

香港聯合交易所有限公司
(香港交易及結算所有限公司全資附屬公司)

THE STOCK EXCHANGE OF HONG KONG LIMITED

(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Our Ref: LD20190424/PMI/1288

24 April 2019

To: Main Board Listed Issuers (Attn: Authorised Representatives & ESS Authorised Persons)
GEM Listed Issuers (Attn: Authorised Representatives & ESS Authorised Persons)
Market Practitioners (Attn: ESS Authorised Persons)

Dear Sirs,

Introducing the enhanced e-Submission System

Listed issuers are requested to note that the Exchange undertook enhancements work to improve the e-Submission System (the “ESS”) in relation to the submission and dissemination of listed issuers’ information. The enhancements include technology upgrade, system security and submission process improvements.

The enhanced ESS will be rolled out tentatively in early Q3 this year following a 5-month user migration. To facilitate listed issuers planning and preparation, please find below the major tasks and the tentative schedule:

Tentative Schedule	Planned Tasks	Description/Impact on Listed Issuers
11, 18 & 25 May 2019	User Familiarisation Sessions	<p>A total of six user familiarisation sessions will be held on three Saturdays in May and each company will be assigned to a specific timeslot (see Appendix for details).</p> <p>Impact on listed issuers: All ESS users (including listed issuers and their authorized agents) may participate, on a voluntary basis, in the user familiarisation sessions to ensure that they have the opportunity to practice the enhanced ESS functions including a simulation exercise for logging onto the system by using the security token mechanism and submission of documents.</p> <p>Testing guide and testing files will be made</p>

		<p>available in a designated web corner on the HKEXnews website (http://www2.hkexnews.hk/Listed-Company-Publications/Enhanced-ESS) (the “Enhanced ESS Web Corner”) in due course.</p>
Q3 – Q4 2019	ESS User Migration	<p>There will be a 5-month transitional period during which ESS users will be migrated in batches to the enhanced ESS. This is to ensure that there will be sufficient lead time for ESS users to familiarise themselves with the enhanced system operations.</p> <p>Impact on listed issuers: Migration to the enhanced ESS is mandatory to all ESS users. A separate letter will be issued to the ESS Authorised Persons advising the details of the migration arrangements one month before the migration.</p> <p>Please also refer to the Enhanced ESS Web Corner for further updates on the migration schedule for each batch of ESS users.</p>
Before the assigned migration date (as published on the Enhanced ESS Web Corner)	User Account Review and Update	<p>With the introduction of security tokens, a One-Time Password will be sent to the registered mobile number of the ESS users via SMS.</p> <p>Impact on listed issuers: Every ESS user is required to provide his/her mobile number by updating the “Mobile No.” field in the user profile of ESS (click “My Profile” after logging into the existing ESS). Please also review the user particulars in your user profile to ensure that the information is up-to-date.</p>

Training Materials

In addition, the Exchange will provide the following training materials, user manuals and FAQs at the Enhanced ESS Web Corner on or before mid-May 2019:-

- Information Paper on the enhanced ESS – this paper presents an overview of the enhanced system, impact on listed issuers and a high level implementation plan;
- Interactive e-Learning Program – a web-based simulation tool providing interactive guides to cover major ESS user functions;
- Video Tutorials – videos for demonstrating the use of major ESS user functions;
- Quick Reference Guides – a step by step guide for major ESS user functions;
- User Manuals – a detailed guide on all ESS user functions; and
- FAQs – frequently asked questions on the enhanced features of ESS.

If you have any enquiries relating to this letter or if you wish to require further information or training on the enhanced user functions of ESS, please contact our ESS hotline at (+852) 2840 3460 or email us at esshotline@hkex.com.hk.

Yours faithfully
For and on behalf of
The Stock Exchange of Hong Kong Limited

Wayne Wong
Senior Vice President
Listing Department

User Familiarisation Sessions

Timetable

Six user familiarization sessions will be organized over three weekends (11 May 2019, 18 May 2019 and 25 May 2019 with two sessions on each day):-

#	Date / Time	Participating Companies (on a voluntary basis)
1.	11 May 2019 (Saturday) 10:00 a.m. to 12:00 noon	<ul style="list-style-type: none"> Equity issuers with Company Name starts with 0 to 9 Equity issuers with Company Name starts with "A" and "B" All Agents
2.	11 May 2019 (Saturday) 2:00 p.m. to 4:00 p.m.	<ul style="list-style-type: none"> Equity issuers with Company Name starts with "C and "D"
3.	18 May 2019 (Saturday) 10:00 a.m. to 12:00 noon	<ul style="list-style-type: none"> Equity issuers with Company Name starts with "E" to "J"
4.	18 May 2019 (Saturday) 2:00 p.m. to 4:00 p.m.	<ul style="list-style-type: none"> Equity issuers with Company Name starts with "K" to "R"
5.	25 May 2019 (Saturday) 10:00 a.m. to 12:00 noon	<ul style="list-style-type: none"> Equity issuers with Company Name starts with "S" to "X"
6.	25 May 2019 (Saturday) 2:00 p.m. to 4:00 p.m.	<ul style="list-style-type: none"> Equity issuers with Company Name starts with "Y" to "Z" All Exchange Traded Products issuers All Structured Product issuers All Debt Securities issuers

Hotline Support

ESS Publication Related Hotline (+852 2840 3460) will be in service for answering enquiries during the User Familiarisation Sessions.