display (Debt Securities); or
- Documents on Display (Structured Products).

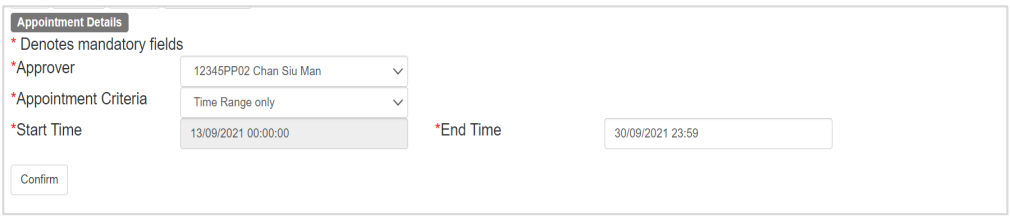
4.5.2 Edit or Delete an Appointment

Authorised Person can edit or delete the active appointment. If the appointment has been expired or deleted, that approver will not able to approve any submission for publication.

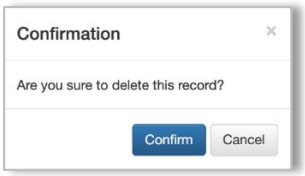
1. Select the appointed user, click EDIT to edit the appointment details or click DELETE to delete the appointment.



2. To update the appointment details, you may update the Appointment Criteria, Start Time / End Time and No. of Submissions, where appropriate. Then click CONFIRM.



3. To delete the appointment, a Confirmation dialog box will be prompted. Click CONFIRM to delete.



4. If the appointment has been updated or deleted successfully, an acknowledgement message will be displayed.

4.6 Appointment of Agents for Publication Related Matters

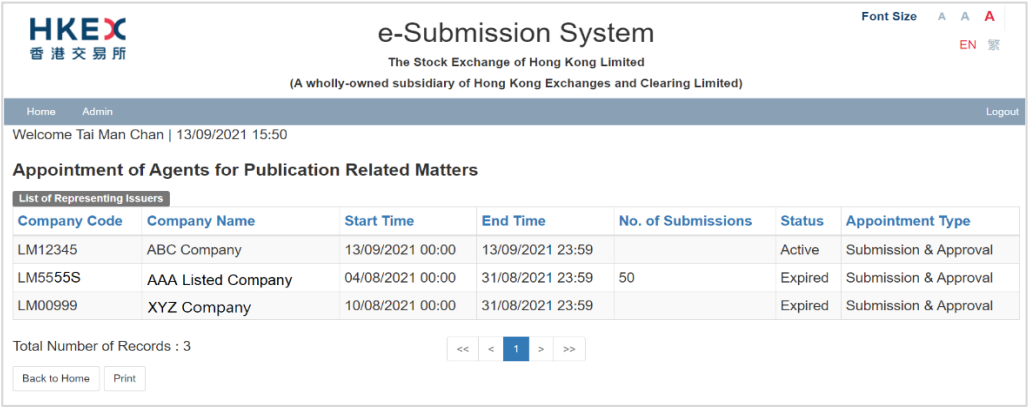
Authorised Person of a listed issuer can appoint its representing agents to submit and/or approve documents (including Announcement Forms, Return e-Forms and documents on display) on its behalf. You can also set criteria to control the submissions to be made by its appointed agents, either by the number of submissions or a time range or both.

Upon appointment, Authorised Person of an agent can view assignment via this function.

1. Select **Appointment of Agents for Publication Related Matters** under **Admin** from Main Menu.

2. For listed issuers, the Appointment of Agents for Publication Related Matters page will display a list of appointed agents, including the status and details of the respective appointments.

3. For agents, the Appointment of Agents for Publication Related Matters page will display a list of representing listed issuers, including the status and details of the respective appointments. You may print the full list of the representing issuers by clicking the PRINT button on this page.



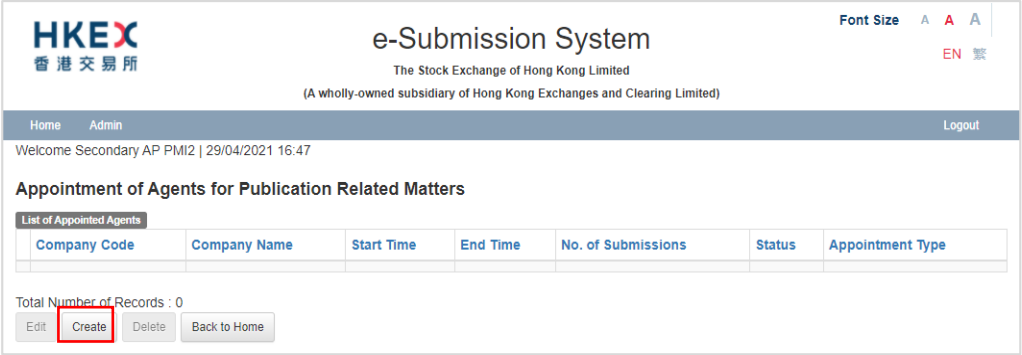
Notes:

- Agent can submit/ approve the publication related matters on behalf of the listed issuer only if the appointment status is “Active”.
- The Appointment Status will become “Expired” if the End Time has expired or the No. of Submission becomes zero. The expired appointment will remain on the list for 30 days for record purpose.

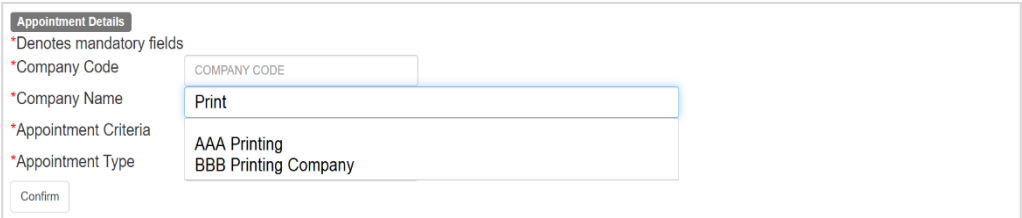
- The count for the No. of Submission of the Agent's appointment will be deducted by one in the following situations (including Submission for Publication, Correction of headline categories of a published document and removal of submission related to Documents on Display[2]):-
  - A submission is approved by the subject agent (either submitted by the issuer or other authorising agents); or
  - A submission is submitted by the subject agent and approved by the issuer.
- System will notify Authorised Person(s) of a listed issuer through email, to remind the expiry of the appointment:-
  - on the 7 calendar days before the appointment will expire; and
  - on the expiration day of the appointment; and
  - on the next calendar day when the appointments of the company have expired.

4.6.1 Appoint an Agent for Publication Related Matters

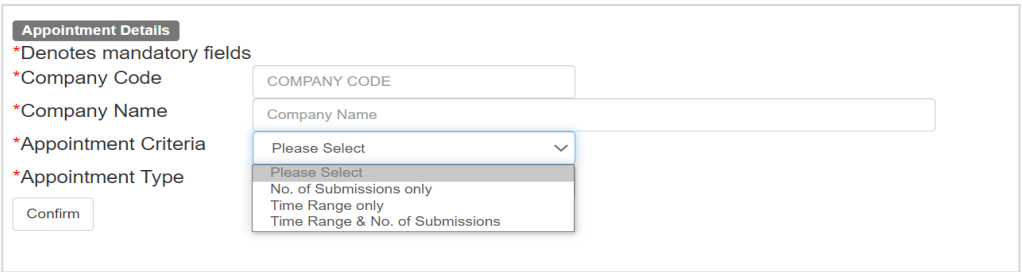
1. Click CREATE at the Appointment of Agents for Publication Related Matters page.



2. Enter the Company Code or enter the Company Name to search for the agent.

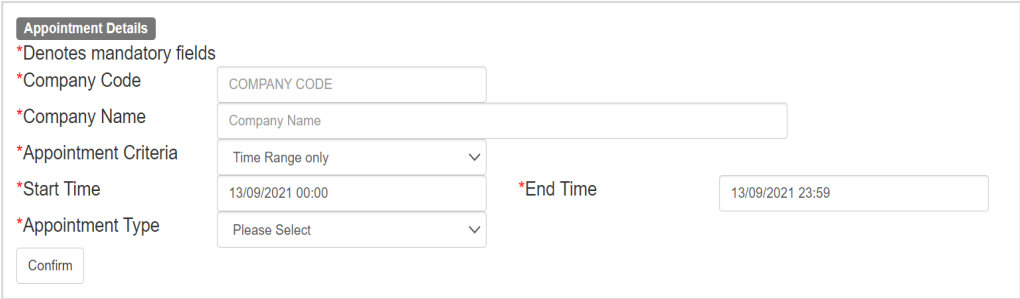


3. Select one of the Appointment Criteria to limit the appointment according to:-
   - "No. of Submissions Only" to pre-set the maximum number of submissions; or
   - "Time Range Only" to pre-set time range; or
   - "Time Range and No. of Submissions" to pre-set both time range and the maximum number of submissions.

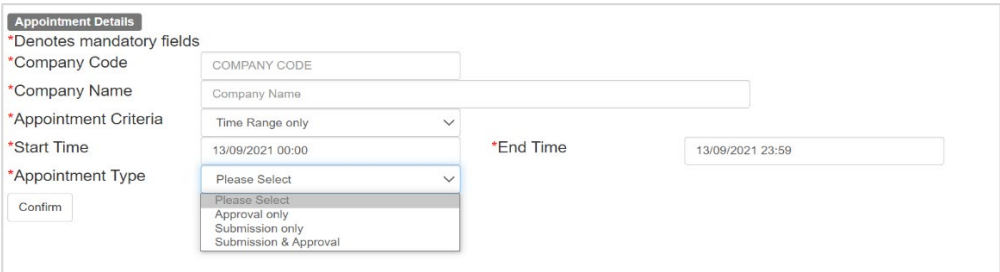


[2] Refer to footnote 1.

4. Depending on selected Appointment Criteria, input the appointment Start Time / End Time and/or No. of Submissions.



5. Assign the Appointment Type to determine the role of the agent by selecting:-
   - "Approval Only" to allow an agent to approve submissions on your behalf; or
   - "Submission Only" to allow an agent to submit documents on your behalf; or
   - "Submission & Approval" to allow an agent to submit and approve documents on your behalf.

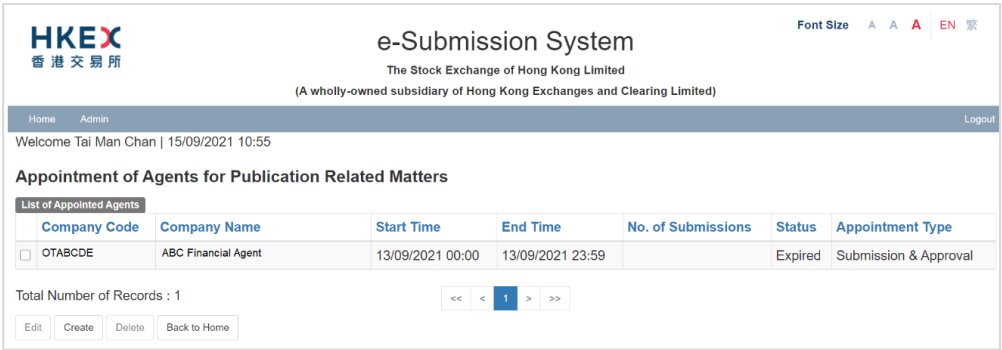


6. Click CONFIRM. If the appointment has been created successfully, an acknowledgement message will be displayed.

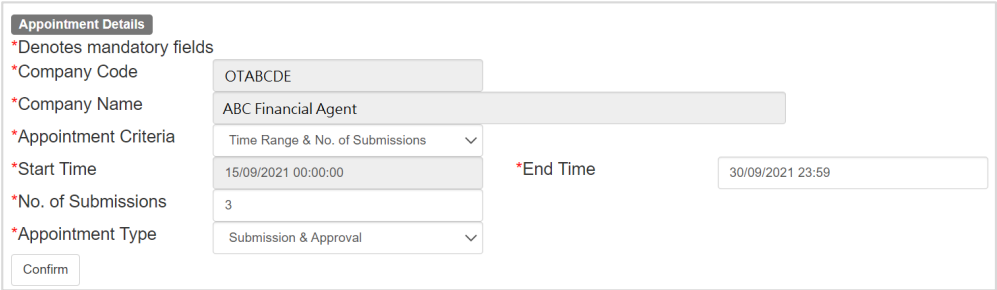
4.6.2 Edit or Delete an Appointment

Authorised Person of a listed issuer can edit or delete the active appointment. After the appointment has been expired or deleted, that agent will not able to represent your company for publication related matters.

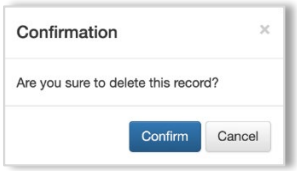
1. Select the appointed agent, click EDIT to edit the appointment details or click DELETE to delete the appointment.



2. To update the appointment details, you may amend the Appointment Criteria, Appointment Type, Start Time / End Time and No. of Submissions, where appropriate. Then click CONFIRM.



3. To delete the appointment, a Confirmation dialog box will be prompted. Click CONFIRM to delete.



4. If the appointment has been updated or deleted successfully, an acknowledgement message will be displayed.

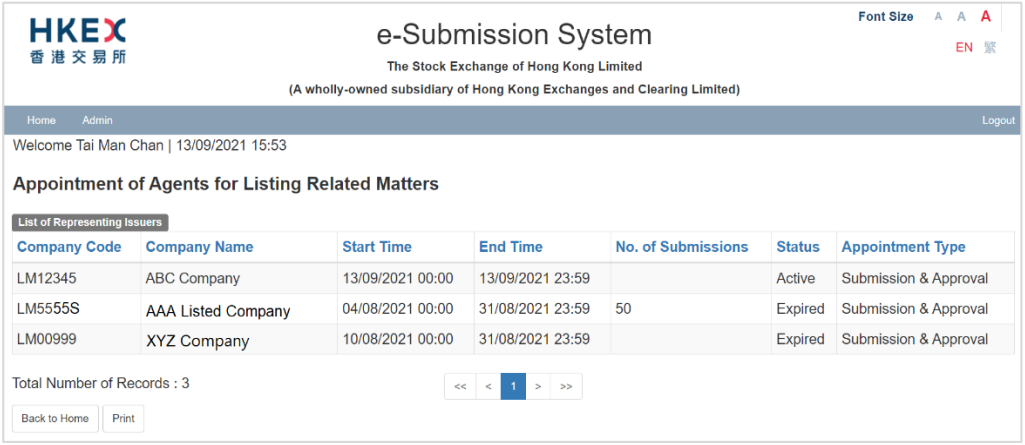
4.7 Appointment of Agents for Listing Related Matters

Authorised Person of a listed issuer can appoint its representing agents to submit Listing Related Matters e-Forms on its behalf. Upon appointment, Authorised Person of an agent can view assignment via this function.

1. Select **Appointment of Agents for Listing Related Matters** under **Admin** from Main Menu.

2. For listed issuers, the Appointment of Agents for Listing Related Matters page will display a list of appointed agents, including the status and details of the respective appointments.

3. For agents, the Appointment of Agents for Listing Related Matters page will display a list of representing listed issuers, including the status and details of the respective appointments. You may print the full list of the representing issuers by clicking the PRINT button on this page.

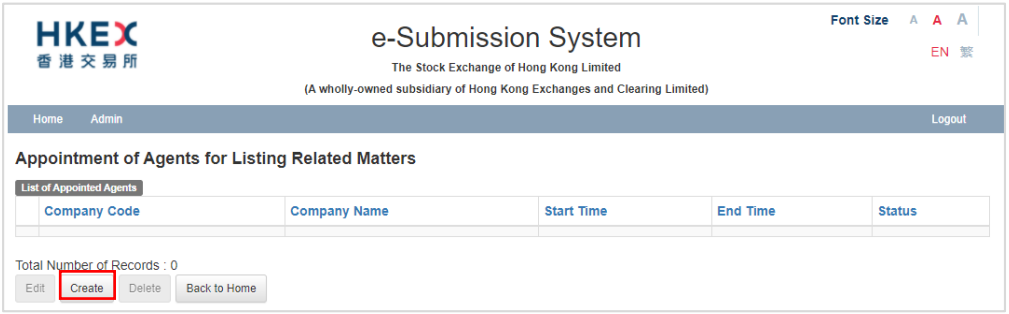


Notes:

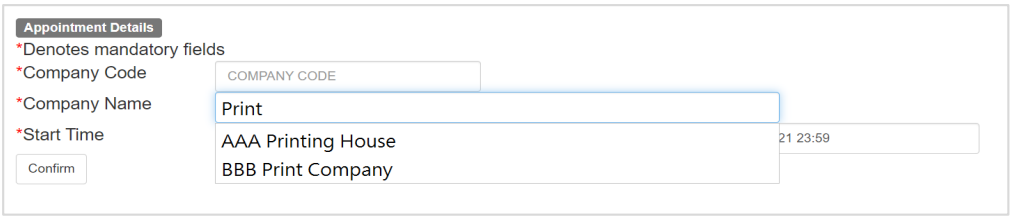
- Agent can submit on behalf of the listed issuer only if the appointment status is "Active".
- The Appointment Status will become "Expired" if its End Time has expired.
- Expired appointment will remain on the list for 30 days for record purpose.

4.7.1 Appoint an Agent for Listing Related Matters

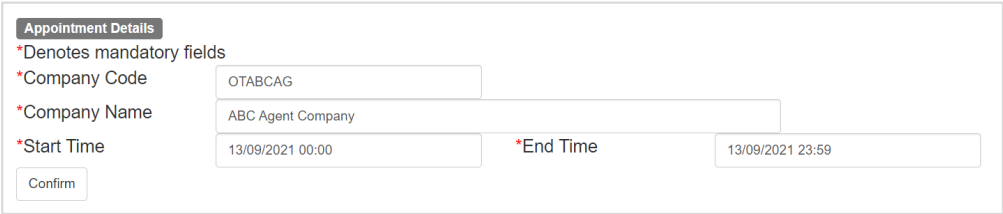
1. Click CREATE at Appointment of Agents for Listing Related Matters page.



2. Enter the Company Code or the Company Name to search for the agent.



3. Input the appointment Start Time / End Time. Click CONFIRM.



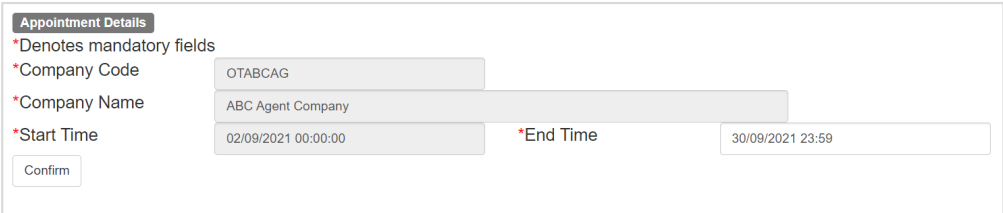
4. If the appointment has been created successfully, an acknowledgement message will be displayed.

4.7.2 Edit or Delete an Appointment

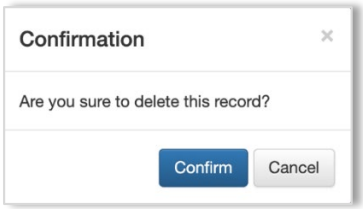
Authorised Person of a listed issuer can edit or delete the active appointment. If the appointment has been expired or deleted, that agent will not able to represent your company for e-Form submissions.

1. Select the appointed agent, click EDIT to edit the appointment details or click DELETE to delete the appointment

2. To update the appointment details, you may amend the End Time. Then click CONFIRM.



3. To delete the appointment, a Confirmation dialog box will be prompted. Click CONFIRM to delete.



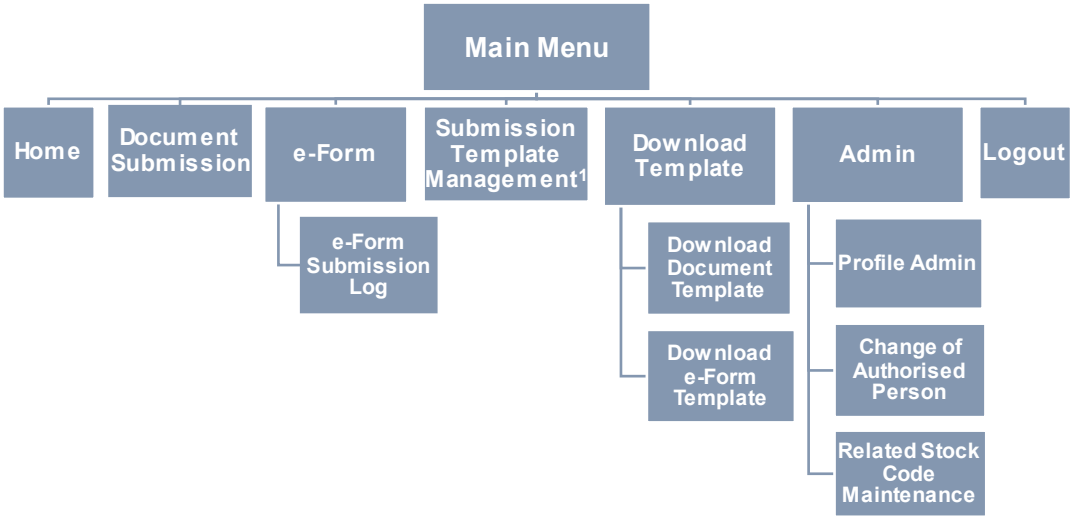
4. If the appointment has been updated or deleted successfully, an acknowledgement message will be displayed.

5 For Administrator

This section only covers functions unique to the Administrator. For the procedures of download template, please refer to the User Manual for Listing Related Matters.

5.1 User Menu for Administrator

The Administrator's user menu is subdivided into the following categories:



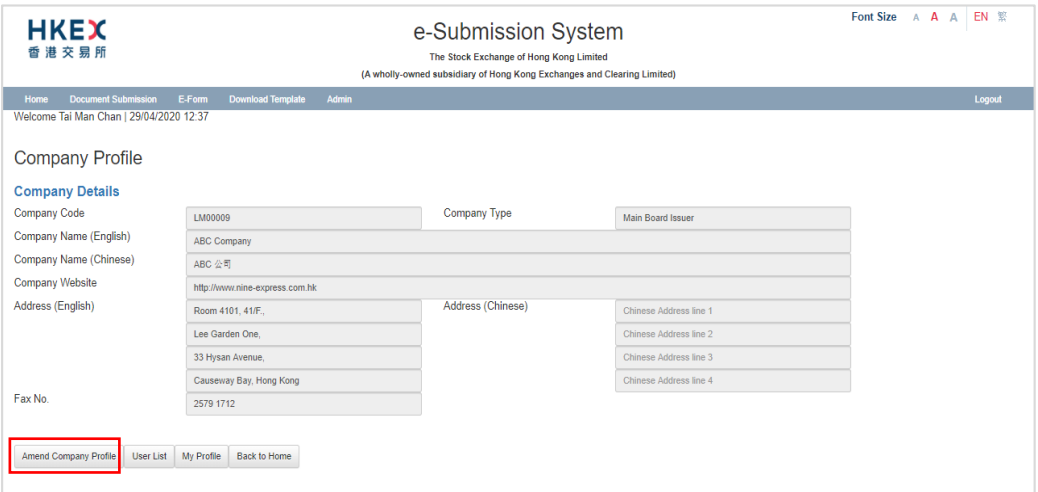
Note:
1. Applicable to Structured Product Issuers only.

5.2 Profile Admin

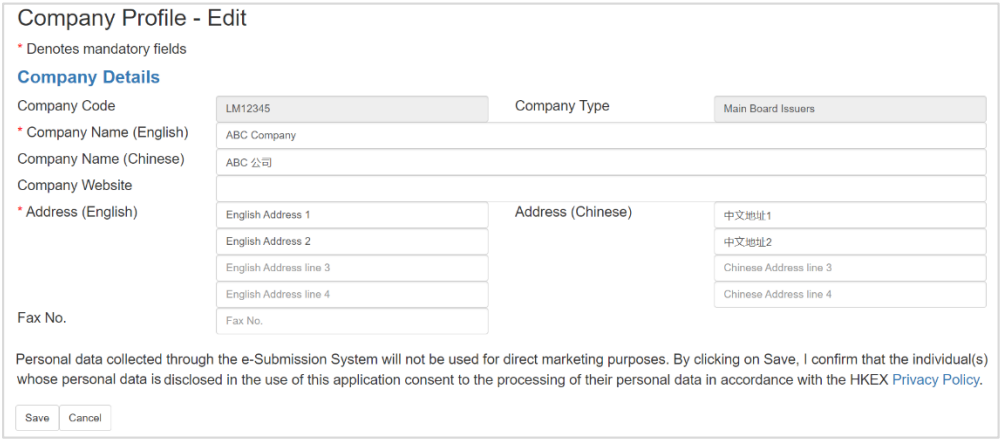
Administrator can maintain your company's profile and view your company's user profile list through the Profile Admin function.

5.2.1 Maintain Company's Profile

1. Select **Profile Admin** under **Admin** from Main Menu.
2. The Company Details page will be displayed. Click AMEND COMPANY PROFILE.



3. Amend the company's profile as required and then click SAVE.



4. If the company profile has been updated successfully, an acknowledgement message will be displayed.

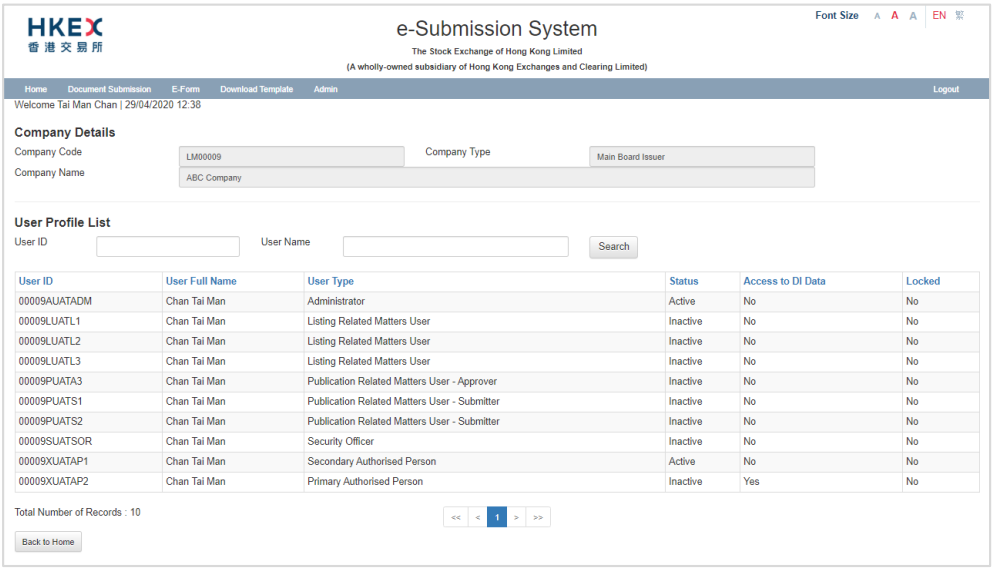
Note:

- Under the Listing Rules, every listed issuer must have its own website for publication of regulatory filings. Listed issuers should fill in the Company Website field with the hyperlink which should direct investors to the regulatory filings (not the home page of its company's website). The Exchange uses this information to update a list of company's website addresses on the HKEXnews website.

5.2.2 View User Profile List

1. Select **Profile Admin** under **Admin** from Main Menu. The Company Details page will be displayed.

2. Click USER LIST. The User Profile List page will be displayed.

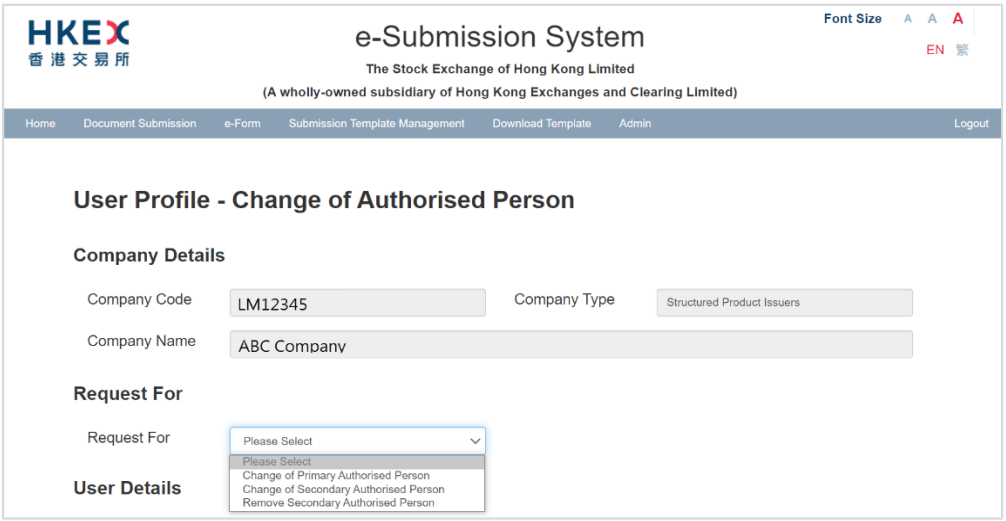


5.3 Change of Authorised Person

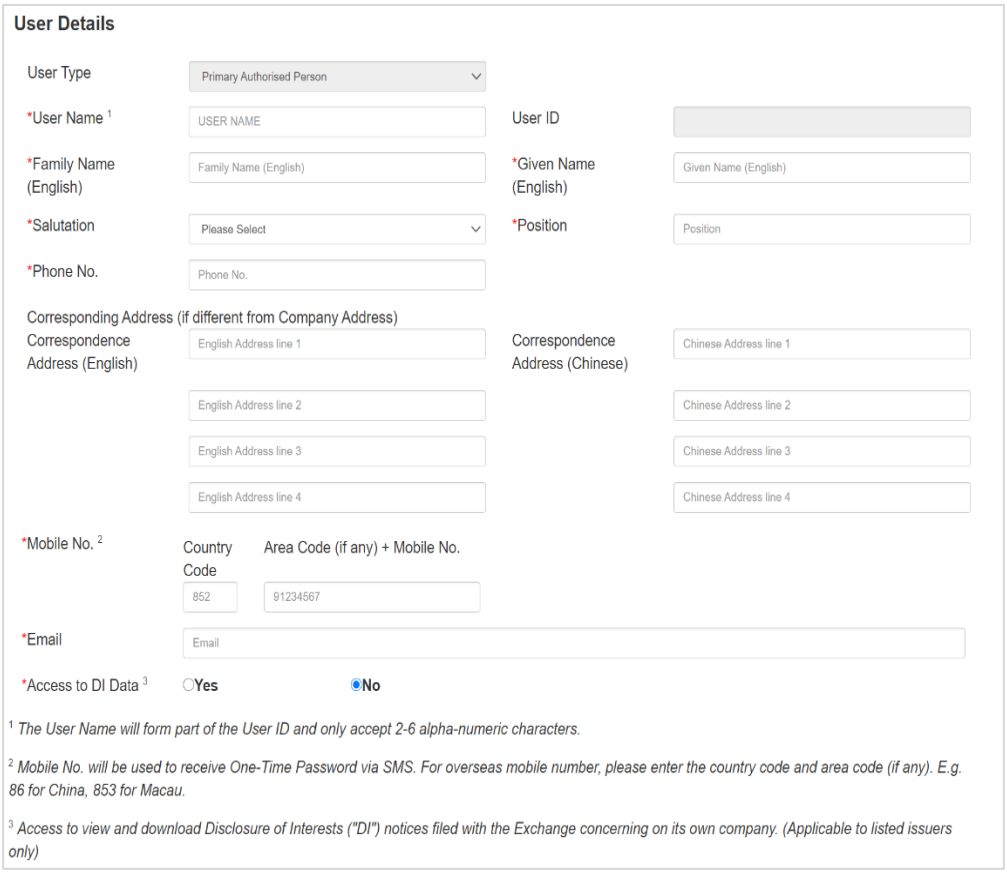
Administrator can submit the request to the Exchange for a change of Primary or Secondary Authorised Person and an additional or removal of the Secondary Authorised Person.

To submit a request:

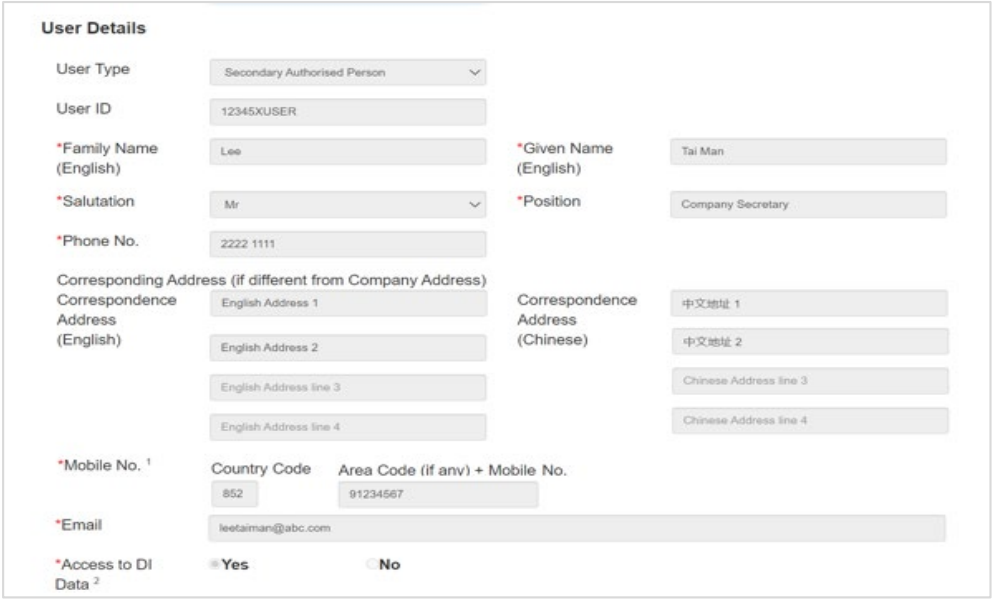
1. Select **Change of Authorised Person** under **Admin** from Main Menu.
2. Select the request as appropriate.



3. For the request for a change or an addition of authorised person, fill in the new Authorised Person's details including User Name, Contact Information etc.

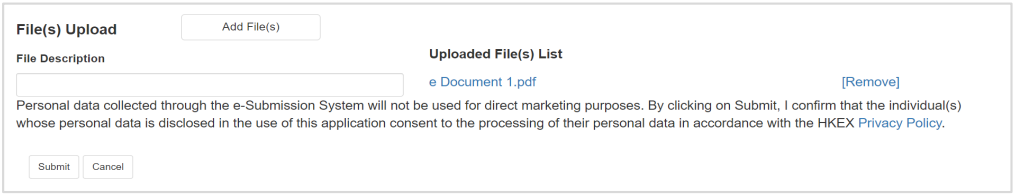


4. For the request for removal of secondary authorised person, the user details of Secondary Authorised Person the will be displayed for reference.

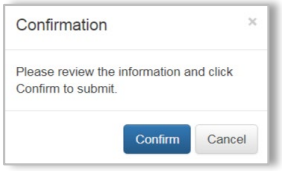


5. Click ADD FILE(S) to upload the supporting document(s). Enter the File Description for each uploaded file. You may upload up to 5 supporting files (such as board resolutions) in PDF, TIFF, JPG or DOCX format. The file size of each supporting file should not exceed 10MB.

   Review the submission details. Click SUBMIT.



6. A Confirmation dialog box will be prompted. Click Confirm to submit the request.



7. If the request has been submitted successfully, an acknowledgement message will be displayed.

Notes:

- After successful submission, an email notification will be sent to the Administrator.
- If the change of Authorised Person has been approved, an email notification will be sent to both Administrator and the New Authorised Person. You can find the User ID of the new Authorised Person in the email notification. The previous Authorised Person will be removed from the User Profile List.

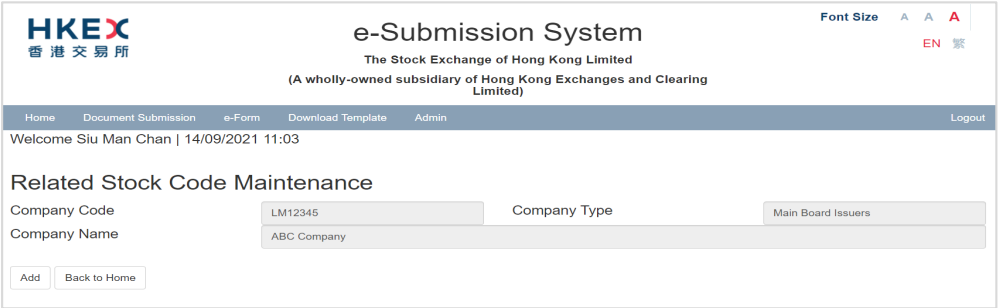
  The new Authorised Person can proceed to setup his/her security token on the first-time login to the ESS (refer to Section 2.1).

5.4 Maintain Related Stock Code

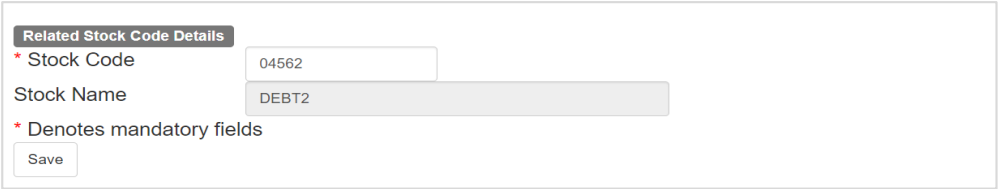
The "Related Stock Code List" is a list of stock codes maintained by equity issuers and Exchange Traded Products issuers for their related listed issuers and listed securities. It is used for validating the stock codes entered into the "Stock Code of Related Issuer(s)" field in each submission for publication. For the avoidance of doubt, the "Related Stock Code List" will not be applicable to debt issuers and structured product issuers.

To add or remove a related stock code:

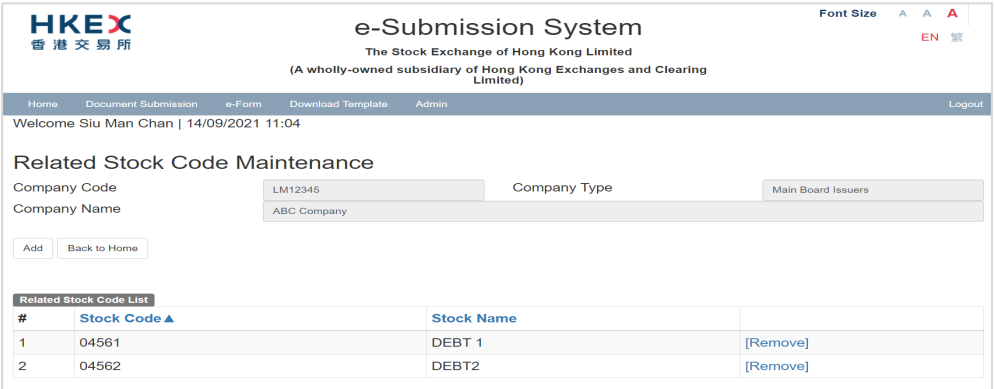
1. Select **Related Stock Code List Maintenance** under **Admin** from Main Menu.
2. The Related Stock Code Maintenance page will be displayed.



3. To add a stock to the Related Stock Code List, click ADD and enter its stock code. Then click SAVE.



4. To remove a stock from the Related Stock Code List, click REMOVE next to the stock code you wish to remove.



5. If the related stock code has been added or removed successfully, an acknowledgement message will be displayed.

5.5 Document Submission

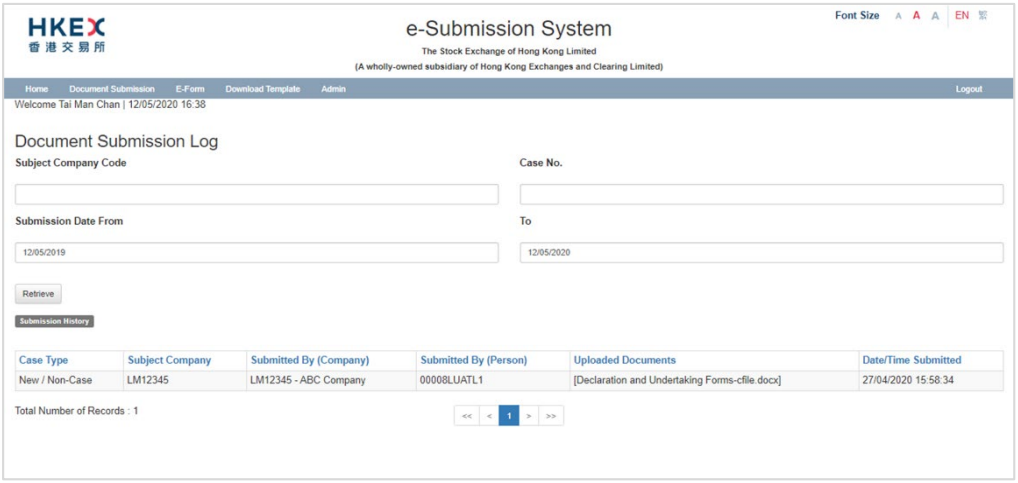
Administrator can view the submission log of both Listing Related Matter and Publication Related Matter of the company, including the records which are:-

- Submitted and/or approved by the company user; and
- Submitted and/or approved by the authorised agent on behalf of your company.

5.5.1 View Listing Related Matter Submission Log

To view the Listing Related Matter documents (not including e-Form) submission log:

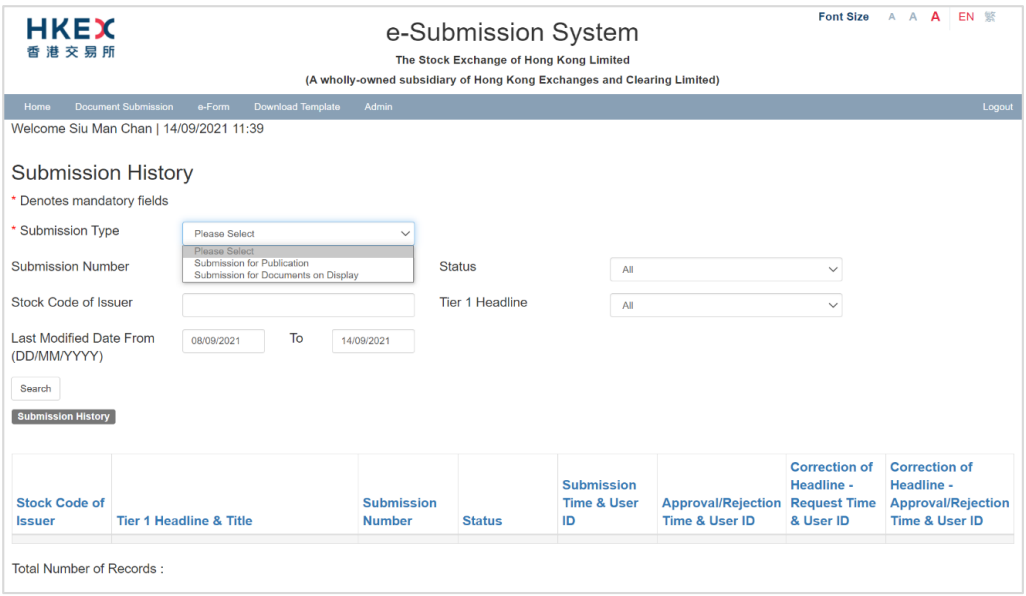
1. Select **Listing Related Matter Submission Log** under **Document Submission**.
2. The Document Submission Log will be displayed.



5.5.2 View Publication Submission Log

To view the Publication Related Matter documents submission log:

1. Select **Publication Submission Log** under **Document Submission** from Main Menu.
2. Select the "Submission Type" to search for the submission records.



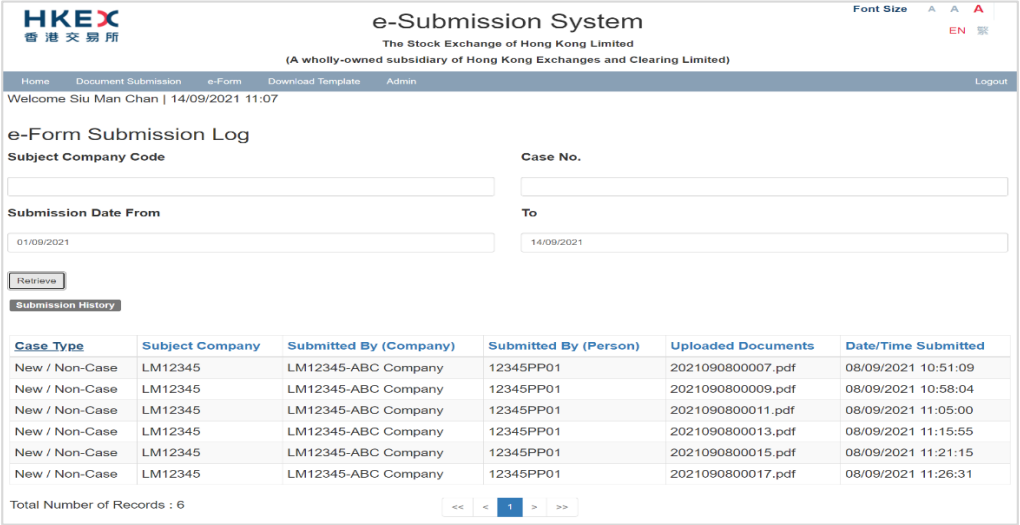
5.6 View e-Form Submission Log

The Administrator can view the e-Form submissions that are 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.

To view the e-Form Submission Log:

1. Select **e-Form Submission Log** under **e-Form** from Main Menu.
2. The e-Form Submission Log page will be displayed.



5.7 Submission Template Management (applicable to structured products issuers only)

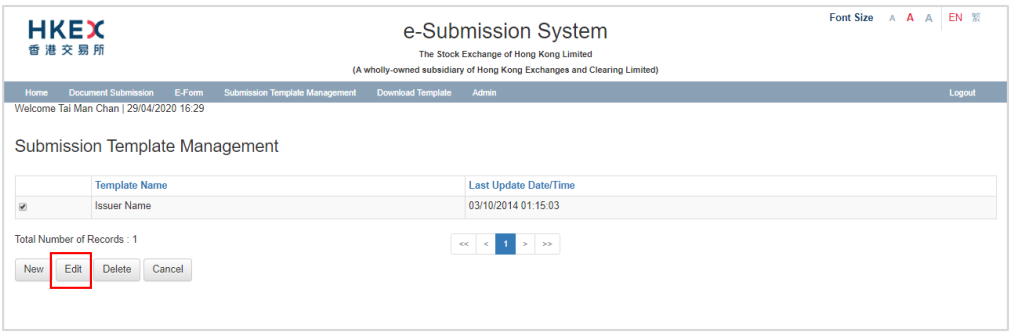
Administrator of Structured Product Issuers can create up to 12 submission templates.

5.7.1 Edit Issuer Name

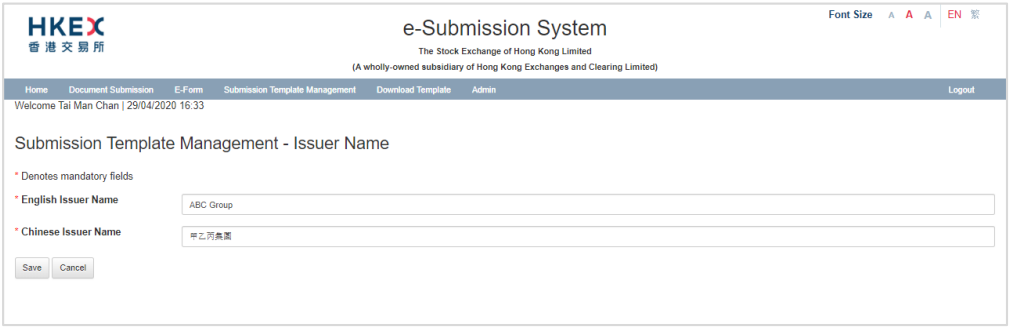
The Issuer Name is used for the auto-generated titles in Publication Related Matter submission (refer to Section 5.1 in User Manual for Publication Related Matters).

To edit Issuer Name:

1. Select **Submission Template Management** from Main Menu.
2. Choose “Issuer Name” from the list of templates, then click EDIT.



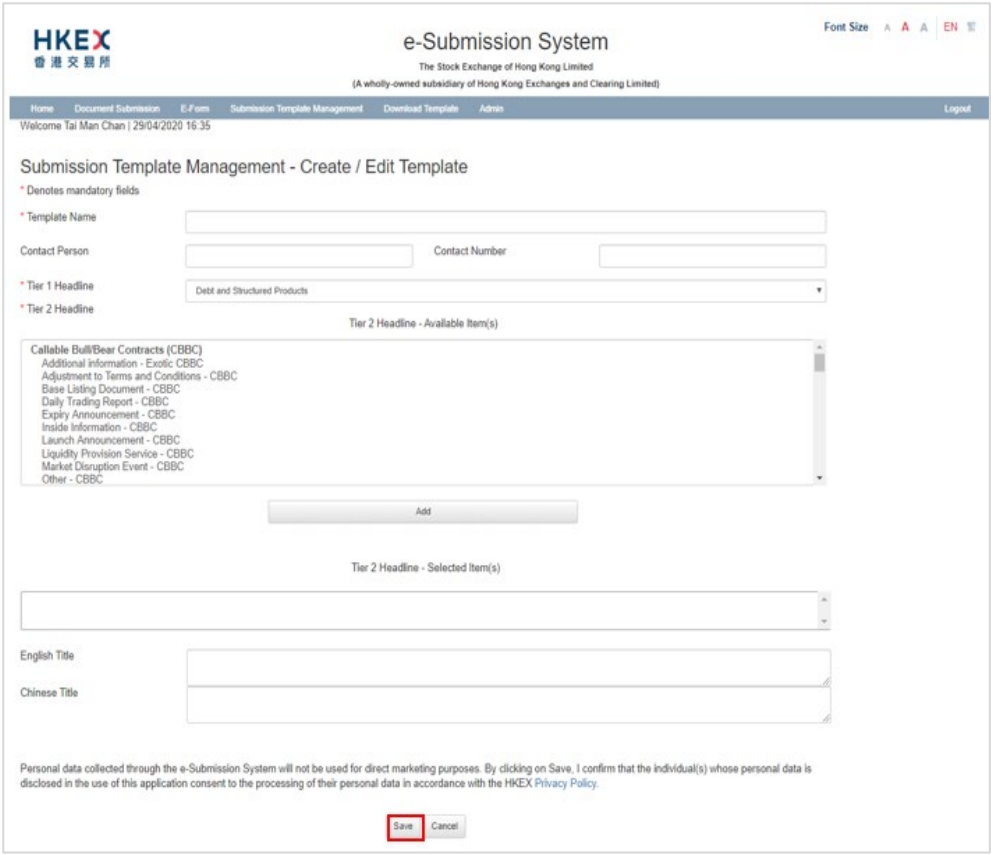
3. Update the English and Chinese Issuer Names. Then click SAVE.



4. If the Issuer Name has been updated successfully, an acknowledgement message will be displayed on page will be displayed.

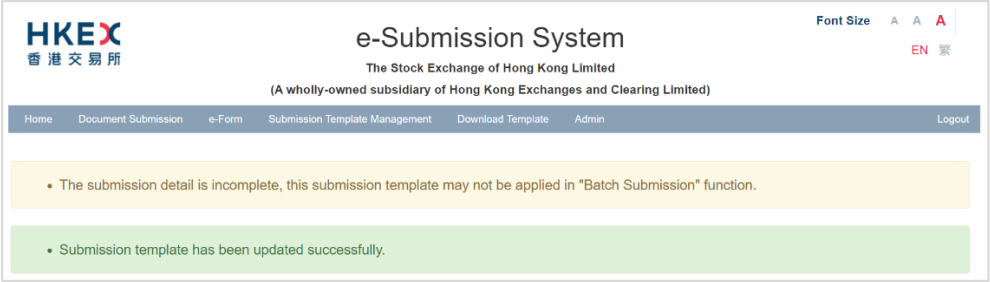
5.7.2 Manage Submission Template

1. Select **Submission Template Management** from Main Menu.
2. Click NEW to create a new template or click EDIT to edit the existing template. Input/edit the submission details, including the Contact Information, Headline Categories and Title(s) etc. Then, click SAVE.

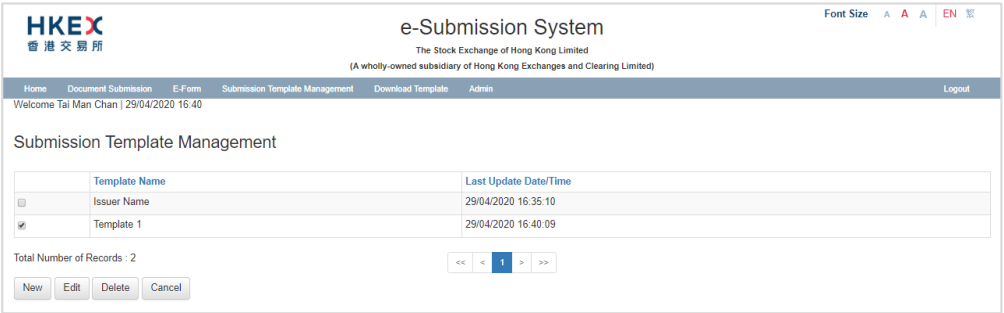


3. If the submission template has been saved successfully, an acknowledgement message will be displayed.

   In case any of the mandatory submission information (such as English or Chinese title) is missing in the template, a warning message will be displayed. This is to remind that your Company's Publication Related Matters users may not able to apply this template in Batch Submission function (refer to Section 5.3 in User Manual for Publication Related Matters).



4. To delete a submission template, choose the template that you wish to delete and click DELETE. If the submission template has been deleted successfully, an acknowledgement message will be displayed.

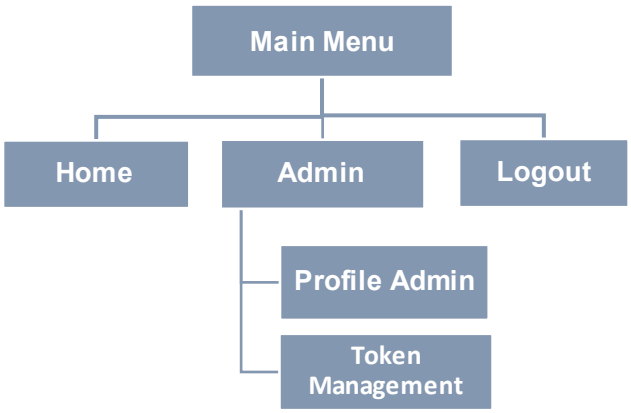


6 For Security Officer

This section only covers functions unique to the Security Officer.

6.1 User Menu for Security Officer

The Security Officer's user menu is classified into the following categories:

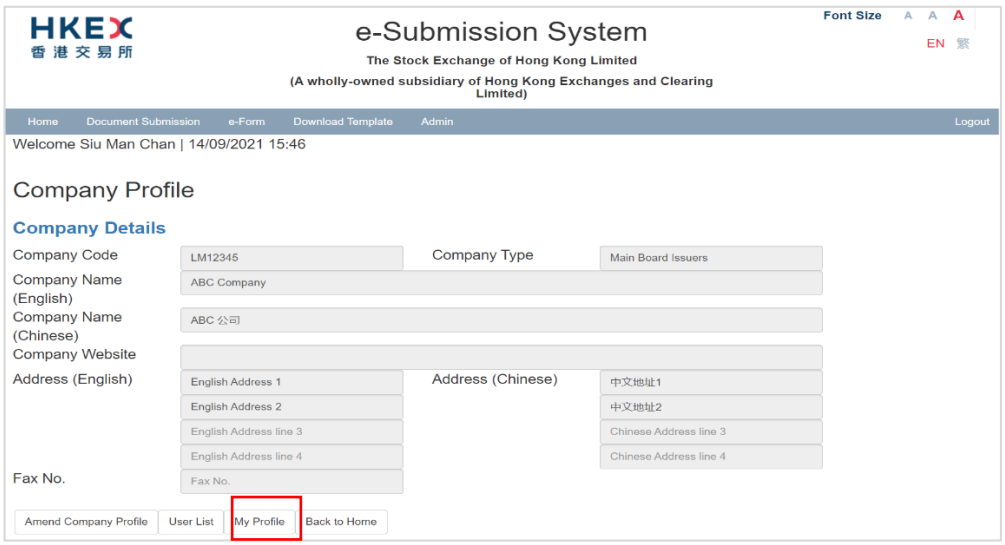


6.2 Profile Admin

The Security Officer can perform the following user profile administrative function through the Profile Admin function:-

- submit the request to your Authorised Person for creation of a Publication Related Matter user, Listing Related Matter user or a DI user; and
- amend the user profiles of Publication Related Matter/ Listing Related Matter users/ DI user; and
- unlock other user accounts except own account; and
- disable / enable the login of the Publication Related Matter/ Listing Related Matter user.

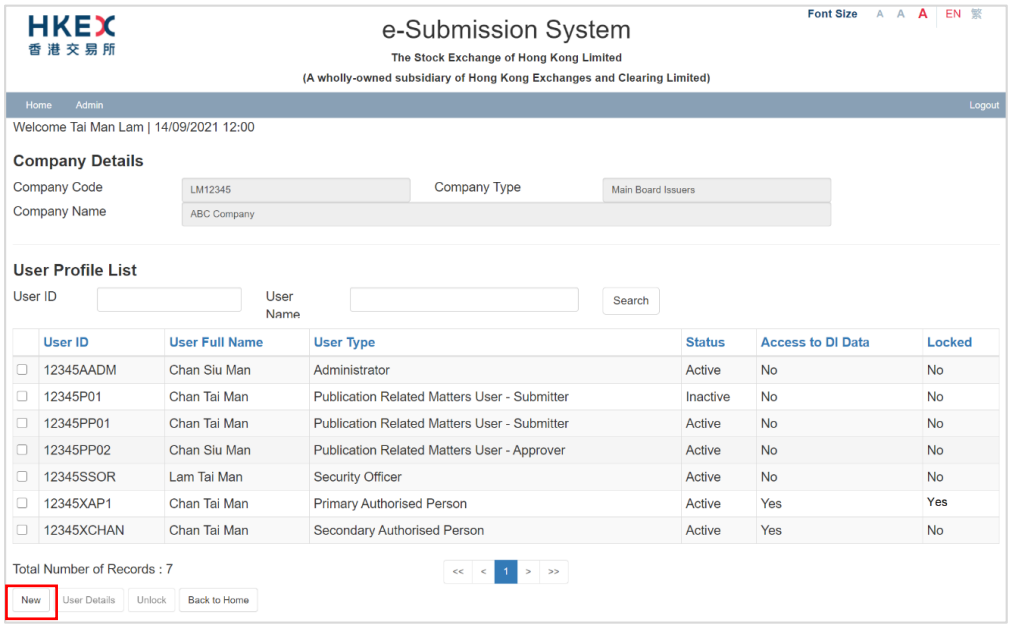
1. Select **Profile Admin** from **Admin** under Main Menu. The Company Profile page will be displayed.
2. On Company Profile page, click USER LIST.



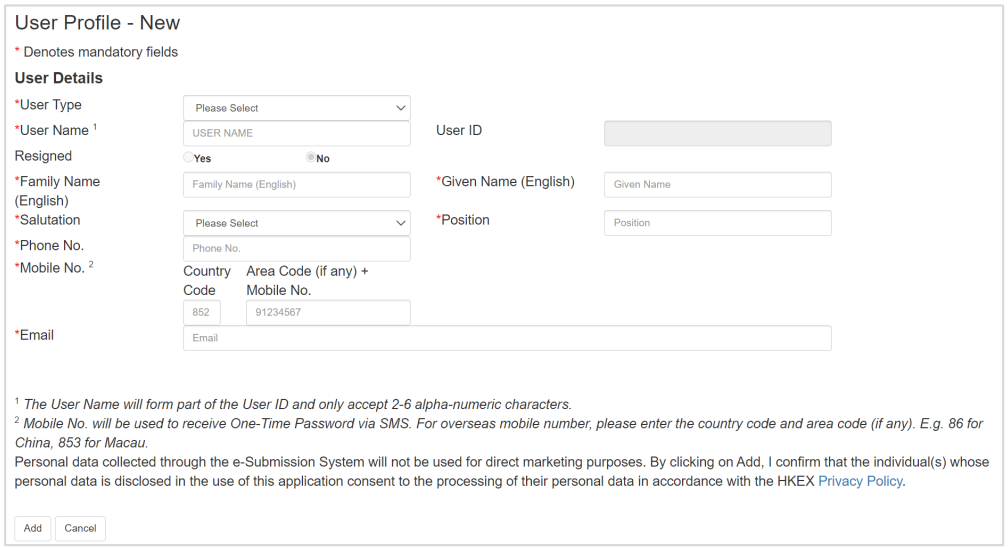
6.2.1 Request User Creation

To submit a request to create a Publication Related Matter user, Listing Related Matter user or a DI user for your Company's Authorised Person's approval:

1. On the User Profile List page, click NEW.



2. Select the User Type and enter the new user's details. Click ADD.



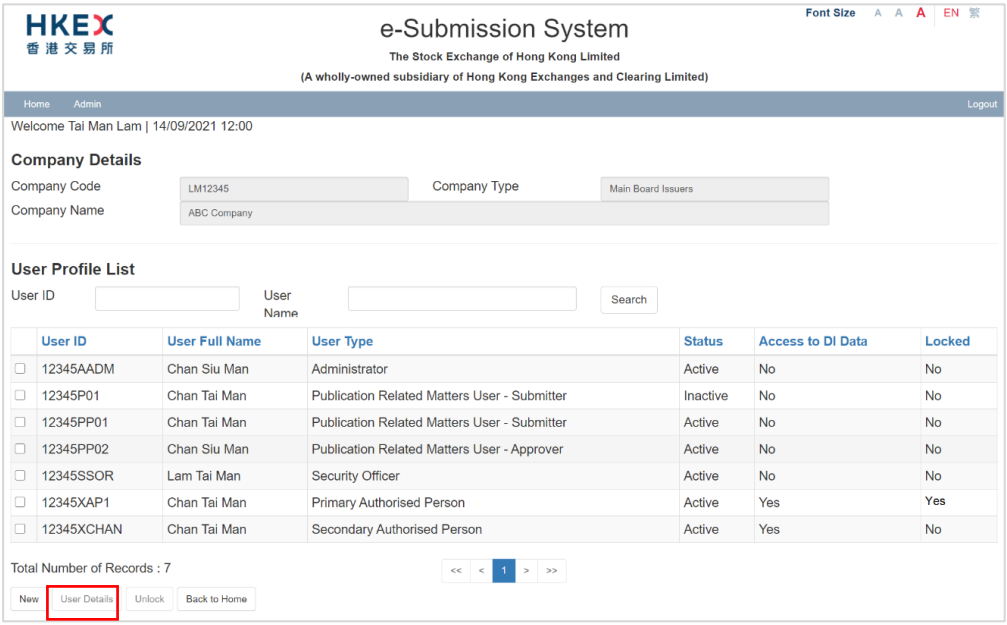
3. If the request for user creation has been submitted, an acknowledgement message will be displayed. A new user is created with status "Pending Approval" marked in red in the User Profile List.

   Please note that the new user account has not been created yet. The Authorised Person of your company has to approve the user creation (refer to Section 4.2.3).

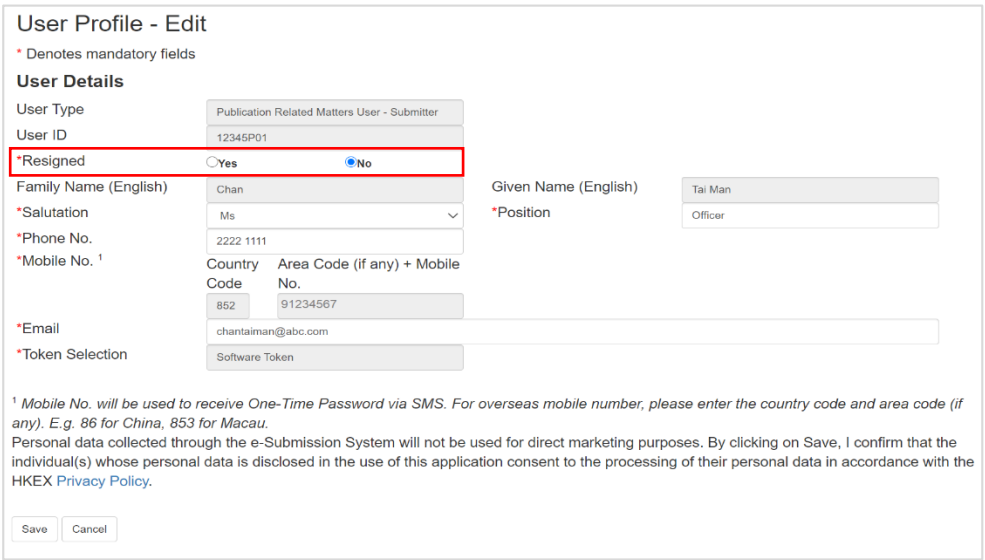
6.2.2 Disable / Enable / Update User's Account

If a Publication Related Matter user or Listing Related Matter user resigns from the company, you should set his/her account to "resigned" immediately to disable the access of that user account. This function can also be used to temporarily suspend a user from submitting documents through the ESS. If you have resumed the access of that user, you can change the "Resign" flag to "No" such that s/he can login to ESS with the original assigned token.

1. On the User Profile List page, select a user and click USER DETAILS.



2. The User Profile of the selected user will be displayed. Make necessary amendments and click SAVE.
   - To disable the user access, click "Yes" on the "Resigned" flag;
   - To enable the user access, click "No" to resume the user access;



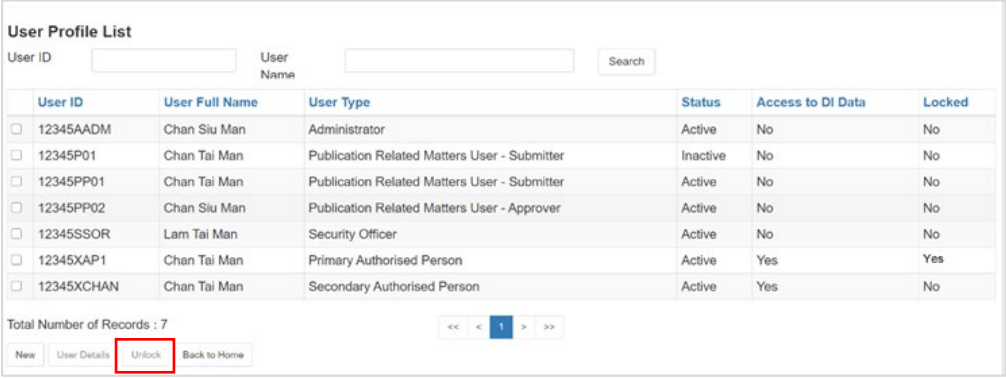
3. If the user profile has been updated successfully, an acknowledgement message will be displayed.

6.2.3 Unlock a User

The user account will be locked[3] when the user enters an invalid User Password and/or OTP generated by security token for 5 consecutive times. The user cannot login the system until you have unlocked his/her user account.

To unlock a user:

1. On the User Profile List page, select the user account (displayed "Yes" in the column "Locked") and then click UNLOCK.



2. If the user has been unlocked successfully (displayed "No" in the column "Locked"), an acknowledgment message will be displayed.

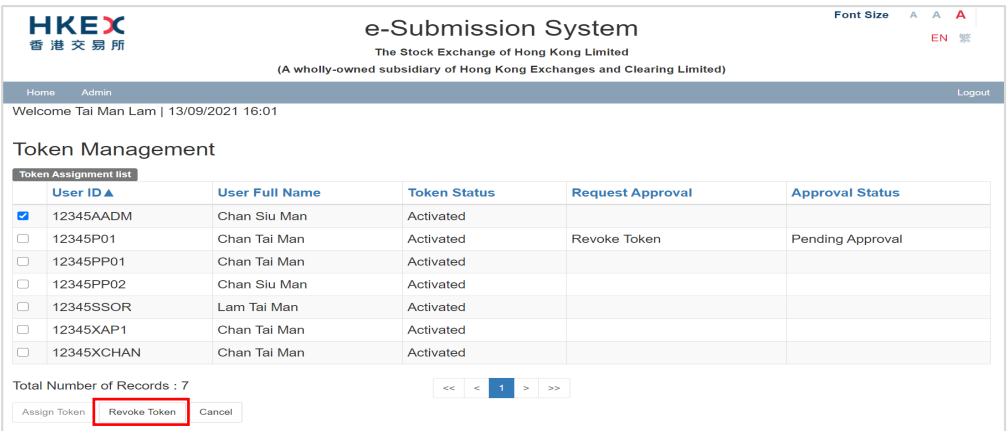
6.3 Token Management (Change/Loss of Mobile Device)

If your company's user reported his/her mobile device (containing the software token) has been changed, lost or stolen, you should immediately revoke his/her token (to be approved by Authorised Person) to prevent unauthorized access.

To revoke an assigned token:

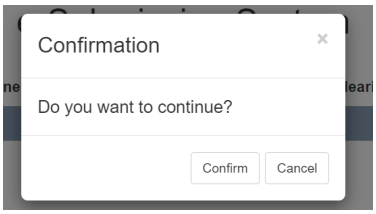
1. Select **Token Management** under **Admin** from Main Menu.

2. The Token Management page will be displayed. Select user and click REVOKE TOKEN.



[3] If accounts of Authorised Persons or DI Users are "Locked" in DION System (https://sdinotice.hkex.com.hk/notification) but not in ESS, their ESS functions will not be affected. However, they cannot access to DION System until you have unlocked his/her user account.

3. Click CONFIRM to submit for your Authorised Person's approval.

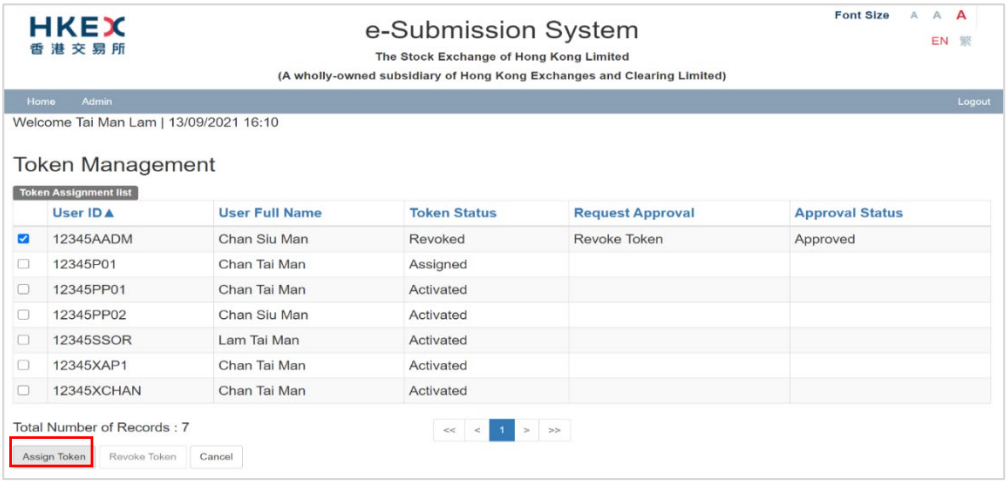


4. If the request has been submitted successfully, a confirmation message will be displayed. The Approval Status displays "Pending Approval".

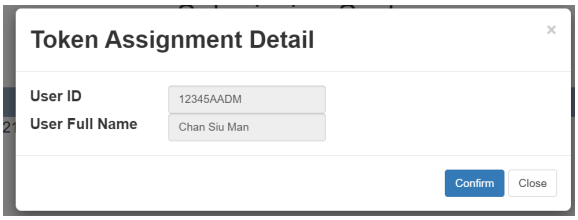
After your Authorised Person approved your request (refer to Section 4.4), the Approval Status changed from "Pending Approval" to "Approved". If the user has been equipped with a new mobile device, you can assign a new token to the user.

To assign a new token:

5. Select the user by checking the appropriate selection box and click ASSIGN TOKEN



6. A Token Assignment Detail dialog box will be prompted. Click Confirm to assign.



7. If the token has been assigned successfully, an acknowledgement message will be displayed. The token status is now changed to "Assigned".

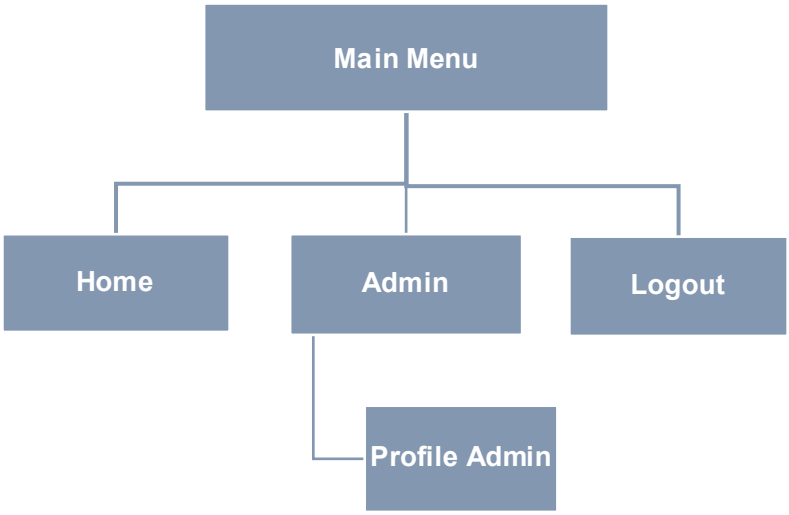
   Once the token has been revoked, user is required to re-activate his/her user account and set-up a new token in his/her mobile device (refer to the section "First-time login to e-Submission System" of respective user manual for details).

7 For DI User

DI User has been delegated the right to receive an email notification and access (i.e. viewing or downloading) the complete set of DI notices and related documents when a DI notice concerning his/her company is submitted through the DION System. There are only user maintenance functions for DI user in ESS, please refer to Section 3 “Common Admin Functions” above.

7.1 User Menu for DI User

The DI user menu is classified into the following categories:



8 Exit the System

It is recommended that you logout the system if you finish your session or are about to leave your computer unattended. The function that is partially completed will be lost when you logout the system. You should therefore complete the function before logging out of the system.

To exit the ESS, select LOGOUT in the Main Menu on the top of the page.