Frequently Asked Questions for Listing Related Matters e-Forms

(Last updated on 11 June 2021)

1.	**My company has not yet registered as an authorised user of e-Submission System (ESS). What are the procedures to register with ESS?**
	To apply for registration with the ESS, please refer to Registration page of the ESS (https://www1.esubmission.hkex.com.hk/EDSReg/registration/regForm.xhtml) for details.
2.	**How to login as a Listing Related Matter user in order to submit the e-Forms?**
	The URL of the e-Submission System (ESS) is https://www1.eSubmission.hkex.com.hk. A login user should be defined as a Listing Related Matters user in order to submit the e-Forms. To create or delete a Listing Related Matters user, please refer to User Manual for Authorised Person, Administrator, Security Officer and DI Users (https://www.hkex.com.hk/Listing/Rules-and-Guidance/eSubmission-System/ESS-User-Manuals-and-Quick-Reference-Guides?sc_lang=en)
3.	**I am a new Listing Related Matter user who wants to submit e-Forms. Are there any training materials provided in relation to the use of ESS for Listing Related Matters?**
	Yes. The Exchange has provided the following training materials, quick reference guides and user manuals on the designated E-Form web corner (https://www.hkex.com.hk/Listing/Rules-and-Guidance/eForm-Corner?sc_lang=en):- • **Video Tutorials** – videos for demonstrating the use of major ESS user functions in relation to e-Forms; • **e-Form Templates and Guidelines** – e-Form Templates for downloading and guidelines which set out the points to note when completing the e-Forms; • **Quick Reference Guides** – a step by step guide for major ESS user functions; and • **User Manuals** – a detailed guide on all ESS user functions.
4.	**What do these icons ⓘ⚠ represent?**
	ⓘ This is an error message icon, indicating your input text contains an error. You can place the cursor above the icon to see the details of the error message. You must amend your input such that the e-Form contains no error message icon(s) before submitting it to the ESS. ⚠ This is a warning message icon indicating your input <u>may be</u> incorrect. You can place the cursor above the icon to see the details of the warning message. You should check whether your input is correct before submitting it to the ESS. You can still submit the e-Form to the ESS even if the e-Form contains a warning message icon.

5.	**Can I submit additional documents together with the e-Form?**
	Yes. For details, please refer to "section 5. e-Form Submission" of User Manual for Listing Related Matters at: https://www.hkex.com.hk/-/media/HKEX-Market/Listing/Rules-and-Guidance/eSubmission-System/ESS-User-Manual-and-Quick-Reference-Guides/User-Manual--Listing-Related-Matters.pdf?la=en New listing applicants can submit any documents required to be submitted together with the listing application form under the Main Board Listing Rules and GEM Listing Rules through ESS (Listing Related Matters). Please see Guidance Letter GL55-13 for details.
6.	**Who will be the Listed Related Matters user to submit the e-Forms in relation to new listing applications (IPO)?**
	The new listing applicant's sponsor should submit the e-Forms on behalf of the new listing applicant. The sponsor must first register for the use of ESS (see question 1). If a sponsor already has a valid ESS account, no re-registration is required. The previously allocated User ID, User Password and security token can be used for submission of e-Forms. However, the sponsor must use the case number assigned by the Listing Division for the relevant new listing applications to submit the e-Forms and the relevant documents. For the first submission of a Sponsor Engagement Notification, please use the general company code "PM13000" instead of the case number. Please see the form filling guide for details.
7.	**What should I do if my Adobe application shut down automatically during data input on the E-form template in Window 10?**
	You should make sure the relevant application (e.g. Adobe) version on your machine is the latest version. If the issue continues with the latest version installed, please perform a compatibility checking on your machine. 1. In the search box on the taskbar, type the name of the program or app (E.g. Adobe Reader) you want to troubleshoot. 2. Select and right-click on Adobe Reader, and then select **Open file location**. 3. Select and right-click on the program file, select **Properties**, and then select the **Compatibility** tab. 4. Under Compatibility mode, select '**Run this program in compatibility mode for:**' 5. Select **Window 8**, and then click **OK** 6. Open the E-form with Adobe Reader and continue the data input
8.	**What should I do if the e-Forms cannot display Chinese character properly?**
	Please visit Adobe Reader support website and download the latest **Extended Asian Language font pack for Adobe Acrobat Reader DC**.
9.	**What is the extra information the Issuers need to fill in ESS if they publish an e-Form to update a form which they have previously published? <This scenario is specific for Meeting Notification and the e-Form for Meeting notification will be in English version only.>**
	First, Issuers need to select "Update to previous announcement" or "Cancellation of proposed meeting" under the "Status" field and input the reason for the update / change in the corresponding field.

Status	Update to previous announcement ▼	
Reason for the update / change		

Then Issuers are required to select which e-Form previously published through ESS that they wish to amend or update.