



e-Submission System

User Manual

For

**Authorised Person, Administrator,
Security Officer and DI Users**

October 2022

Table of Contents

1	INTRODUCTION	4
1.1	User Identification.....	4
1.2	User Types.....	5
1.3	Site Conventions.....	6
2	LOGIN TO E-SUBMISSION SYSTEM	8
2.1	First-time login to e-Submission System.....	8
2.1.1	User Activation and Token set-up (MobilePASS+).....	8
2.2	Logging into the ESS.....	12
2.3	Login with SMS Password.....	15
2.4	Forgot User ID.....	17
2.5	Forgot User Password.....	18
3	COMMON ADMINISTRATIVE FUNCTIONS	20
3.1	View Your Company's Profile.....	20
3.2	View and Update Your Own User Profile.....	20
3.3	Change Your Own User Password.....	21
4	FOR AUTHORISED PERSON	22
4.1	User Menu for Authorised Person.....	22
4.2	Profile Admin.....	22
4.2.1	Create a User.....	23
4.2.2	Delete a User.....	24
4.2.3	Approve User Creation Initiated by Security Officer.....	25
4.3	Change of Administrator or Security Officer.....	26
4.4	Token Management.....	27
4.5	Appointment of Approvers.....	27
4.5.1	Appoint an Approver.....	28
4.5.2	Edit or Delete an Appointment.....	30
4.6	Appointment of Agents for Publication Related Matters.....	31
4.6.1	Appoint an Agent for Publication Related Matters.....	32
4.6.2	Edit or Delete an Appointment.....	33
4.7	Appointment of Agents for Listing Related Matters.....	34
4.7.1	Appoint an Agent for Listing Related Matters.....	35
4.7.2	Edit or Delete an Appointment.....	36
5	FOR ADMINISTRATOR	37
5.1	User Menu for Administrator.....	37
5.2	Profile Admin.....	37
5.2.1	Maintain Company's Profile.....	37
5.2.2	View User Profile List.....	38
5.3	Change of Authorised Person.....	39
5.4	Maintain Related Stock Code.....	41
5.5	Document Submission.....	42
5.5.1	View Listing Related Matter Submission Log.....	42
5.5.2	View Publication Submission Log.....	42
5.6	View e-Form Submission Log.....	43
5.7	Submission Template Management (applicable to structured products issuers only).....	43
5.7.1	Edit Issuer Name.....	43
5.7.2	Manage Submission Template.....	44

6	FOR SECURITY OFFICER.....	46
6.1	User Menu for Security Officer	46
6.2	Profile Admin.....	46
6.2.1	Request User Creation	47
6.2.2	Disable / Enable / Update User's Account.....	48
6.2.3	Unlock a User.....	49
6.3	Token Management (Change/Loss of Mobile Device).....	49
7	FOR DI USER.....	51
7.1	User Menu for DI User.....	51
8	EXIT THE SYSTEM.....	51

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)	<p>An Authorised Person is a person at a company who is the HKEX's primary contact for subsequent administrative matters.</p> <p>Authorised Person can:</p> <ul style="list-style-type: none"> - 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	<p>An Administrator is the person at a company who maintains the company's details on the ESS.</p> <p>Administrator can:</p> <ul style="list-style-type: none"> - 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	<p>The Security Officer is the person who controls the access rights and manages the assigned token of the other users of his/her company.</p> <p>Security Officer can:</p> <ul style="list-style-type: none"> - 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)	<p>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.</p>

1.3 Site Conventions

Before Login

The screenshot shows the login page of the e-Submission System. The header includes the HKEX logo and the system name. The main content area contains a login form with fields for User ID, User Password, and One-Time Passcode (OTP). A 'System Message' box is positioned above the form. A 'Left Panel' is on the left side, and 'Footer Links' are at the bottom. A 'Content Frame' is located to the right of the login form.

Header

HKEX 香港交易所

e-Submission System

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

Font Size A A A EN 繁

22/05/2019 12:03

System Message

User ID

User Password

One-Time Passcode (OTP)

Enter the Passcode from your token

Login

Login with SMS Password
Forgot User ID
Forgot User Password
Registration

Left Panel

Content Frame

Footer Links

Terms & Conditions Site Map Contact Us Privacy Policy

After Login

The screenshot shows the dashboard after a successful login. The header is similar to the login page but includes a 'Main Menu' and a 'Logout' link. The main content area features a 'System Message' box and a 'Content Frame'. The footer contains various links for quick reference and user manuals.

HKEX 香港交易所

e-Submission System

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

Home Admin

Welcome Tai Man Chan | 22/05/2019 12:06

Main Menu

Logout

System Message

Content Frame

Quick Ref (Listing) Quick Ref (Publication) User Manual (Listing) User Manual (Publication) User Manual (Admin / Security Officer / DI user) Terms & Conditions Site Map

Contact Us Privacy Policy

Header

-  – Clickable link to Home Page of the HKEX website.
-  – 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.
-  – 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).

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

The screenshot shows the registration page for the e-Submission System. The form includes fields for User ID, User Registered Email Address, New Password, and Confirm New Password. The 'One-Time Password' field has a 'Request' button highlighted with a red box. Below the form are 'Next' and 'Cancel' buttons. The page footer contains links for Terms & Conditions, Site Map, Contact Us, and Privacy Policy.

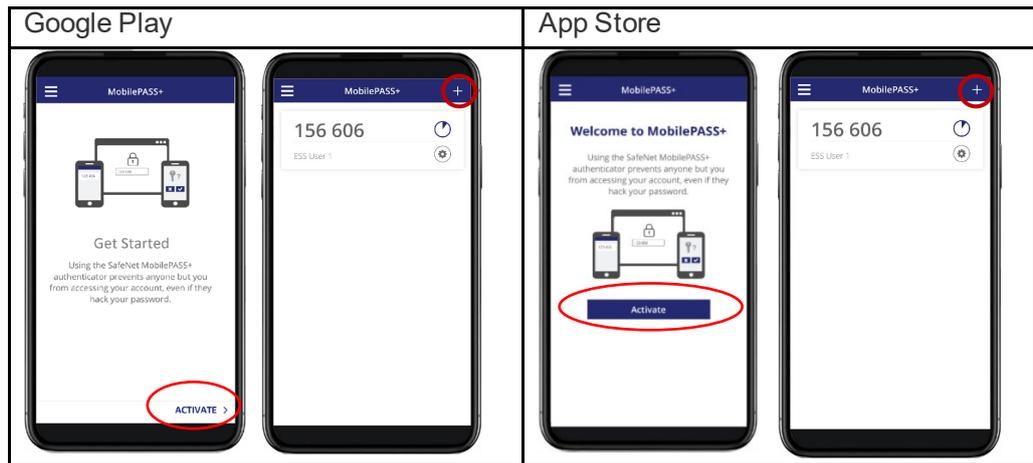
- Input the One-Time Password. Then, click NEXT.

The screenshot shows the registration page with a mobile phone overlay on the left. The phone screen displays an SMS message: "HKEX: Your One-Time Password for user activation is 1215128. Valid until 20/02/2021 12:15. Enquiries: 2340 3440". A red arrow points from the message to the 'One-Time Password' field in the registration form. The 'Request' button is now disabled. The 'Next' and 'Cancel' buttons are visible at the bottom of the form.

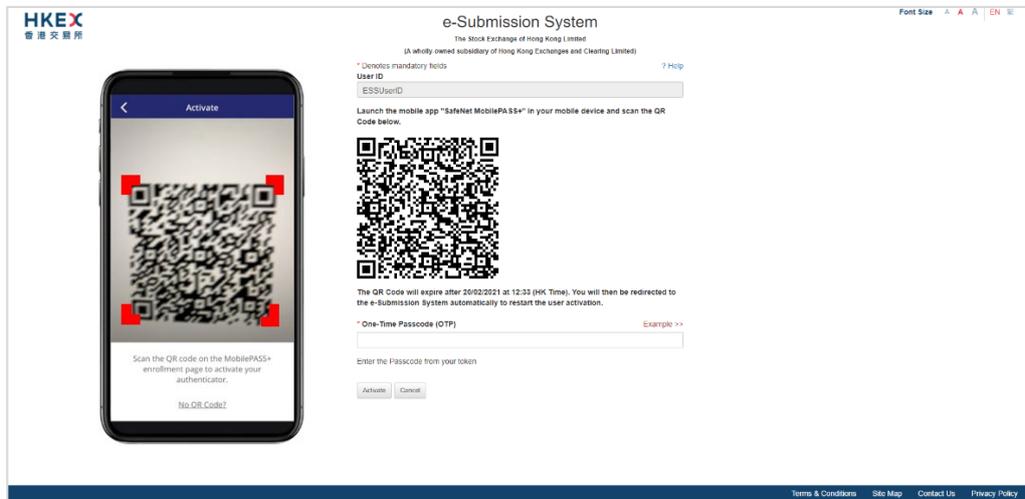
- A system generated QR code will be displayed. Launch the mobile app "MobilePASS+" in your mobile device.

The screenshot shows the registration page with a QR code displayed in the center. To the left, a mobile phone displays the MobilePASS+ app icon. Below the QR code, there is a text box for entering the One-Time Password (OTP) and 'Activate' and 'Cancel' buttons. The page footer contains links for Terms & Conditions, Site Map, Contact Us, and Privacy Policy.

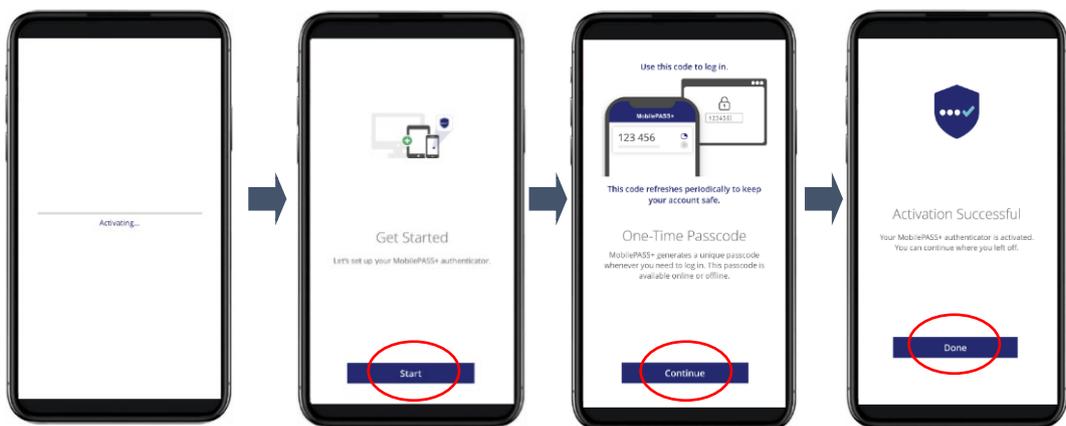
- Tap “Activate” or “+” to create a new security token in your MobilePASS+.



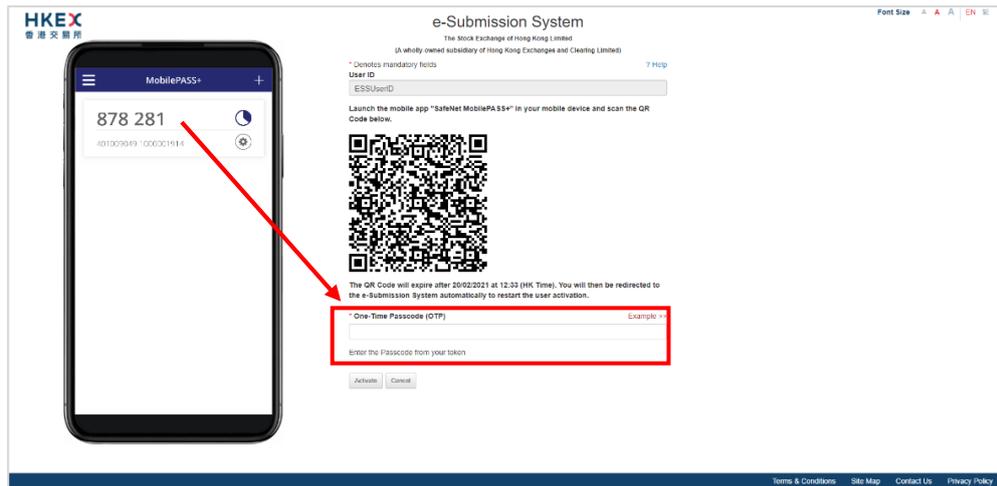
- Scan the QR Code with your MobilePASS+. (Note: The QR Code will expire after 10 minutes. Once the QR has been expired, you will be automatically redirected to the homepage to restart the process of User Activation.)



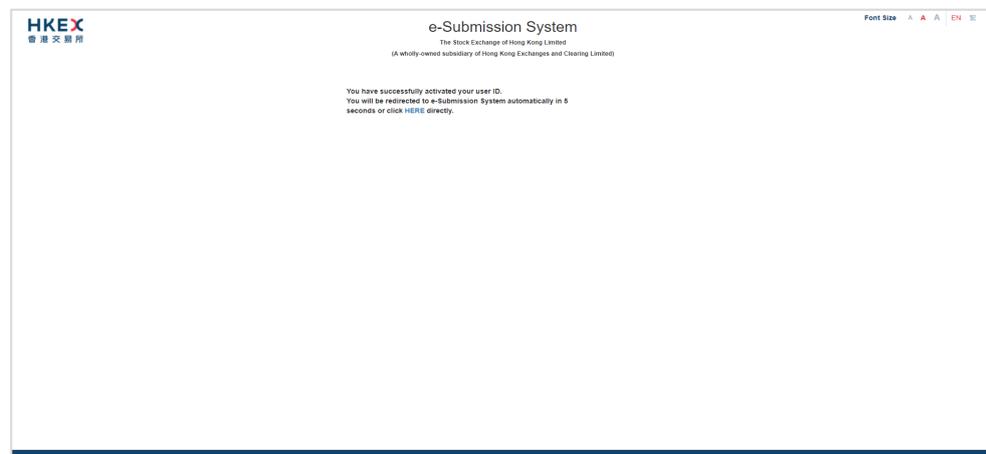
- The token setup starts automatically. Follow the instructions on the screen, tap “Start” and “Continue”. When you’ve successfully set up your token, you will see a confirmation message. Tap “Done” to get a One-Time Password (OTP).



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.

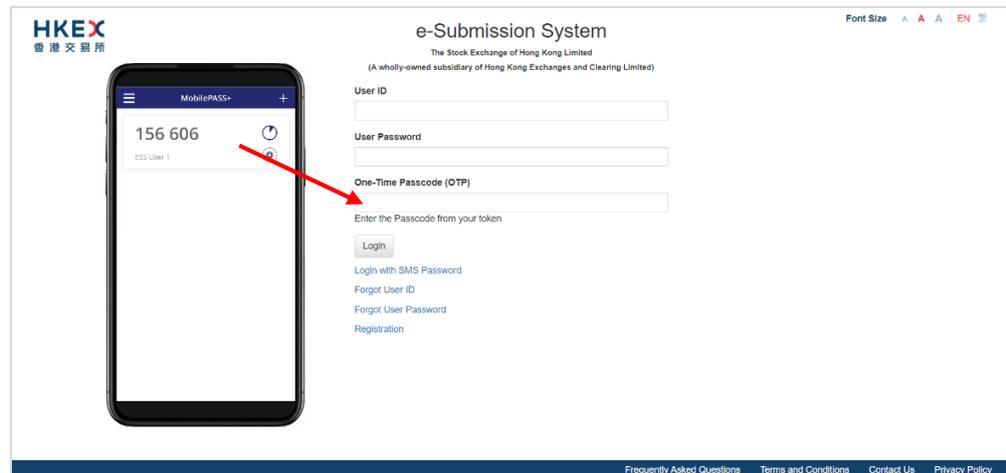


Notes:

- 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.

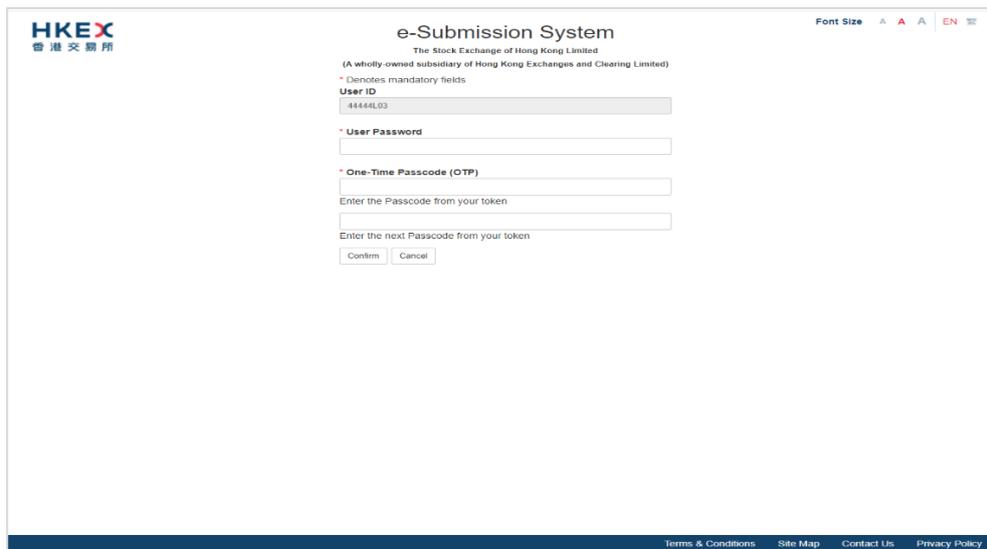
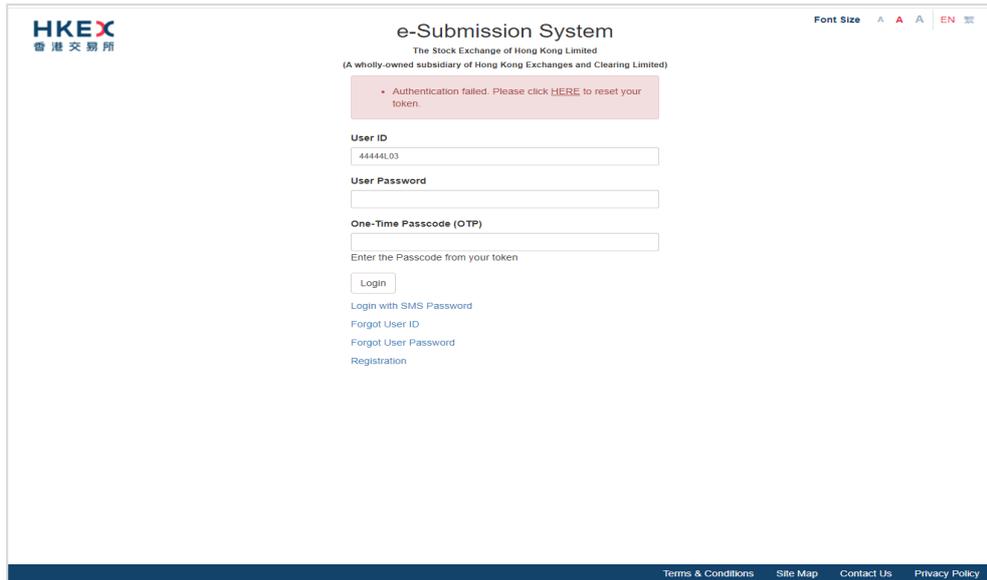
2.2 Logging into the ESS

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

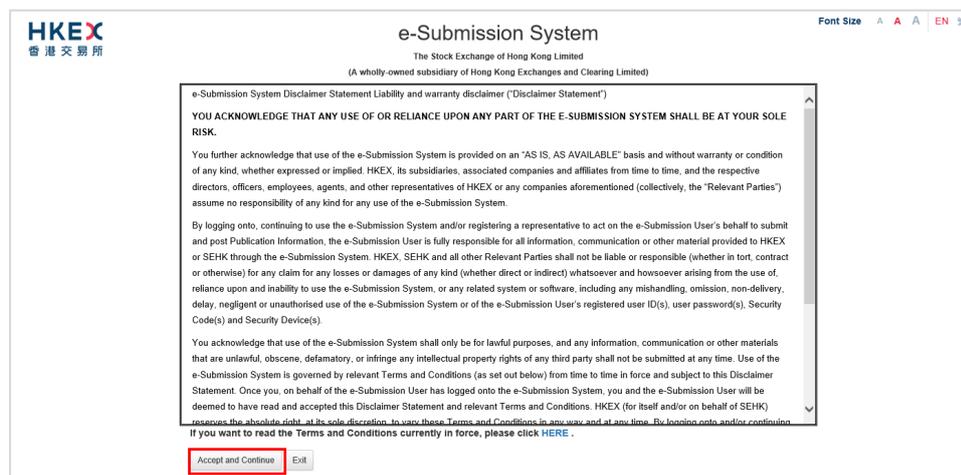


Notes:

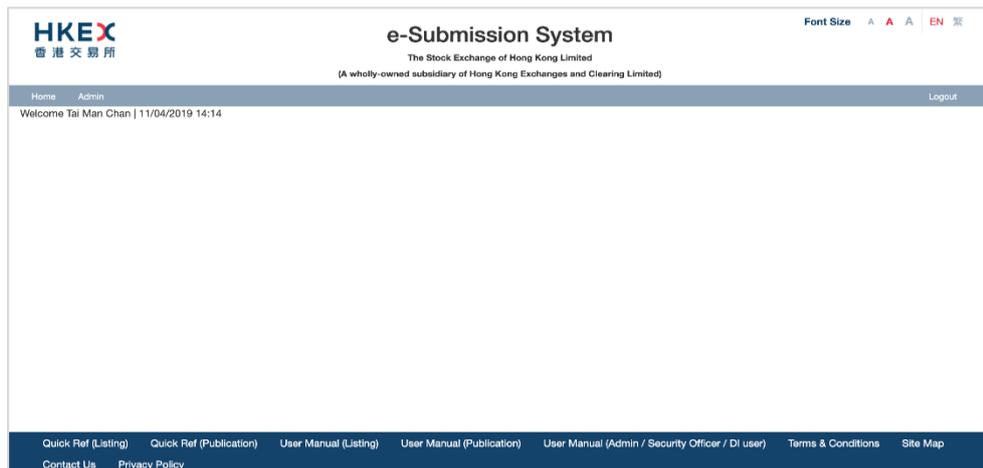
- User Password is case sensitive.
- If an incorrect User Password and/or OTP generated from the security token was entered 5 consecutive times, your user account will be locked until it is unlocked by your company's security officer. A locked account cannot be used.
- If the date when you last changed 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.



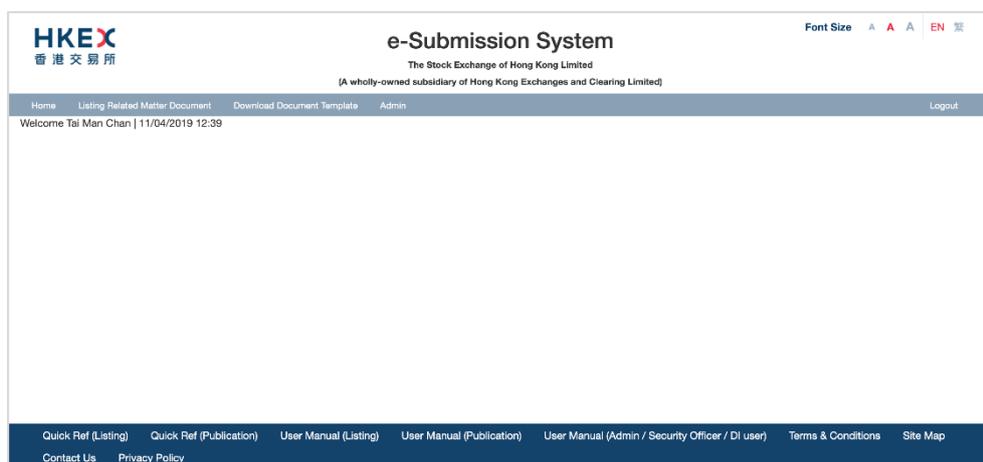
2. Read the disclaimer statement carefully. Then click **ACCEPT AND CONTINUE** to accept the terms and conditions to proceed or click **EXT** to go back to Main page.



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.

The screenshot shows the main login page of the e-Submission System. At the top left is the HKEX logo (香港交易所). The page title is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. There is a timestamp '21/05/2019 13:05' on the left. The main form area contains three input fields: 'User ID', 'User Password', and 'One-Time Passcode (OTP)'. Below these fields is a 'Login' button and a link 'Login with SMS Password' which is highlighted with a red rectangular box. Other links include 'Forgot User ID', 'Forgot User Password', and 'Registration'. The footer contains 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

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

The screenshot shows the 'Login with SMS Password' page. At the top left is the HKEX logo (香港交易所). The page title is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. There is a timestamp '21/05/2019 13:10' on the left. The main form area contains three input fields: 'User ID', 'User Password', and a CAPTCHA field. The CAPTCHA field contains the characters 'n w c 8'. Below the form is a 'Submit' button, which is highlighted with a red rectangular box, and a 'Cancel' button. The footer contains 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

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

The screenshot shows the e-Submission System login page. At the top left is the HKEX logo (香港交易所) and the date 11/04/2019 11:36. The page title is "e-Submission System" with the subtitle "The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)". A green message box states "Your request has been submitted successfully." Below this is the "Login with SMS Password" section, which includes a note that an asterisk denotes mandatory fields. A prompt asks the user to "Please enter the One-Time Password sent to your mobile phone (last 4 digits '0768')." There is a text input field for the "One-Time Password" and two buttons: "Login" (highlighted with a red box) and "Cancel". A link "HERE" is provided for users who did not receive the password or if it has expired. The footer contains links for "Terms & Conditions", "Site Map", "Contact Us", and "Privacy Policy".

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.

The screenshot shows the e-Submission System disclaimer statement page. It features the same HKEX logo and page title as the previous screenshot. A large text box contains the "e-Submission System Disclaimer Statement Liability and warranty disclaimer". The text states that the user acknowledges that any use of or reliance upon any part of the e-Submission System shall be at their sole risk. It further acknowledges that the system is provided on an "AS IS, AS AVAILABLE" basis without warranty. The disclaimer also states that the user is responsible for all information, communication, or other material provided to HKEX or SEHK through the system, and that they shall not be liable for any losses or damages arising from its use. At the bottom of the text box are two buttons: "Accept and Continue" and "Exit". The footer is identical to the previous screenshot.

2.4 Forgot User ID

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

The screenshot shows the HKEX e-Submission System login page. The page title is "e-Submission System" and it is identified as "The Stock Exchange of Hong Kong Limited". Below the title, there is a sub-header: "(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)". The login form includes fields for "User ID", "User Password", and "One-Time Passcode (OTP)". Below these fields are "Login", "Login with SMS Password", "Forgot User ID" (highlighted with a red box), "Forgot User Password", and "Registration" links. At the bottom, there are links for "Frequently Asked Questions", "Terms and Conditions", "Contact Us", and "Privacy Policy".

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

The screenshot shows the "Forgot User ID" page. The page title is "Forgot User ID" and it is identified as "The Stock Exchange of Hong Kong Limited". Below the title, there is a sub-header: "(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)". The form includes fields for "User Given Name & Family Name" (Given Name and Family Name), "User Registered Email Address", "Company Code", and "Enter the characters in the image". The "Enter the characters in the image" field shows the characters "4 7 6 p". Below the form are "Submit" and "Cancel" buttons. At the bottom, there are links for "Frequently Asked Questions", "Terms and Conditions", "Contact Us", and "Privacy Policy".

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

The screenshot shows an email notification from eds_noreply@hkex.com.hk. The email is titled "HKEX e-Submission System - Forgot User ID". The content of the email is as follows:

Dear Sir/Madam,

You requested to recover your User ID(s) for the e-Submission System. Below please find your registered User ID(s):
88888P01

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：

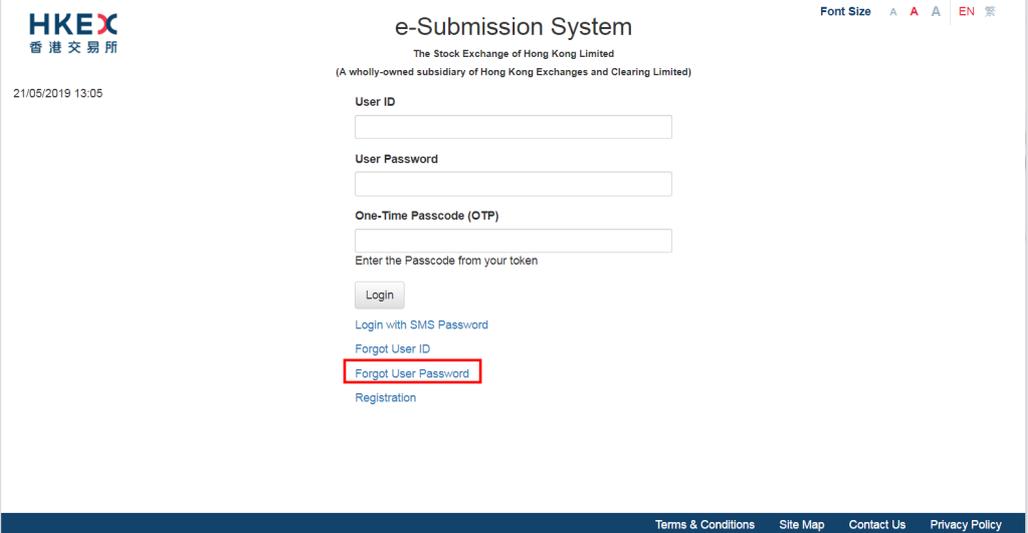
您要求取回您在電子呈交系統的用戶賬號。以下是您的登記用戶賬號：
88888P01

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。)

2.5 Forgot User Password

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



HKEX
香港交易所

21/05/2019 13:05

e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

User ID

User Password

One-Time Passcode (OTP)

Enter the Passcode from your token

Login

Login with SMS Password

Forgot User ID

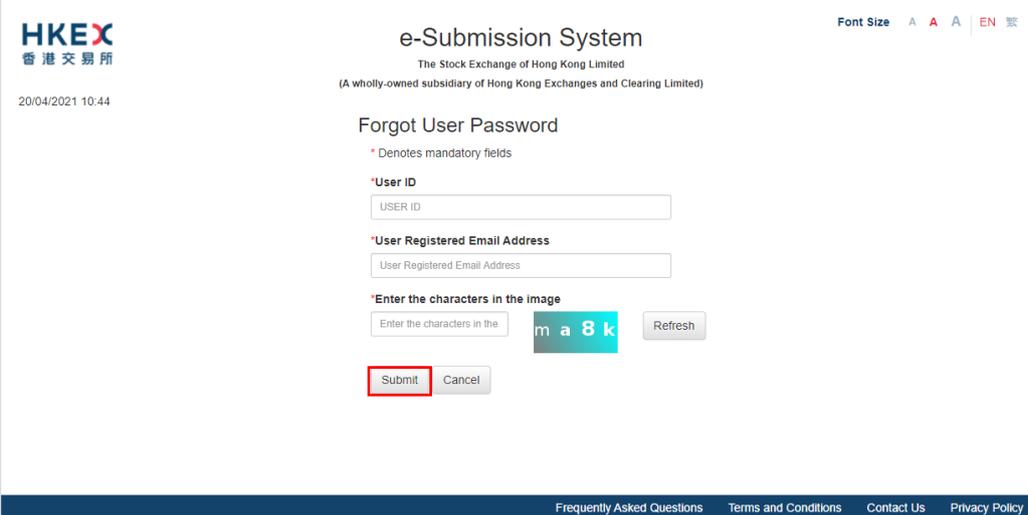
Forgot User Password

Registration

Font Size A A A EN 繁

Terms & Conditions Site Map Contact Us Privacy Policy

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



HKEX
香港交易所

20/04/2021 10:44

e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Forgot User Password

* Denotes mandatory fields

*User ID
USER ID

*User Registered Email Address
User Registered Email Address

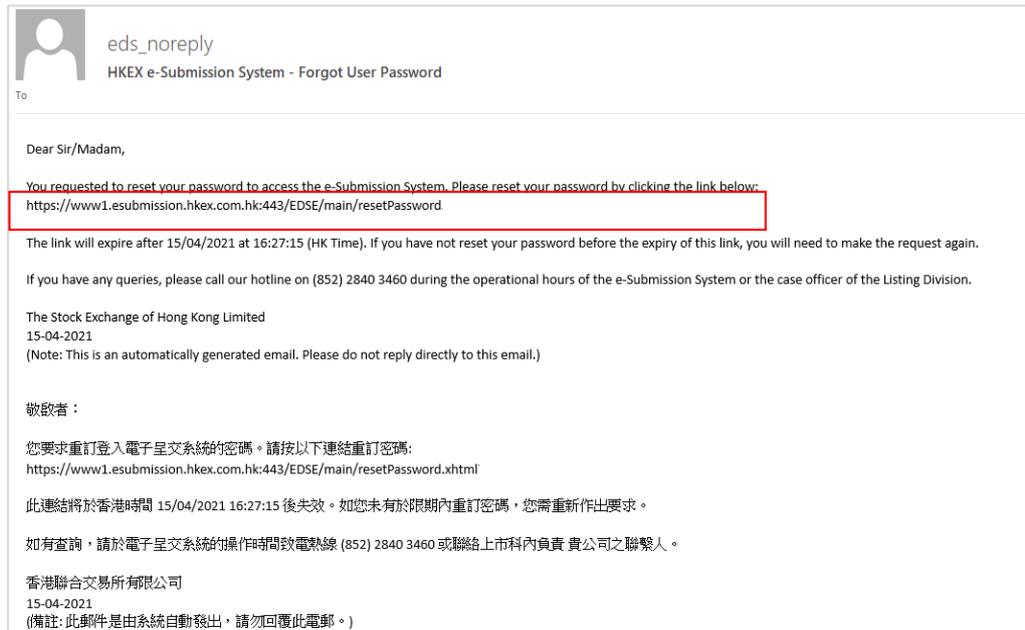
*Enter the characters in the image
Enter the characters in the m a 8 k Refresh

Submit Cancel

Font Size A A A EN 繁

Frequently Asked Questions Terms and Conditions Contact Us Privacy Policy

- 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.



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

Font Size A A A EN 三

HKEX
香港交易所

20/04/2021 10:44

e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Forgot User Password

* Denotes mandatory fields

*User ID

*User Registered Email Address

*Enter the characters in the image
 

Frequently Asked Questions Terms and Conditions Contact Us Privacy Policy

- 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.

Change User Password

*** MANDATORY FIELDS**

* Current Password

* New Password

(User password is case-sensitive, a combination of letters (both upper & lower case) and number (0-9) and between 8 and 15 characters.)

* Re-type New Password

Notes:

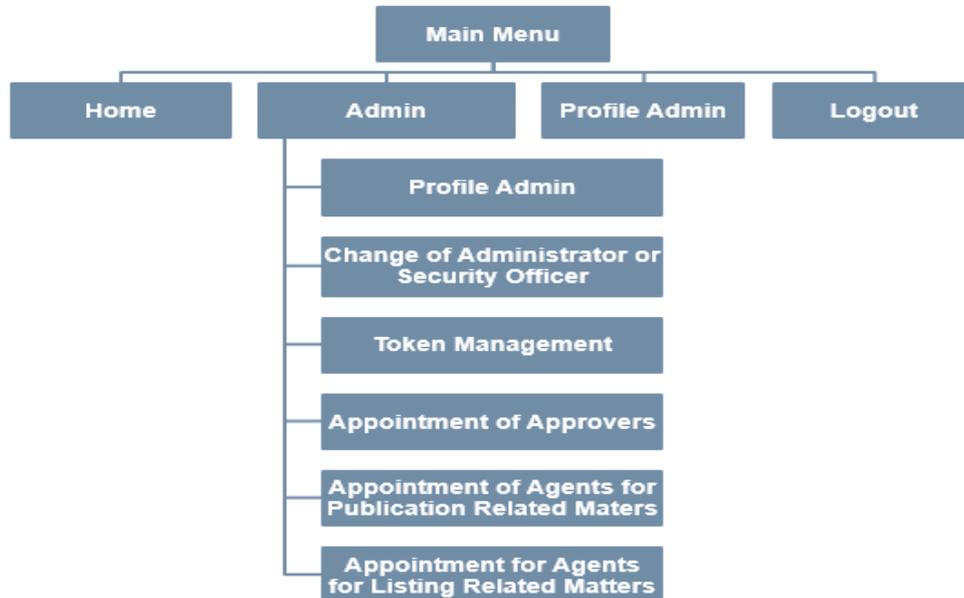
- User Password is case-sensitive. It must be 8 to 15 characters long with a combination of letters (both upper & lower case) and number (0-9). It shall not be the same as any of the last 5 passwords (including your Current Password).
 - User Password is not allowed to change again within 24 hours.
3. 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.

The screenshot displays the 'Company Profile' page in the e-Submission System. The page header includes the HKEX logo and the system name. The main content area is titled 'Company Profile' and contains a 'Company Details' section with various input fields for company information. At the bottom of the page, there are four buttons: 'Amend Company Profile', 'User List', 'My Profile', and 'Back to Home'. The 'My Profile' button is highlighted with a red rectangular box.

4.2.1 Create a User

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

The screenshot shows the 'User Profile List' page in the e-Submission System. At the top, there is a navigation bar with 'Home' and 'Admin' links, and a 'Logout' button. Below this, a welcome message reads 'Welcome Tai Man Chan | 14/09/2021 15:56'. The 'Company Details' section includes fields for 'Company Code' (LM12345), 'Company Type' (Main Board Issuers), and 'Company Name' (ABC Company). The 'User Profile List' section features search filters for 'User ID' and 'User Name', and a search button. A table lists existing users with columns for 'User ID', 'User Full Name', 'User Type', 'Status', 'Access to DI Data', and 'Locked'. The 'New' button is highlighted with a red box.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 12345AADM	Chan Siu Man	Administrator	Active	No	No
<input type="checkbox"/> 12345P01	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 12345PP01	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
<input type="checkbox"/> 12345PP02	Chan Siu Man	Publication Related Matters User - Approver	Active	No	No
<input type="checkbox"/> 12345SSOR	Lam Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 12345XAP1	Chan Tai Man	Primary Authorised Person	Active	Yes	No
<input type="checkbox"/> 12345XCHAN	Chan Tai Man	Secondary Authorised Person	Active	Yes	No

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

The 'User Profile - New' form contains the following fields and options:

- User Type:** A dropdown menu with 'Please Select'.
- User Name:** A text input field with a mandatory asterisk.
- Resigned:** Radio buttons for 'Yes' and 'No'.
- Family Name (English):** A text input field.
- Salutation:** A dropdown menu with 'Please Select'.
- Phone No.:** A text input field.
- Mobile No.:** A text input field with a mandatory asterisk.
- Country:** A dropdown menu.
- Area Code (if any):** A text input field.
- Given Name (English):** A text input field.
- Position:** A text input field.
- Email:** A text input field.

Footnotes and disclaimer:

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.
² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.
 Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Add, I confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the HKEX Privacy Policy.

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.

The screenshot shows the 'User Profile List' page in the e-Submission System. At the top, there is a header with the HKEX logo and the system name. Below the header, there is a navigation bar with 'Home' and 'Admin' links. The main content area displays a table of users. The table has the following columns: User ID, User Full Name, User Type, Status, Access to DI Data, and Locked. The user 'Chan Tai Man' with ID '12345XCHAN' is selected. Below the table, there is a 'Total Number of Records : 7' and a pagination control. A red box highlights the 'User Details' button.

	User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/>	12345AADM	Chan Siu Man	Administrator	Active	No	No
<input type="checkbox"/>	12345P01	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/>	12345PP01	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
<input type="checkbox"/>	12345PP02	Chan Siu Man	Publication Related Matters User - Approver	Active	No	No
<input type="checkbox"/>	12345SSOR	Lam Tai Man	Security Officer	Active	No	No
<input type="checkbox"/>	12345XAP1	Chan Tai Man	Primary Authorised Person	Active	Yes	No
<input checked="" type="checkbox"/>	12345XCHAN	Chan Tai Man	Secondary Authorised Person	Active	Yes	No

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

The screenshot shows the 'User Profile - Edit' page in the e-Submission System. The page displays the user profile details for 'Chan Tai Man'. The form includes fields for User Type, User ID, Resigned status, Family Name, Given Name, Salutation, Position, Phone No., Mobile No., Country Code, Area Code, and Email. A red box highlights the 'Delete' button at the bottom left of the form.

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

The screenshot shows a 'Confirmation' dialog box. The dialog box has a title bar with a close button. The main text asks 'Are you sure to delete this record?'. At the bottom, there are two buttons: 'Confirm' and 'Cancel'.

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.

HKEX 香港交易所
e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Logout
Welcome Tai Man Chan | 11/04/2019 14:18

Company Details
Company Code: LM8888 Company Type: Main Board Issuer
Company Name: XYZ Group Ltd.

User Profile List
User ID: [] User Name: [] Search: []

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 8888AADM	Chan Tai Man	Administrator	Active	No	No
<input type="checkbox"/> 8888DDI1	Chan Tai Man	DI User	Active	Yes	No
<input type="checkbox"/> 8888LLRM2	Chan Tai Man	Listing Related Matters User	Pending Approval	No	No
<input type="checkbox"/> 8888LSUBMIT	Chan Tai Man	Listing Related Matters User	Active	No	No
<input type="checkbox"/> 8888PAPPROV	Chan Tai Man	Publication Related Matters User - Approver	Inactive	No	No
<input type="checkbox"/> 8888PSUBMIT	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 8888SSOR	Chan Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 8888XPAP	Chan Tai Man	Primary Authorised Person	Active	Yes	No

Total Number of Records : 8
 << < 1 > >>
 New **User Details** Back to Home

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

HKEX 香港交易所
e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Logout
Welcome Tai Man Chan | 11/04/2019 14:27

Company Code: LM8888 Company Type: Main Board Issuer
Company Name: XYZ Group Ltd.

User Profile - Edit
* Denotes mandatory fields

User Details
User Type: Listing Related Matters User
User ID: 8888LLRM2
Resigned: Yes No
Family Name (English): Chan
Salutation: Mr
Position: LRM User
Given Name (English): Tai Man
Phone No.: 22221111
Mobile No.: 852 91234567
Email: tai.man@xyz.com
Token Selection: Software Token

¹ Mobile No. will be used to receive One-Time Password via SMS.
 Approve Reject Delete Cancel

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”.

The screenshot shows the 'User Profile - Change of Administrator or Security Officer' form in the e-Submission System. The form is divided into two main sections: 'Company Details' and 'User Details'. In the 'Company Details' section, there are input fields for 'Company Code' (LM12345), 'Company Name' (ABC Company), and 'Company Type' (Main Board Issuers). In the 'User Details' section, there is a 'Request For' dropdown menu that is currently open, showing three options: 'Please Select', 'Change Security Officer', and 'Change Administrator'. Below the dropdown, there are input fields for '*User Name 1', 'User ID', and another 'User ID' field.

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

The screenshot shows the 'User Details' form with the 'Request For' dropdown set to 'Change Security Officer'. The form includes the following fields: '*User Name 1' (USER NAME), 'User ID' (User ID), '*Family Name (English)' (Family Name (English)), '*Given Name (English)' (Given Name (English)), '*Salutation' (Please Select), '*Position' (Position), '*Phone No.' (Phone No.), '*Mobile No. 2' (Country Code: 852, Area Code (if any) + Mobile No.: 91234567), and '*Email' (Email). Below the form, there is a disclaimer: 'The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.' and 'Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.' At the bottom, there are 'Confirm' and 'Cancel' buttons.

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

The screenshot shows a 'Confirmation' dialog box with the text 'Are you sure to submit?' and two buttons: 'Confirm' and 'Cancel'.

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.

The screenshot displays the 'Token Management' interface. At the top, there is the HKEX logo and the system title 'e-Submission System'. Below the title, it states 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. The user is logged in as 'Tai Man Chan' on '13/09/2021 15:10'. The main content area is titled 'Token Management' and contains a table with the following data:

User ID	User Full Name	Token Status	Request Approval	Approval Status	Approve	Reject
12345AADM	Chan Siu Man	Activated			<input type="radio"/>	<input type="radio"/>
12345P01	Chan Tai Man	Activated	Revoke Token	Pending Approval	<input type="radio"/>	<input type="radio"/>
12345PP01	Chan Tai Man	Activated			<input type="radio"/>	<input type="radio"/>
12345PP02	Chan Siu Man	Activated			<input type="radio"/>	<input type="radio"/>
12345SSOR	Lam Tai Man	Activated			<input type="radio"/>	<input type="radio"/>
12345XAP1	Chan Tai Man	Activated			<input type="radio"/>	<input type="radio"/>
12345XCHAN	Chan Tai Man	Activated			<input type="radio"/>	<input type="radio"/>

Below the table, it shows 'Total Number of Records : 7' and a pagination control with page 1 selected. There are 'Confirm' and 'Cancel' buttons at the bottom.

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.

The screenshot shows the 'Appointment of Approvers' page in the e-Submission System. The page header includes the HKEX logo and the system title. The main content area contains the following text:

Appointment of Approvers

Notes:

By clicking “Enable” – Authorised Persons can specify a time period and/or a maximum number of submissions for each Approver in its own company to approve submissions.

By clicking “Disable” – No restrictions are imposed on submission approvals by the Approvers in its own company.

The default setting is set as “Disable”.

Appointment of Approvers Enable Disable

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.

The screenshot shows the 'Appointment of Approvers' page with the 'Enable' radio button selected. Below the text, there is a table titled 'List of Appointed Approvers' with the following columns: User ID, User Full Name, Start Time, End Time, No. of Submissions, and Status. The table is currently empty. Below the table, there is a 'Total Number of Records : 0' and a row of buttons: Edit, Create (highlighted with a red box), Delete, and Back to Home.

2. Select an approver from the Approvers list.

The screenshot shows the 'Appointment Details' form. It includes the following elements:

- Appointment Details** (Section Header)
- * Denotes mandatory fields
- * Approver: A dropdown menu with 'Please Select' selected. The dropdown list shows '12345PP02 Chan Siu Man' and '12345P02 Chan Tai Man'.
- * Appointment Criteria: A text input field.
- Confirm: A button.

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.

The screenshot shows the 'Appointment Details' form. It includes a legend for mandatory fields, an 'Approver' dropdown, and an 'Appointment Criteria' dropdown. The 'Appointment Criteria' dropdown is open, showing three options: 'Please Select', 'No. of Submissions only', 'Time Range only', and 'Time Range & No. of Submissions'. A 'Confirm' button is visible at the bottom left.

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

The screenshot shows the 'Appointment Details' form with the 'Appointment Criteria' dropdown set to 'Time Range & No. of Submissions'. The 'Start Time' field is filled with '29/04/2021 00:00' and the 'End Time' field is filled with '29/04/2021 23:59'. The 'No. of Submissions' field is empty. A 'Confirm' button is visible at the bottom left.

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 Display¹; 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:-

- Documentson Display; or
- Documentson Display (Debt Issuance Programmes); or
- Documentson Display (Debt Securities); or
- Documentson 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.

HKE X
香港交易所

e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Logout

Welcome Tai Man Chan | 13/09/2021 15:19

Appointment of Approvers

Notes:

By clicking "Enable" – Authorised Persons can specify a time period and/or a maximum number of submissions for each Approver in its own company to approve submissions.

By clicking "Disable" – No restrictions are imposed on submission approvals by the Approvers in its own company.

The default setting is set as "Disable".

Appointment of Approvers Enable Disable

List of Appointed Approvers

User ID	User Full Name	Start Time	End Time	No. of Submissions	Status
<input type="checkbox"/> 12345PP02	Chan Siu Man	13/09/2021 00:00	30/09/2021 23:59		Active
<input type="checkbox"/> 12345PP02	Chan Siu Man	11/08/2021 00:00	31/01/2022 23:59		Deleted

Total Number of Records : 2

Navigation: << < 1 > >>

Buttons: Edit Create Delete Back to Home

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.

Appointment Details

* Denotes mandatory fields

*Approver: 12345PP02 Chan Siu Man

*Appointment Criteria: Time Range only

*Start Time: 13/09/2021 00:00:00

*End Time: 30/09/2021 23:59

Confirm

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

Confirmation

Are you sure to delete this record?

Confirm Cancel

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.

The screenshot shows the 'Appointment of Agents for Publication Related Matters' page for a listed issuer. The page header includes the HKEX logo and the system name. The main content area features a table titled 'List of Appointed Agents' with the following data:

Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
<input type="checkbox"/> OTABCDE	ABC Financial Agent	13/09/2021 00:00	13/09/2021 23:59		Expired	Submission & Approval

Below the table, it indicates 'Total Number of Records : 1' and provides navigation controls (back, forward, search, etc.).

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.

The screenshot shows the 'Appointment of Agents for Publication Related Matters' page for an agent. The page header includes the HKEX logo and the system name. The main content area features a table titled 'List of Representing Issuers' with the following data:

Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
LM12345	ABC Company	13/09/2021 00:00	13/09/2021 23:59		Active	Submission & Approval
LM5555S	AAA Listed Company	04/08/2021 00:00	31/08/2021 23:59	50	Expired	Submission & Approval
LM00999	XYZ Company	10/08/2021 00:00	31/08/2021 23:59		Expired	Submission & Approval

Below the table, it indicates 'Total Number of Records : 3' and provides navigation controls (back, forward, search, etc.). A 'Print' button is visible at the bottom left of the table area.

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 Display²):-
 - 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.

The screenshot shows the 'Appointment of Agents for Publication Related Matters' page. At the top, there is a header with the HKEX logo and 'e-Submission System'. Below the header, there is a navigation bar with 'Home' and 'Admin' links. The main content area displays a table with the following columns: Company Code, Company Name, Start Time, End Time, No. of Submissions, Status, and Appointment Type. Below the table, there is a 'Total Number of Records : 0' and a row of buttons: Edit, Create (highlighted with a red box), Delete, and Back to Home.

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

The screenshot shows the 'Appointment Details' form. It includes the following fields:

- *Company Code: COMPANY CODE
- *Company Name: Print
- *Appointment Criteria: AAA Printing, BBB Printing Company
- *Appointment Type: (empty)

 A 'Confirm' button is located at the bottom left of the form.

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.

The screenshot shows the 'Appointment Details' form with the 'Appointment Criteria' dropdown menu open. The dropdown menu has the following options:

- Please Select
- No. of Submissions only
- Time Range only
- Time Range & No. 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.

Appointment Details

*Denotes mandatory fields

*Company Code

*Company Name

*Appointment Criteria

*Start Time *End Time

*Appointment Type

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.

Appointment Details

*Denotes mandatory fields

*Company Code

*Company Name

*Appointment Criteria

*Start Time *End Time

*Appointment Type

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 be 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.



HKEX
香港交易所

e-Submission System

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

Font Size A A A EN 繁

Home Admin
Logout

Welcome Tai Man Chan | 15/09/2021 10:55

Appointment of Agents for Publication Related Matters

List of Appointed Agents

Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
<input type="checkbox"/> OTABCDE	ABC Financial Agent	13/09/2021 00:00	13/09/2021 23:59		Expired	Submission & Approval

Total Number of Records : 1

<< < 1 > >>

- 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.

Appointment Details

*Denotes mandatory fields

*Company Code: OTABCDE

*Company Name: ABC Financial Agent

*Appointment Criteria: Time Range & No. of Submissions

*Start Time: 15/09/2021 00:00:00

*End Time: 30/09/2021 23:59

*No. of Submissions: 3

*Appointment Type: Submission & Approval

Confirm

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

Confirmation

Are you sure to delete this record?

Confirm Cancel

- 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.

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

HKEX 香港交易所

e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Logout

Welcome Tai Man Chan | 13/09/2021 15:40

Appointment of Agents for Listing Related Matters

List of Appointed Agents

	Company Code	Company Name	Start Time	End Time	Status
<input type="checkbox"/>	OTABCAG	ABC Agent Company	02/09/2021 00:00	30/09/2021 23:59	Active

Total Number of Records : 1

Edit Create Delete Back to Home

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.

HKEX 香港交易所 e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Logout
Welcome Tai Man Chan | 13/09/2021 15:53

Appointment of Agents for Listing Related Matters

List of Representing Issuers

Company Code	Company Name	Start Time	End Time	No. of Submissions	Status	Appointment Type
LM12345	ABC Company	13/09/2021 00:00	13/09/2021 23:59		Active	Submission & Approval
LM5555S	AAA Listed Company	04/08/2021 00:00	31/08/2021 23:59	50	Expired	Submission & Approval
LM00999	XYZ Company	10/08/2021 00:00	31/08/2021 23:59		Expired	Submission & Approval

Total Number of Records : 3

Back to Home Print

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.

HKEX 香港交易所 e-Submission System
The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

Home Admin Logout

Appointment of Agents for Listing Related Matters

List of Appointed Agents

Company Code	Company Name	Start Time	End Time	Status
--------------	--------------	------------	----------	--------

Total Number of Records : 0

Edit Create Delete Back to Home

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

Appointment Details

*Denotes mandatory fields

*Company Code

*Company Name

Confirm

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

Appointment Details

*Denotes mandatory fields

*Company Code

*Company Name

*Start Time *End Time

- 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 be able to represent your company for e-Form submissions.

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



HKEX
香港交易所

e-Submission System

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

Font Size A A A

EN 

Home Admin
Logout

Appointment of Agents for Listing Related Matters

List of Appointed Agents

Company Code	Company Name	Start Time	End Time	Status
<input type="checkbox"/> OTAGENT	ABC Printing Company	01/04/2020 00:00	03/04/2020 23:59	Active

Total Number of Records : 1

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

Appointment Details

*Denotes mandatory fields

*Company Code

*Company Name

*Start Time *End Time

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

Confirmation ✕

Are you sure to delete this record?

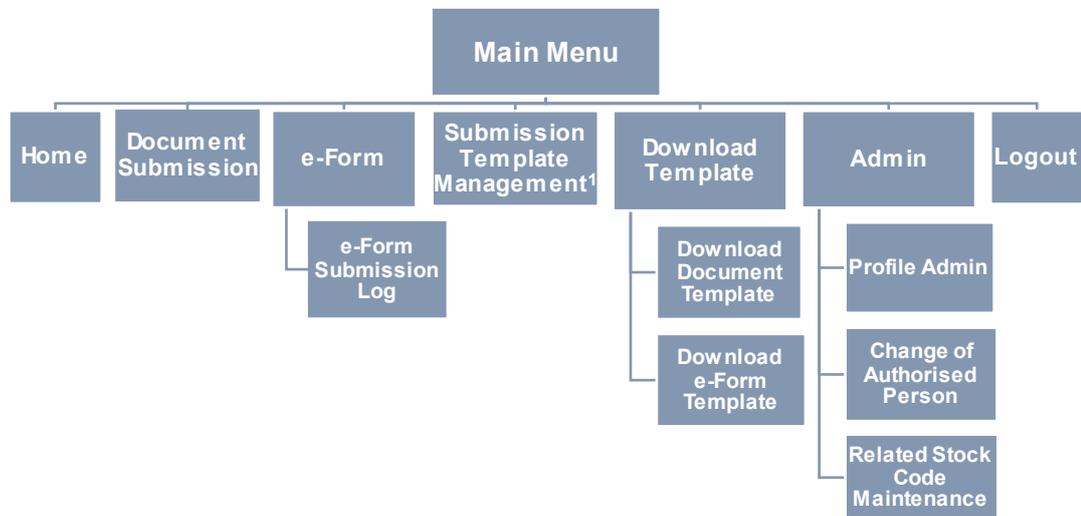
- If the appointment has been updated or deleted successfully, an acknowledgement message will be displayed.

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**.

The screenshot displays the 'Company Profile' page in the e-Submission System. The page header includes the HKEX logo and the system title. A navigation bar at the top contains links for Home, Document Submission, E-Form, Download Template, Admin, and Logout. The main content area is titled 'Company Profile' and contains a 'Company Details' section with a form. The form fields are as follows:

Company Code	LM00009	Company Type	Main Board Issuer
Company Name (English)	ABC Company		
Company Name (Chinese)	ABC 公司		
Company Website	http://www.nine-express.com.hk		
Address (English)	Room 4101, 41/F, Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong	Address (Chinese)	Chinese Address line 1 Chinese Address line 2 Chinese Address line 3 Chinese Address line 4
Fax No.	2579 1712		

At the bottom of the form, there are four buttons: 'Amend Company Profile' (highlighted with a red box), 'User List', 'My Profile', and 'Back to Home'.

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

Company Profile - Edit

* Denotes mandatory fields

Company Details

Company Code	<input type="text" value="LM12345"/>	Company Type	<input type="text" value="Main Board Issuers"/>
* Company Name (English)	<input type="text" value="ABC Company"/>		
Company Name (Chinese)	<input type="text" value="ABC 公司"/>		
Company Website	<input type="text"/>		
* Address (English)	English Address 1	Address (Chinese)	中文地址1
	English Address 2		中文地址2
	English Address line 3		Chinese Address line 3
	English Address line 4		Chinese Address line 4
Fax No.	<input type="text" value="Fax No."/>		

Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Save, I confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the HKEX [Privacy Policy](#).

- 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

- Select **Profile Admin** under **Admin** from Main Menu. The Company Details page will be displayed.
- Click **USER LIST**. The User Profile List page will be displayed.



HKEX
香港交易所

e-Submission System

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

Font Size A

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.

The screenshot shows the 'User Profile - Change of Authorised Person' page in the e-Submission System. The page header includes the HKEX logo and navigation links. The main content area is divided into sections: 'Company Details' with fields for Company Code (LM12345), Company Name (ABC Company), and Company Type (Structured Product Issuers); 'Request For' with a dropdown menu showing options like 'Change of Primary Authorised Person'; and 'User Details' which is partially visible at the bottom.

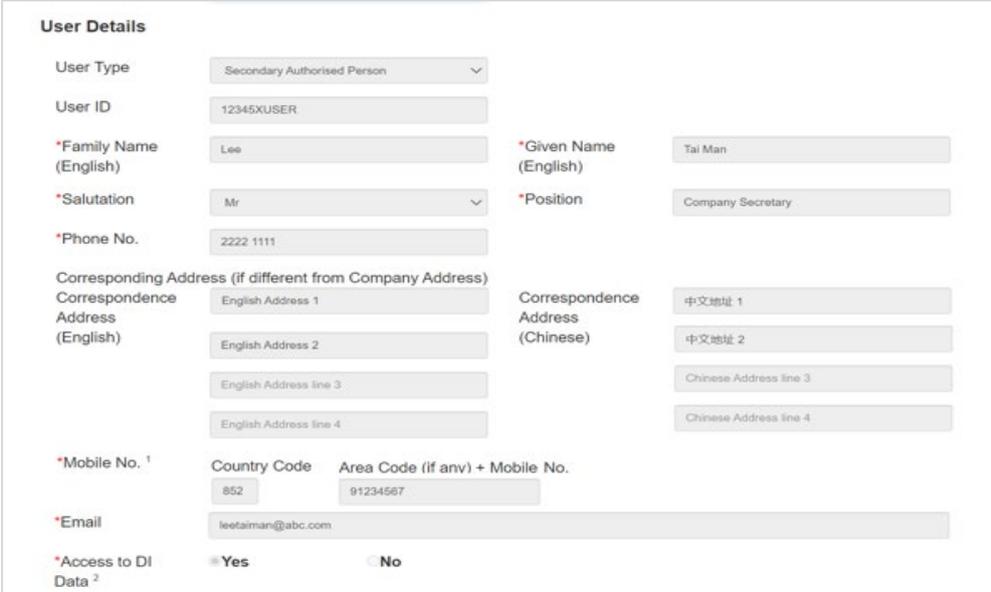
3. For the request for a change or an addition of authorised person, fill in the new Authorised Person's details including User Name, Contact Information etc.

The 'User Details' form contains the following fields and sections:

- User Type:** Primary Authorised Person (dropdown)
- *User Name ¹:** USER NAME
- *Family Name (English):** Family Name (English)
- *Salutation:** Please Select (dropdown)
- *Phone No.:** Phone No.
- User ID:** [Empty field]
- *Given Name (English):** Given Name (English)
- *Position:** Position
- Corresponding Address (if different from Company Address):**
 - Correspondence Address (English):** English Address line 1, 2, 3, 4
 - Correspondence Address (Chinese):** Chinese Address line 1, 2, 3, 4
- *Mobile No. ²:**
 - Country Code:** 852
 - Area Code (if any) + Mobile No.:** 91234567
- *Email:** Email
- *Access to DI Data ³:** Yes No

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.
² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.
³ Access to view and download Disclosure of Interests ("DI") notices filed with the Exchange concerning on its own company. (Applicable to listed issuers only)

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



User Details

User Type: Secondary Authorised Person

User ID: 12345XUSER

*Family Name (English): Lee

*Salutation: Mr

*Phone No.: 2222 1111

*Given Name (English): Tai Man

*Position: Company Secretary

Corresponding Address (if different from Company Address)

Correspondence Address (English): English Address 1, English Address 2, English Address line 3, English Address line 4

Correspondence Address (Chinese): 中文地址 1, 中文地址 2, Chinese Address line 3, Chinese Address line 4

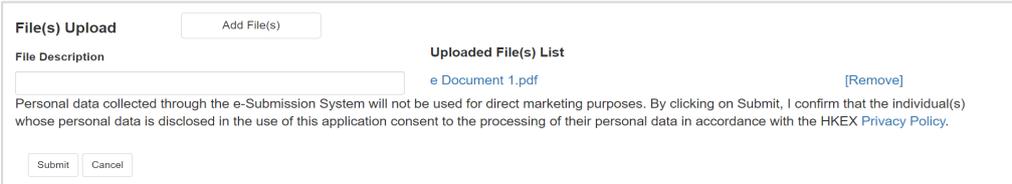
*Mobile No. ¹: Country Code: 852, Area Code (if any) + Mobile No.: 91234567

*Email: leetaiman@abc.com

*Access to DI Data ²: Yes No

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.



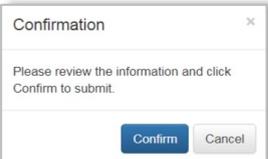
File(s) Upload: Add File(s)

File Description	Uploaded File(s) List
	e Document 1.pdf [Remove]

Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Submit, I confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the HKEX [Privacy Policy](#).

Submit Cancel

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



Confirmation

Please review the information and click Confirm to submit.

Confirm Cancel

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.

The screenshot shows the 'Related Stock Code Maintenance' page. At the top, there is the HKEX logo and the system title 'e-Submission System'. Below the title, there is a navigation menu with options: Home, Document Submission, e-Form, Download Template, Admin, and Logout. The main content area contains a form with the following fields: Company Code (LM12345), Company Name (ABC Company), and Company Type (Main Board Issuers). There are 'Add' and 'Back to Home' buttons at the bottom of the form.

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

The screenshot shows the 'Related Stock Code Details' form. It has a title 'Related Stock Code Details' and a 'Save' button. The form contains two mandatory fields: Stock Code (04562) and Stock Name (DEBT2). A note indicates that asterisks denote mandatory fields.

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

The screenshot shows the 'Related Stock Code Maintenance' page with the 'Related Stock Code List' table. The table has columns for #, Stock Code, and Stock Name. Two rows are shown: 1 with Stock Code 04561 and Stock Name DEBT 1, and 2 with Stock Code 04562 and Stock Name DEBT 2. Each row has a '[Remove]' button next to it.

#	Stock Code	Stock Name	
1	04561	DEBT 1	[Remove]
2	04562	DEBT 2	[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.

The screenshot shows the 'Document Submission Log' page in the e-Submission System. The page header includes the HKEX logo and navigation links. The main content area contains a search form with the following fields:

- Subject Company Code:
- Case No.:
- Submission Date From:
- To:
- Retrieve button

Below the search form is a table with the following data:

Case Type	Subject Company	Submitted By (Company)	Submitted By (Person)	Uploaded Documents	Date/Time Submitted
New / Non-Case	LM12345	LM12345 - ABC Company	00008LUATL1	[Declaration and Undertaking Forms-clone.docx]	27/04/2020 15:58:34

Total Number of Records : 1

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.

The screenshot shows the 'Submission History' page in the e-Submission System. The page header includes the HKEX logo and navigation links. The main content area contains a search form with the following fields:

- Submission Type:
- Submission Number:
- Stock Code of Issuer:
- Last Modified Date From (DD/MM/YYYY):
- To:
- Status:
- Tier 1 Headline:
- Search button

Below the search form is a table with the following data:

Stock Code of Issuer	Tier 1 Headline & Title	Submission Number	Status	Submission Time & User ID	Approval/Rejection Time & User ID	Correction of Headline - Request Time & User ID	Correction of Headline - Approval/Rejection Time & User ID
----------------------	-------------------------	-------------------	--------	---------------------------	-----------------------------------	---	--

Total Number of 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.

Case Type	Subject Company	Submitted By (Company)	Submitted By (Person)	Uploaded Documents	Date/Time Submitted
New / Non-Case	LM12345	LM12345-ABC Company	12345PP01	2021090800007.pdf	08/09/2021 10:51:09
New / Non-Case	LM12345	LM12345-ABC Company	12345PP01	2021090800009.pdf	08/09/2021 10:58:04
New / Non-Case	LM12345	LM12345-ABC Company	12345PP01	2021090800011.pdf	08/09/2021 11:05:00
New / Non-Case	LM12345	LM12345-ABC Company	12345PP01	2021090800013.pdf	08/09/2021 11:15:55
New / Non-Case	LM12345	LM12345-ABC Company	12345PP01	2021090800015.pdf	08/09/2021 11:21:15
New / Non-Case	LM12345	LM12345-ABC Company	12345PP01	2021090800017.pdf	08/09/2021 11:26:31

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.

Template Name	Last Update Date/Time
<input checked="" type="checkbox"/> Issuer Name	03/10/2014 01:15:03

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

The screenshot shows the 'Submission Template Management - Issuer Name' page in the e-Submission System. The page header includes the HKEX logo and navigation links. The main content area contains two input fields: 'English Issuer Name' (containing 'ABC Group') and 'Chinese Issuer Name' (containing 'ABC集團'). Below the fields are 'Save' and 'Cancel' buttons. A note indicates that an asterisk denotes mandatory fields.

- 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

- Select **Submission Template Management** from Main Menu.
- 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**.

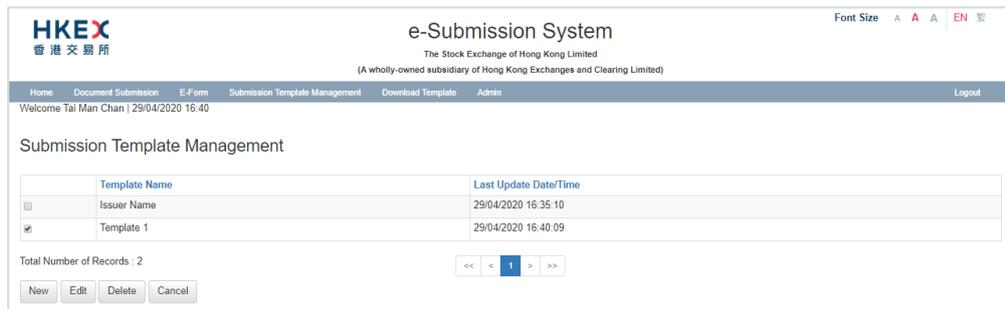
The screenshot shows the 'Submission Template Management - Create / Edit Template' page. The page includes several input fields: 'Template Name', 'Contact Person', 'Contact Number', 'Tier 1 Headline' (a dropdown menu currently showing 'Debt and Structured Products'), and 'Tier 2 Headline' (a list of available items). Below the list is an 'Add' button. There are also fields for 'English Title' and 'Chinese Title'. At the bottom, there is a 'Save' button (highlighted with a red box) and a 'Cancel' button. A privacy notice is visible at the bottom of the page.

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 be 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.

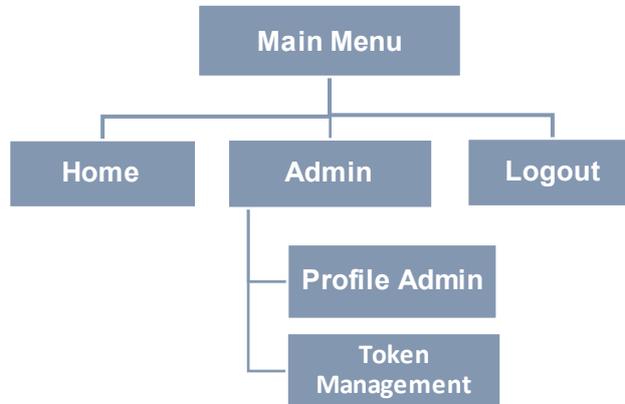


6 For Security Officer

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.

The screenshot displays the 'Company Profile' page in the e-Submission System. The page header includes the HKEX logo and system title. The main content area is titled 'Company Profile' and contains a 'Company Details' section with various input fields. At the bottom of the page, there are four buttons: 'Amend Company Profile', 'User List', 'My Profile', and 'Back to Home'. The 'My Profile' button is highlighted with a red rectangular box.

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.

The screenshot shows the 'User Profile List' page in the e-Submission System. At the top, there is a header with the HKEX logo and the system title 'e-Submission System'. Below the header, there are navigation links for 'Home' and 'Admin', and a 'Logout' link. The main content area is divided into two sections: 'Company Details' and 'User Profile List'. The 'Company Details' section shows the company code 'LM12345' and company name 'ABC Company'. The 'User Profile List' section contains a table with the following data:

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 12345AADM	Chan Siu Man	Administrator	Active	No	No
<input type="checkbox"/> 12345P01	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 12345PP01	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
<input type="checkbox"/> 12345PP02	Chan Siu Man	Publication Related Matters User - Approver	Active	No	No
<input type="checkbox"/> 12345SSOR	Lam Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 12345XAP1	Chan Tai Man	Primary Authorised Person	Active	Yes	Yes
<input type="checkbox"/> 12345XCHAN	Chan Tai Man	Secondary Authorised Person	Active	Yes	No

Below the table, there is a 'Total Number of Records : 7' and a pagination control showing '1' of 7 records. At the bottom left of the table area, a 'New' button is highlighted in red.

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

The screenshot shows the 'User Profile - New' form. The form contains the following fields:

- User Type:** A dropdown menu with 'Please Select'.
- User Name:** A text input field.
- Resigned:** Radio buttons for 'Yes' and 'No'.
- Family Name (English):** A text input field.
- Salutation:** A dropdown menu with 'Please Select'.
- Phone No.:** A text input field.
- Mobile No.:** A text input field.
- Country:** A dropdown menu with '852' selected.
- Area Code (if any) + Code:** A text input field with '91234567' entered.
- Given Name (English):** A text input field.
- Position:** A text input field.
- Email:** A text input field.

At the bottom of the form, there are 'Add' and 'Cancel' buttons. A 'New' button is highlighted in red at the bottom left of the form area.

¹ The User Name will form part of the User ID and only accept 2-6 alpha-numeric characters.
² Mobile No. will be used to receive One-Time Password via SMS. For overseas mobile number, please enter the country code and area code (if any). E.g. 86 for China, 853 for Macau.
 Personal data collected through the e-Submission System will not be used for direct marketing purposes. By clicking on Add, I confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the HKEX Privacy Policy.

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.

The screenshot shows the 'e-Submission System' interface. At the top, it says 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. Below that, there's a 'Welcome Tai Man Lam | 14/09/2021 12:00' message. The 'Company Details' section shows 'Company Code: LM12345', 'Company Name: ABC Company', and 'Company Type: Main Board Issuers'. The 'User Profile List' section has search filters for 'User ID' and 'User Name'. Below is a table with columns: User ID, User Full Name, User Type, Status, Access to DI Data, and Locked. The table contains 7 rows of user data. At the bottom of the table, there are navigation buttons: 'New', 'User Details' (highlighted with a red box), 'Unlock', and 'Back to Home'. A 'Total Number of Records : 7' is also displayed.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 12345AADM	Chan Siu Man	Administrator	Active	No	No
<input type="checkbox"/> 12345P01	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 12345PP01	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
<input type="checkbox"/> 12345PP02	Chan Siu Man	Publication Related Matters User - Approver	Active	No	No
<input type="checkbox"/> 12345SSOR	Lam Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 12345XAP1	Chan Tai Man	Primary Authorised Person	Active	Yes	Yes
<input type="checkbox"/> 12345XCHAN	Chan Tai Man	Secondary Authorised Person	Active	Yes	No

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;

The screenshot shows the 'User Profile - Edit' form. It includes a legend: '* Denotes mandatory fields'. The 'User Details' section has fields for 'User Type' (Publication Related Matters User - Submitter), 'User ID' (12345P01), and a 'Resigned' flag with radio buttons for 'Yes' and 'No' (the 'No' button is selected and highlighted with a red box). Other fields include 'Family Name (English)' (Chan), 'Salutation' (Ms), 'Phone No.' (2222 1111), 'Mobile No.' (with a footnote), 'Country Code' (852) and 'Area Code (if any) + Mobile No.' (91234567), 'Email' (chantai@abc.com), and 'Token Selection' (Software Token). There are also 'Given Name (English)' (Tai Man) and 'Position' (Officer) fields. At the bottom, there are 'Save' and 'Cancel' buttons and a privacy policy notice.

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 locked³ 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.

User ID	User Full Name	User Type	Status	Access to DI Data	Locked
<input type="checkbox"/> 12345AADM	Chan Siu Man	Administrator	Active	No	No
<input type="checkbox"/> 12345P01	Chan Tai Man	Publication Related Matters User - Submitter	Inactive	No	No
<input type="checkbox"/> 12345PP01	Chan Tai Man	Publication Related Matters User - Submitter	Active	No	No
<input type="checkbox"/> 12345PP02	Chan Siu Man	Publication Related Matters User - Approver	Active	No	No
<input type="checkbox"/> 12345SSOR	Lam Tai Man	Security Officer	Active	No	No
<input type="checkbox"/> 12345XAP1	Chan Tai Man	Primary Authorised Person	Active	Yes	Yes
<input type="checkbox"/> 12345XCHAN	Chan Tai Man	Secondary Authorised Person	Active	Yes	No

Total Number of Records : 7

Navigation: New, User Details, **Unlock**, Back to Home

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.

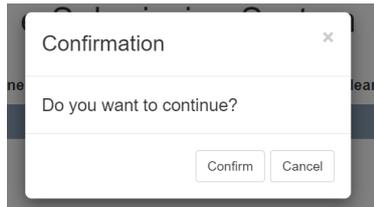
User ID	User Full Name	Token Status	Request Approval	Approval Status
<input checked="" type="checkbox"/> 12345AADM	Chan Siu Man	Activated		
<input type="checkbox"/> 12345P01	Chan Tai Man	Activated	Revoke Token	Pending Approval
<input type="checkbox"/> 12345PP01	Chan Tai Man	Activated		
<input type="checkbox"/> 12345PP02	Chan Siu Man	Activated		
<input type="checkbox"/> 12345SSOR	Lam Tai Man	Activated		
<input type="checkbox"/> 12345XAP1	Chan Tai Man	Activated		
<input type="checkbox"/> 12345XCHAN	Chan Tai Man	Activated		

Total Number of Records : 7

Navigation: Assign Token, **Revoke Token**, Cancel

³ If accounts of Authorised Persons or DI Users are “Locked” in DION System (<https://sdnotice.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.

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

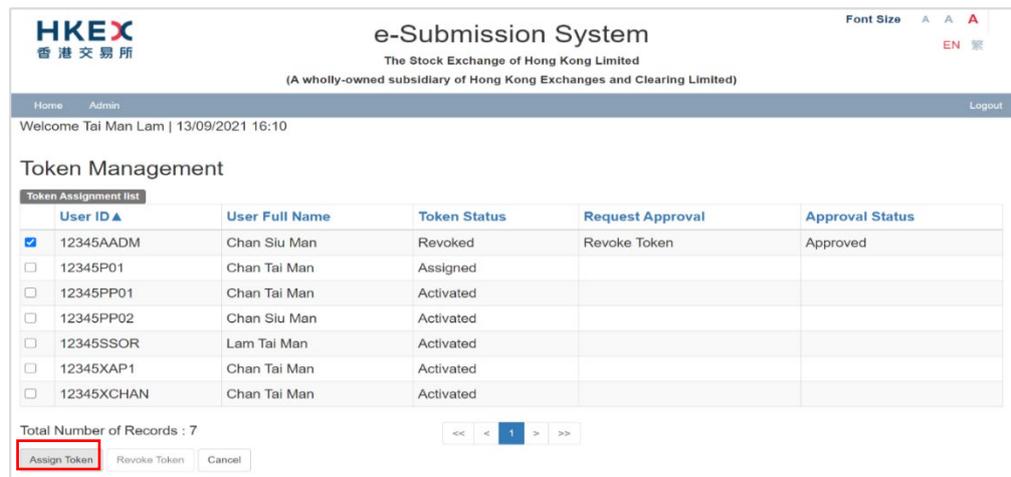


- If the request has been submitted successfully, a confirmation message will be displayed. The Approval Status displays "Pending Approval".

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:

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



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



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

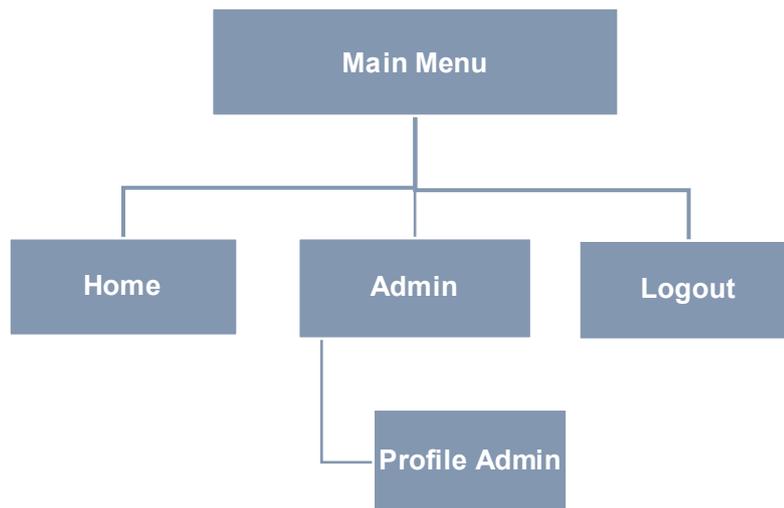
Once the token has been revoked, user is required to re-activate his/her user account and set-up a new token in his/her mobile device (refer to the section "First-time login to e-Submission System" of respective user manual for details).

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.