



e-Submission System User Manual

For

Listing Related Matters

July 2019

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1 General Overview

1.1 Introduction

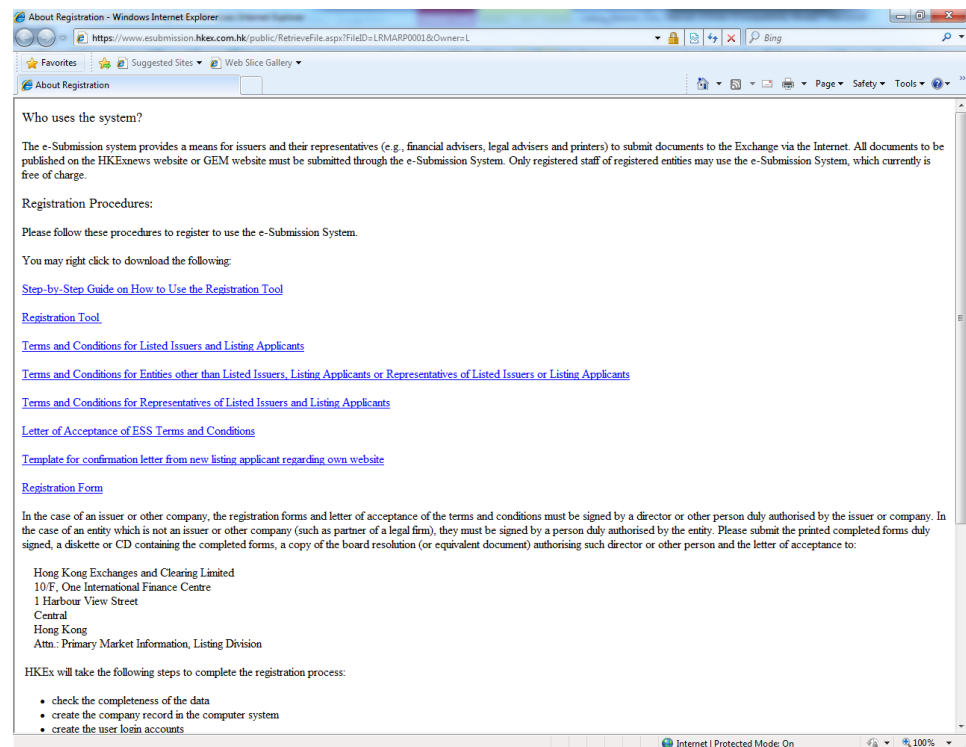
The e-Submission system provides a means for external companies to submit documents to the Exchange via internet. Submitted documents will be sent to the Document Management System of the Exchange directly and responsible Exchange staff will be alerted immediately. Therefore, the e-Submission System provides a more effective, efficient and secured medium for the communication between external companies and the Exchange.

1.2 Registration

A company must be registered before its staff may use the e-Submission facilities. This safeguards the system from being used by unauthorised users. In general, it is assumed that listed companies will submit documents for its own and other companies, such as financial advisors, will submit documents on behalf of other companies. Each company would have one administrator, one security officer and up to eight Listing Related Matter User or Publication Related Matter User accounts. They may also assign the operation type (handling listing related matter or publication related matter) to each user at their discretion.

All the relevant documents for registration including form and agreement can be downloaded from the About Registration Page in the e-Submission System (<https://www.esubmission.hkex.com.hk>).

Figure 1.1

*About
Registration*

1.3 Security Control

Apart from user login account control, transmission is protected by the 128-bit SSL encryption mechanism. The Exchange's Document Management System is not opened to external companies. Therefore, external companies can only view the submission history records but not the document submitted to the Exchange.

2 Listing Related Matter User's Manual

2.1 Introduction

Role of the Listing Related Matter User

Listing Related Matter Users are the persons who may submit document to the Listing Department of the Exchange. Each Listing Related Matter User can only view the submission history of himself/herself.

2.2 Login the system

Your company will apply a user account for you. This user account is protected by a password that can only be reset by you or the Security Officer of your company.

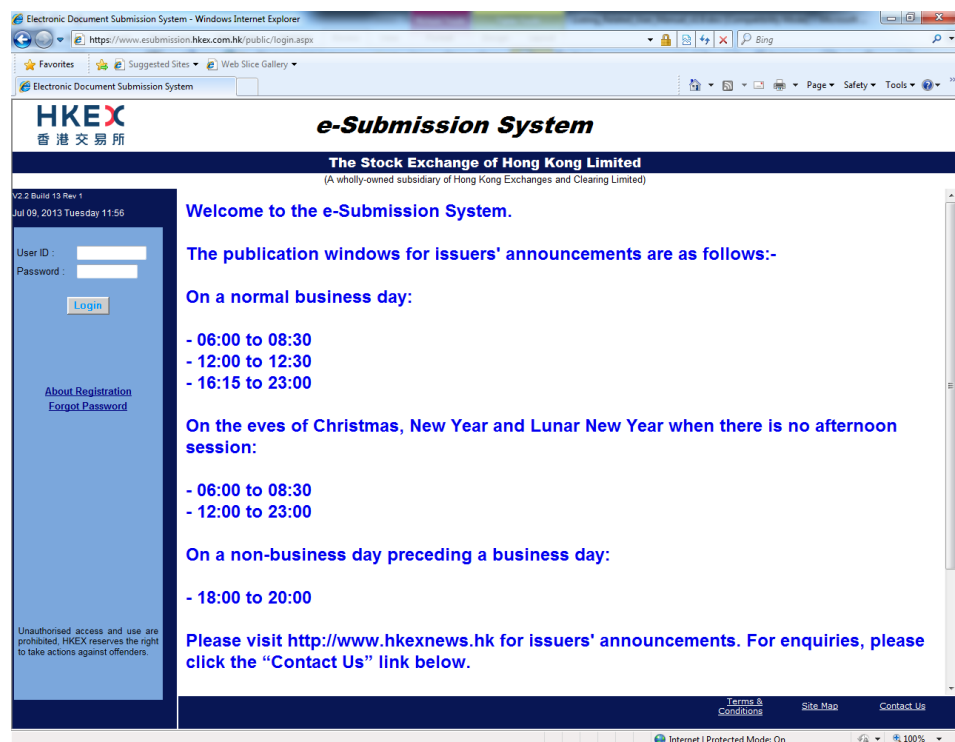
To login the e-Submission system,

1. Type the following URL at the address bar of your browser and press ENTER.

<https://www.esubmission.hkex.com.hk>

Figure 2.1

*e-Submission
Main Page*



NOTE: There are 2 useful links in the left panel of the login page:

- About Registration. The registration procedures are described and the relevant documents can be downloaded. Please refer to section 'Registration' under 'General Overview'
- Forgot Password. In case you forget the password, you will find the procedures to handle the situation and the form to reset the password for downloading.

Figure 2.2



Forgot Password

CONFIDENTIAL

ADMINISTRATION OF E-SUBMISSION USER ACCOUNT

EXPLANATORY NOTES

Fax No. +852 2523 1254

1. This form must be completed in BLOCK letters.
2. This form must be signed by Authorised Person (for subsequent registration matters) of your company.
3. The new user ID and/or user password will be sent by registered mail to the Primary Authorised Person.
4. If you are in doubt as to how to complete this Form, please contact the ESS Hotline (+852 2840-3460). To assist us in improving our service to you, telephone calls may be recorded.

A. PARTICULARS OF COMPANY

Company Code	
Company Name	

B. REQUEST FOR (Please tick where appropriate.)

- ☐ Add New User Account (Please complete Section C)
- ☐ Remove Existing User Account (Please complete Section D)
- ☐ Unlock Authorised Person/Administrator/Security Officer User Account (Please complete Section E)

C. PARTICULARS OF NEW USER

1. User Type ¹ (Select one only)	<input type="checkbox"/> Listing-Related Matters User <input type="checkbox"/> Publication-Related Matters User	<input type="checkbox"/> Security Officer <input type="checkbox"/> Administrator	<input type="checkbox"/> DI user ² <input type="checkbox"/>
Username ³ (2-8 characters)		Salutation	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>
Family Name		Given Names	
Position		Fax No.	
Phone No.		Mobile No. <small>(Country Code - Area Code - Mobile No.)</small>	
Email Address			

2. User Type ¹ (Select one only)	<input type="checkbox"/> Listing-Related Matters User <input type="checkbox"/> Publication-Related Matters User	<input type="checkbox"/> Security Officer <input type="checkbox"/> Administrator	<input type="checkbox"/> DI user ² <input type="checkbox"/>
Username ³ (2-8 characters)		Salutation	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>
Family Name		Given Names	
Salutation	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/>	Fax No.	
Phone No.		Mobile No. <small>(Country Code - Area Code - Mobile No.)</small>	
Email Address			

¹ Subject to the maximum number of user accounts of:- 1 for Administrator account, 1 for Security officer account, and 8 for Publication-Related Matters accounts.

² DI user is applicable to listed issuer only for accessing DI information.

³ The Username will form part of the ESS User ID for accessing to the ESS. It accepts only alphabet and numbers.

D. REMOVAL OF EXISTING USER ACCOUNT

1. ESS User ID		Name	
2. ESS User ID		Name	

E. UNLOCK AUTHORISED PERSON / ADMINISTRATOR / SECURITY USER ACCOUNT

1. ESS User ID		Name	
2. ESS User ID		Name	

2. Enter your *User ID* and *Password* and click LOGIN.

NOTE:

- *User ID* is case insensitive and Password is case sensitive throughout the site. The user password must be at least 6 characters long and no longer than 10 characters.
- If this is your first time logging in to the system, the **Reset Password** screen will appear. You must change your login password in order to proceed. For more information on resetting your password, please refer to section 'Reset Your Login Password'.

Figure 2.3

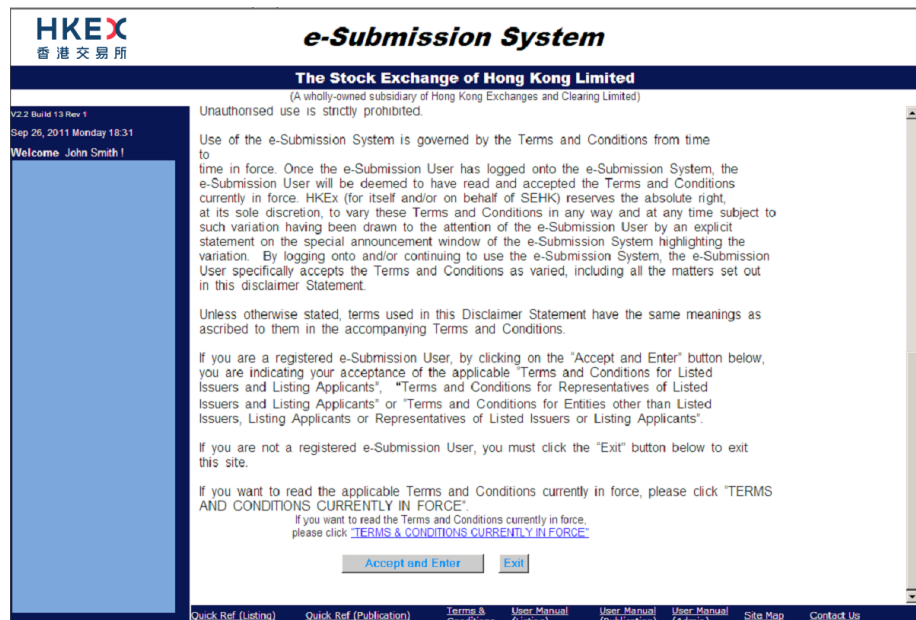
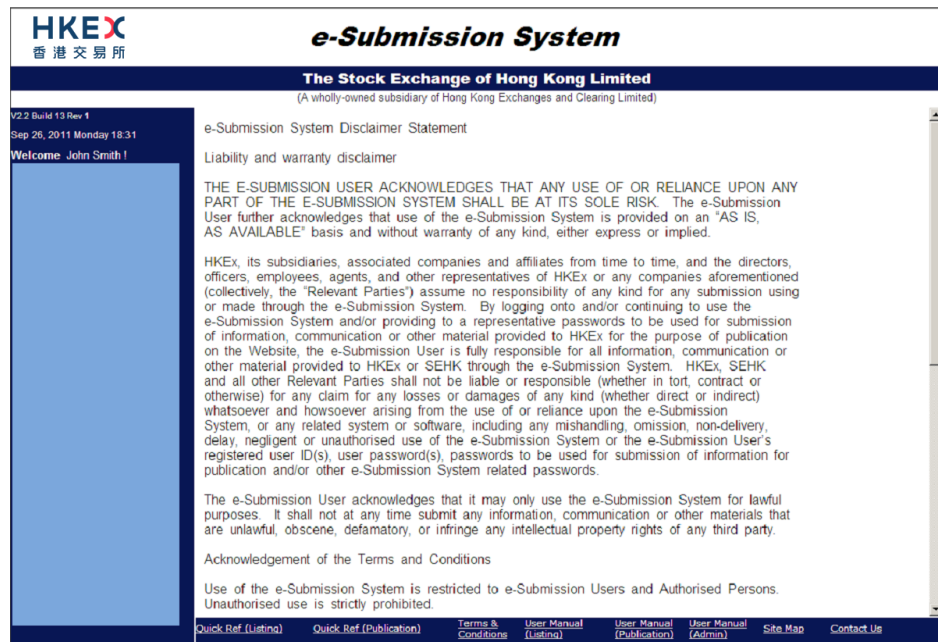
You will be requested to reset password for first time login



The disclaimer message is displayed:

Figure 2.4

**Listing Related
Matter
Disclaimer Page**



- Please read the message carefully. Then click **ACCEPT AND ENTER** if you agree to accept the terms and conditions, and proceed to the **User Home Page**.

NOTE: Clicking **EXIT** will take you back to the **User Main Page** without logging-in.

Figure 2.5

Listing Related
Matter User
Home Page



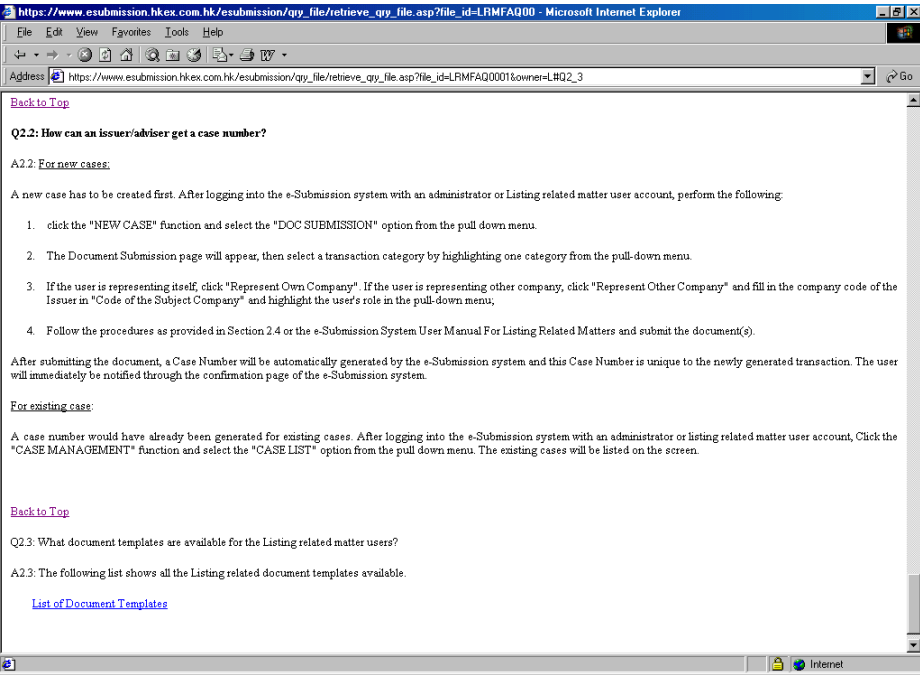
Should you encounter problems logging-in, please contact your company's Security Officer.

NOTE: There is a useful link found on the left panel:

- FAQs for Listing Related Matters. Frequently asked questions and answers for using e-Submission System and Listing Related Matters functions can be found.

Figure 2.6

Frequently
Asked
Questions
and
Answers



2.3 Document Submission

2.3.1 Submit Document

To submit documents to the Exchange via the e-submission system,

1. Click **Document Submission** under the menu and **Submit document** on drop down menu. The **Listing Related Matter Document Submission** Page will be displayed.
2. Select the option (i) **Existing Case Number (for document with a case number assigned)** and enter the existing case number or (ii) **New Case / Non Case (for document without a case number assigned)** and enter the company code, then click NEXT to next page.

Note: New Case/ Non Case option is only applicable to submissions to Listed Issuer Regulation of the Listing Department only.

Figure 2.7

**Existing Case
Document
Submission
Page**

Electronic Document Submission System - Windows Internet Explorer

https://www.esubmission.hkex.com.hk/Main.aspx

File Edit View Favorites Tools Help

Favorites Electronic Document Submission System

Page Safety Tools

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)

V2.2 Build 13 Rev 1
Sep 27, 2011 Tuesday 16:04
Welcome John Smith!

[Main Menu](#)
[List of Document Templates](#)
Note: Please go to Download Doc Template function
[FAQ for Listing Related Matters](#)
[Training Enrollment](#)

Document Submission **Download Doc Template** **ADMIN** **LOGOUT**

Listing Related Matter Document Submission

Case type: ☐ New case / Non-Case ☒ Existing Case Number:

Subject company code: (Note: L100000 for Main Board issuer and L100000 for OEM Board issuer. A100000 for Main Board new applicant and A100000 for OEM Board new applicant.)

Next

[Quick Ref. \(Listing\)](#) [Quick Ref. \(Publication\)](#) [Terms & Conditions](#) [User Manual \(Listing\)](#) [User Manual \(Publication\)](#) [User Manual \(Admin\)](#) [Site Map](#) [Contact Us](#)

Internet 100%

Figure 2.8

New Case/Non-Case Document Submission Page

The screenshot shows the 'e-Submission System' interface for 'The Stock Exchange of Hong Kong Limited'. The page title is 'Listing Related Matter Document Submission'. On the left, there is a 'Main Menu' with links to 'List of Document Templates', 'FAQ for Listing Related Matters', and 'Training Enrollment'. The main content area has a 'Case type' section with radio buttons for 'New case / Non-Case' (selected) and 'Existing Case Number:'. Below this is a 'Subject company Name' field with the value 'LM00001' and a 'Next' button. The footer contains links for 'Terms & Conditions', 'Site Map', and 'Contact Us'.

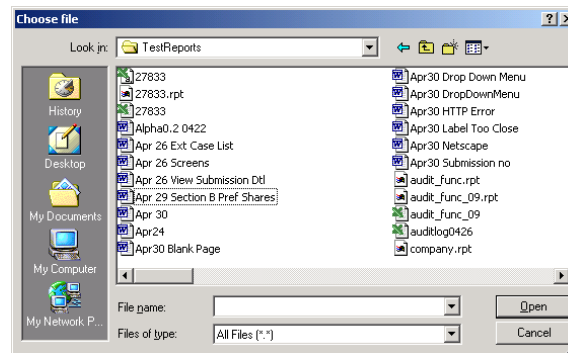
3. Enter the full name of the file (including the pathname, filename and file extension) to be submitted, or click BROWSE to select the file.

Figure 2.9

Existing Case Document Submission Page

The screenshot shows the 'e-Submission System' interface for 'The Stock Exchange of Hong Kong Limited'. The page title is 'Listing Related Matter Document Submission'. On the left, there is a 'Main Menu' with links to 'List of Document Templates', 'FAQ for Listing Related Matters', and 'Training Enrollment'. The main content area has a 'Case type' section with radio buttons for 'New case / Non-Case' and 'Existing Case Number: 20111109-111150-0001'. Below this is a 'Subject company Name' field with the value 'AM11150' and an 'Edit' button. The 'Name of file to be submitted:' field is empty, with a 'Browse...' button. The 'Document type:' dropdown is set to 'Pre-Listing Enquiry'. The 'Remark:' field is empty. Below this is a 'List of uploaded file(s):' table with columns 'Document Type', 'Filename', and 'Remark'. At the bottom, there is a 'Submit' button and a checkbox for 'Receive submission confirmation email'.

Figure 2.10

Browsing Files for Upload

4. Select the *Document Type* and enter the *Remark* if need. Click **UPLOAD** to upload the file. This process may take some time because the file will be transmitted to the Exchange for virus scanning. The Exchange will reject your file if it is virus infected, or otherwise, the document will be added to the list of **Files Pending for Submission**.

Figure 2.11

Submit Document For Existing Case – List of Files Pending for Submission

If Application Proof, PHIP and related statements made under Main Board Rule 9.08(2)(c) or GEM Rule 12.10(2)(c) is selected as the document type, enter the mandatory fields: (i) Contact Person and; (ii) Contact Number.

Fig 2.12

**Submit
Document For
Existing Case
(Application
Proof/PHIP) –
List of Files
Pending for
Submission**

The screenshot shows the 'e-Submission System' interface for 'The Stock Exchange of Hong Kong Limited'. The page is titled 'Listing Related Matter Document Submission'. It includes a sidebar with links like 'Main Menu', 'List of Document Templates', 'FAQ for Listing Related Matters', and 'Training Enrollment'. The main content area contains a form for submitting documents. The 'Case type' is set to 'Existing Case Number: 20111009-111150-0001'. The 'Subject Company Name' is 'ABC Company'. The 'Name of file to be submitted' is 'Pre-Listing Enquiry'. The 'Document type' is 'Pre-Listing Enquiry'. The 'Remark' field is empty. Below the form, there is a table listing uploaded files:

Document Type	Filename	Remark	Preview	Remove
Warning Statements (for Application Proof/PHIP/related materials)	XYZ-20131001-wam.pdf		Preview	Remove
Warning Statements (for Application Proof/PHIP/related materials)	CXYZ-20131001-wam.pdf		Preview	Remove

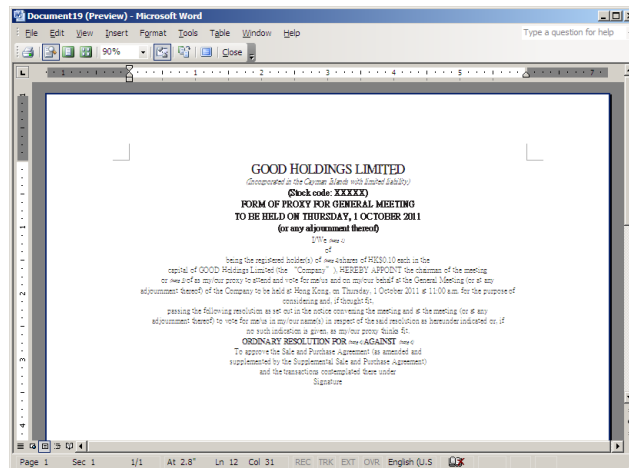
Below the table, there are fields for 'Contact Person' (Submitter) and 'Contact Number' (12345678). A red asterisk indicates that these are mandatory fields. There is also a checkbox for 'Receive submission confirmation email' and a 'Submit' button.

- Repeat steps 3 and 4 above to upload more documents. Documents will be added to the list of **Files Pending for Submission**.

NOTE: For each uploaded file, you can preview the contents or remove it if it is not the file that you want to submit. To preview the file content, click the PREVIEW button next to the filename. When you do so, another window will be popped up displaying the file content. This preview function does not allow you to edit the file. Should you find the uploaded file be incorrect, remove the file by clicking the REMOVE button next to the filename.

Figure 2.13

Preview the file pending for submission



- Check the checkbox if you want to receive a submission confirmation email.
- After you have uploaded all files for the case, click SUBMIT. The **Listing Related Matter Document Submission – Confirmation** page will be displayed.

Figure 2.14

Submit Document For Existing Case – Confirmation

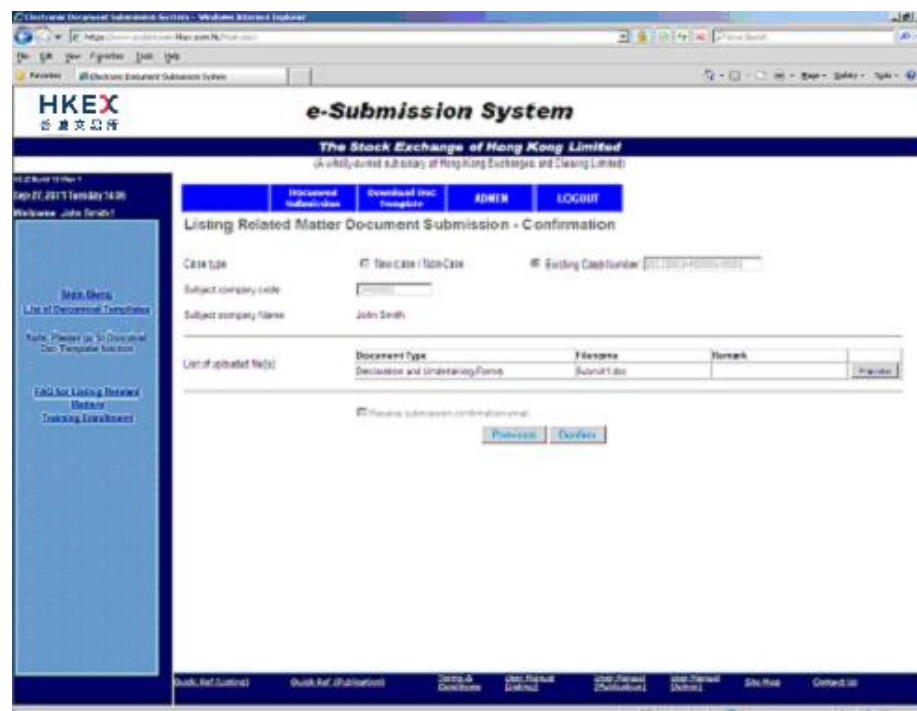


Figure 2.15

**Submit
Document For
Existing Case
(Application
Proof/PHIP) –
Confirmation**

Electronic Document Submission System - Windows Internet Explorer

http://localhost/UI/Main.aspx

Electronic Document Submission System

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)

V2.2 Build 13 Rev 1
Jul 11, 2013 Thursday 15:33
Welcome 00002L02 00002L02 I

[Main Menu](#)
[List of Document Templates](#)

Note: Please go to Download Doc Template function

[FAQ for Listing Related Matters](#)
[Training Enrollment](#)

[Document Submission](#) [Download Doc Template](#) [ADMIN](#) [LOGOUT](#)

Listing Related Matter Document Submission - Confirmation

Case type: ☐ New case / Non-Case ☒ Existing Case Number: 20111109-111150-0001

Subject company Name: XYZ Company
XYZ公司

Document Type	Filename	Remark
Application Proof (1st submission) - Full Version	CXYZ-20131001-Full.xls	Preview
Application Proof (1st submission) - Full Version	EXYZ-20131001-Full.xls	Preview

List of uploaded file(s):

Contact Person:

Contact Number:

☐ Receive submission confirmation email.

[Previous](#) [Confirm](#)

[Quick Ref. \(Listing\)](#) [Quick Ref. \(Publication\)](#) [User Manual \(Listing\)](#) [User Manual \(Publication\)](#) [User Manual \(Admin\)](#) [Terms & Conditions](#) [Site Map](#) [Contact Us](#)

Local intranet | Protected Mode: Off

8. Check the information on the confirmation page, click CONFIRM to submit document(s) or click PREVIOUS to return to the previous page for amendment if necessary.

NOTE: In general, you should use the PREVIOUS and NEXT buttons to navigate between the web form pages to guarantee preservation of your input details. The BACK button in your browser may lead to the lost of input details.

9. Once the submission process is completed, the ***Listing Related Matter Document Submission – Acknowledgement*** page will be displayed. Click OK and you will be taken back to the ***User Home Page***.

Figure 2.16

**Submit
Document For
Existing Case**

The screenshot displays the 'Listing Related Matter Document Submission - Acknowledgement' page of the HKEX e-Submission System. The page is titled 'e-Submission System' and 'The Stock Exchange of Hong Kong Limited'. It includes a navigation bar with links for 'Document Submission', 'Download Doc. Template', 'ADMIN', and 'LOGOUT'. The main content area shows the submission details for a new case, including the case type, subject company code, and name. A table lists the uploaded files, and there is an 'OK' button to confirm the submission.

Document Type	Filename	Remark
Declaration and Undertaking Forms	Submit1.doc	

☐ Receive submission confirmation email.

Figure 2.17

Submit Document For Existing Case (Application Proof/PHIP)

Electronic Document Submission System - Windows Internet Explorer

http://localhost/UI/Main.aspx

Electronic Document Submission System

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)

Q2.2 Build 13 Rev 1
Jul 11, 2013 Thursday 16:08
Welcome 00002L02 00002L02 !

[Main Menu](#)
[List of Document Templates](#)
Note: Please go to Download Doc Template function
[FAQ for Listing Related Matters](#)
[Training Enrollment](#)

[Document Submission](#) [Download Doc Template](#) [ADMIN](#) [LOGOUT](#)

Listing Related Matter Document Submission - Acknowledgement

Your Submission was processed. Please take down the submission details for future reference.

Case type: ☐ New case / Non-Case ☒ Existing Case Number: 20111109-111150-0001

Subject company Name: XYZ Company
XYZ 公司

Document Type	Filename	Remark
Warning Statements (for Application Proof/PHIP/related materials)	CKYZ-20131001-wam.pdf	
Warning Statements (for Application Proof/PHIP/related materials)	EKYZ-20131001-wam.pdf	
PHIP - Contents Layout	CKYZ-20131001-layout.xls	
PHIP - Contents Layout	EKYZ-20131001-layout.xls	
PHIP (1st submission) - Multiple Files	CKYZ-20131001-01.xls	
PHIP (1st submission) - Multiple Files	EKYZ-20131001-01.xls	
PHIP (1st submission) - Full Version	CKYZ-20131001-Full.xls	
PHIP (1st submission) - Full Version	EKYZ-20131001-Full.xls	

List of uploaded file(s):

Contact Person:

Contact Number:

☐ Receive submission confirmation email.

[OK](#)

[Quick Ref. \(Listing\)](#) [Quick Ref. \(Publication\)](#) [User Manual \(Listing\)](#) [User Manual \(Publication\)](#) [User Manual \(Admin\)](#) [Terms & Conditions](#) [Site Map](#) [Contact Us](#)

Done

Local intranet | Protected Mode: Off

2.3.2 Document Submission Log

To view the document submission history,

1. Click **Document Submission** under the menu and **Document Submission Log** on the drop down menu. The **Document Submission Log** Page will be displayed:
2. For searching specific record, enter the case number, the subject company code or the submission date in the left pane to the **Document Submission Log** page. Click Search to retrieve relevant submission records that matched your search criteria.

Figure 2.18

**Document
Submission Log**

The screenshot displays the HKEX e-Submission System interface. The header includes the HKEX logo and the text 'e-Submission System' and 'The Stock Exchange of Hong Kong Limited'. Below the header, there are navigation buttons: 'Document Submission Log', 'Document Submission Log', 'ADMIN', and 'LOGOUT'. The main content area is titled 'Document Submission Log' and contains a table with the following columns: 'Case Type', 'Subject Company', 'Submitted By (Person)', 'Submission Date', and 'Uploaded document'. The table lists two records:

Case Type	Subject Company	Submitted By (Person)	Submission Date	Uploaded document
New SSM-504-000	000001-000-000	000001-000-000	2014-02-27 14:25	[Download and Uncompress File - Submit.doc]
Forming SSM-504-000-000	000001-000-000	000001-000-000	2014-02-27 14:25	[Download and Uncompress File - Submit.doc]

On the left side of the page, there is a 'Document Submission Log Search' section with input fields for 'Subject', 'Company Code', 'Submission Date', 'From', 'To', and 'Case Number', along with a 'Search' button.

2.4 Download Document Template

The Exchange has prepared some standard document templates for your use. To download a template,

1. Select **DOWNLOAD DOC TEMPLATE** under the menu. The **Download Document Template** page will be displayed:

Figure 2.19

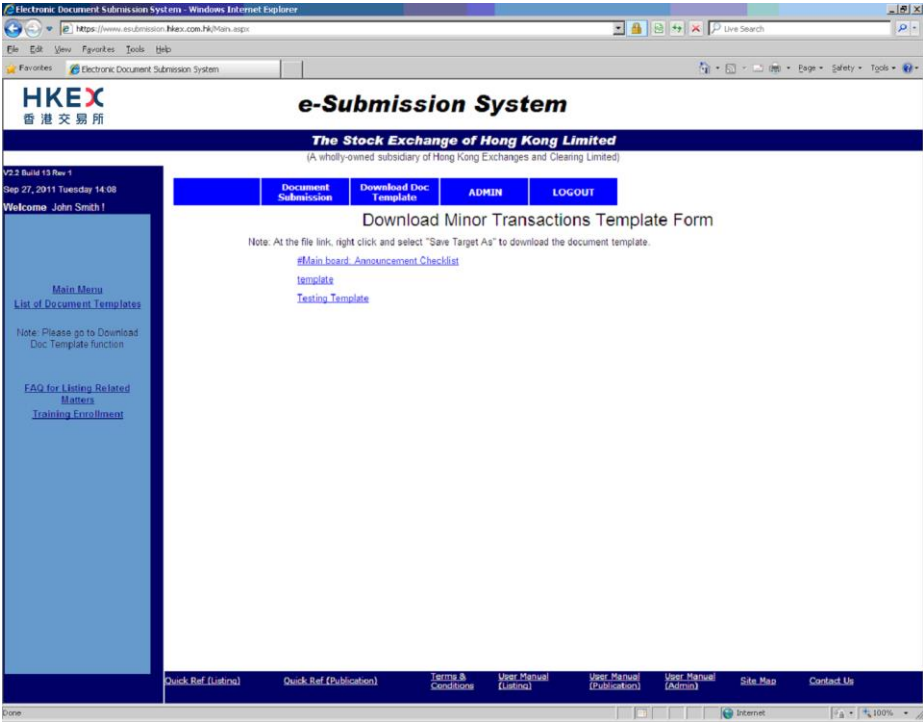
Download Document Template – Select Transaction Category

The screenshot displays the 'e-Submission System' interface for 'The Stock Exchange of Hong Kong Limited'. The page title is 'Download Document Templates'. A sidebar on the left contains links for 'Main Menu', 'List of Document Templates', 'Note: Please go to Download Doc Template function', 'FAQ for Listing Related Matters', and 'Training Enrollment'. The main content area features a 'MANDATORY FIELDS' section with the instruction 'Please select a transaction category for the document templates to be downloaded:'. Below this is a 'Transaction Category' dropdown menu currently showing 'Minor Transactions', and a 'Next' button. The top navigation bar includes 'Document Submission', 'Download Doc Template', 'ADMIN', and 'LOGOUT'. The footer contains various links like 'Quick Ref (Listing)', 'Quick Ref (Publication)', 'Terms & Conditions', and 'User Manual (Listing)'.

2. Select the *Transaction Category* (see **Appendix A**) and click NEXT. Relevant document templates for the selected Transaction Category will be displayed for your download.

Figure 2.20

**Download
Template Forms**



There are a few alternatives to download a file.

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

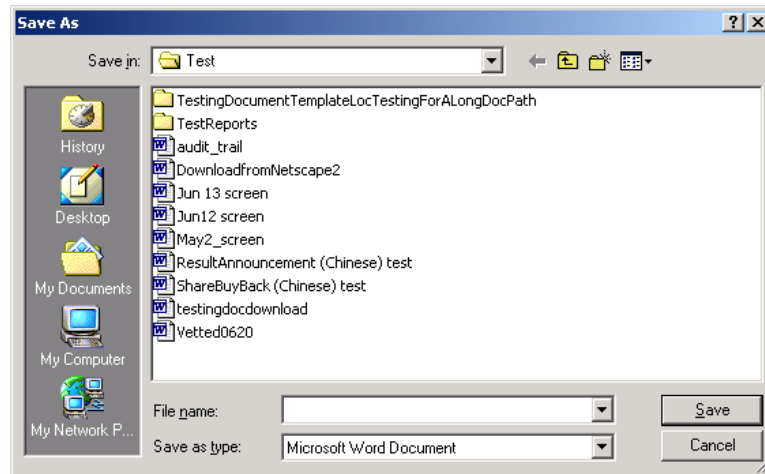
Figure 2.21

Save Target As



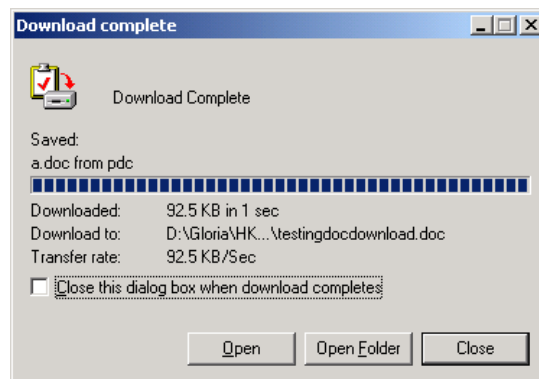
- A 'Save As' dialog box will appear:

Figure 2.22

**Browsing
Location for
Download**

- Enter the *file name* and select the *desired folder* where the file is stored. Click **SAVE**. The **Download Complete** dialog box will appear after the download is successful.

Figure 2.23

**Download
Complete**

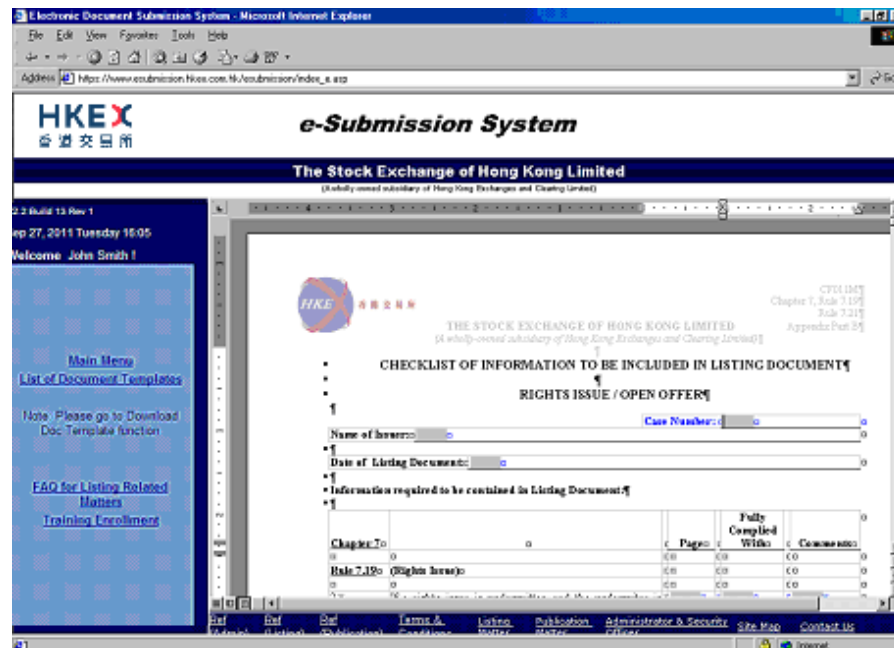
- Click close and return to the **User Home Page**.

(B) Click on the file link,

- The document will be opened with the relevant applications (e.g. Microsoft Word / Excel).

Figure 2.24

**Download Files
with File Menu**



- Use the SAVE AS function of the applications to save the file to the desired location.

Note: You can download a list of document templates on the left panel on the **User Home Page**.

2.5 Admin

2.5.1 Viewing your company's profile

To view your company's profile details,

1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU, the **Company Details** will be displayed.

Figure 2.25

My Company 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)

Document Submission Download Doc Template ADMIN LOGOUT

Company Details

Amend Company Details

*** MANDATORY FIELDS**

Company Code	Company Type	Listed Companies (Main Board)
LN000388		

Company Details

* Name: Hong Kong Exchanges and Clearing Limited

Chinese Name: 香港交易所有限公司

Website: www.hkexgroup.com/eng/investor.htm

Authorised Person to receive Passwords and for Subsequent Registration Matters
Only please contact the Publication Related Matters hotline if you wish to register a change of Authorised Person.

1) Primary

User ID	00000001	Given Name	John
* Family Name	Smith	Chinese Address	
* English Address	8/F., Two Exchange Square 8 Connaught Place Central, Hong Kong		
* Phone	2840 2460	* Fax	2823 1254
* Mobile No.	852 - 12345678		
* Email	john.smith@hkex.com.hk	* Position	Company Secretary

2) Secondary

User ID		Given Name	
* Family Name		Chinese Address	
* English Address			
Phone		Fax	
Mobile No.		Position	
Email			

Save

Quick Ref. (Listing) Quick Ref. (Publication) User Manual (Listing) User Manual (Publication) User Manual (Admin) Terms & Conditions Site Map Contact Us

https://www.eSubmission.hkex.com.hk/Admin/Issuer/View.aspx

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

2.5.2 Maintaining your account profile

2.5.2.1 Viewing and Changing Your Profile

1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The **Company Details** page will be displayed.
2. Click MY PROFILE button in the **Company Details** page. The **User Details** page will be displayed:

Figure 2.26

My Company 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)

Document Submission Download Doc Template ADMIN LOGOUT

Company Details

Company Code: LM00388 Company Type: Listed Companies (Main Board)

Company Details

Name: Hong Kong Exchanges and Clearing Limited

Chinese Name: 香港交易所及結算有限公司

Website: www.hkexgroup.com/hkex/Investor.htm

Authorised Person to Receive Passwords and for Subsequent Registration Matters

1) Primary

User ID: 00388XAP1

Family Name: Smith

English Address: 8/F., Two Exchange Square, 8 Connaught Place, Central, Hong Kong

Phone: 2840 3460

Mobile No.: 852 - 12345678

Email: JohnSmith@hkex.com.hk

Given Name: John

Chinese Address:

Fax: 2523 1254

Position: Company Secretary

2) Secondary

User ID:

Family Name:

English Address:

Phone:

Mobile No.:

Email:

Given Name:

Chinese Address:

Fax:

Position:

My Profile

Quick Ref. (Listing) Quick Ref. (Publication) User Manual (Listing) User Manual (Publication) User Manual (Admin) Terms & Conditions Site Map Contact Us

https://www.eSubmission.hkex.com.hk/Admin/Invest/View.aspx

Figure 2.27

Company 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)

Document Submission Download Doc Template ADMIN LOGOUT

Company Code: LM00388 Company Type: Listed Companies (Main Board)

Company Name: Hong Kong Exchanges and Clearing L

User Details

* MANDATORY FIELDS

* User ID: 00388XAP1

* Authority Type: ☒ Represent OWN company ☐ Represent OTHER companies

* Resigned: ☐ Yes ☒ No

* Family Name: Smith

* Salutation: Mr

* Phone: 2840 3460

* Mobile No.: 852 - 12345678

* Email: JohnSmith@hkex.com.hk

* User Type: E-AuthorisedPerson

* Operation Type: ☒ Listing Related Matter ☐ Web Publication Related Matter

* Given Name: John

* Position: Company Secretary

* Fax: 2523 1254

Save Change User Password

3. The **User Details** page will display your account profiles such as *User ID, User Type, Authority Type, Operation Type, Resign Status*. You may modify your personal profile including *Family Name, Given Name, Salutation, Position, Phone, fax, Mobile No. and Email*. After you finish, click SAVE. A dialog box will appear to ask for confirmation. Click OK.

NOTE: Clicking CANCEL will bring you back to the **User Details** page where you can continue your amendment.

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

2.5.2.2 Reset Your Login Password

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

1. Select ADMIN in the MAIN MENU and then select PROFILE ADMIN in SUB-MENU. The **Company Details** page will be displayed.
2. Click MY PROFILE button on the **Company Details** page. The **User Details** page will be displayed.
3. Click CHANGE USER PASSWORD. The **Change User Password** page will be displayed:

Figure 2.28

Reset Login Password

The screenshot displays the 'Change User Password' interface within the e-Submission System. The page header identifies it as a tool from The Stock Exchange of Hong Kong Limited. The main content area features a form with three password input fields: 'Your Current User Password', 'New User Password', and 'Retype New User Password'. A 'Save' button is positioned below these fields. A red asterisk indicates that mandatory fields (passwords) must be between 6 and 10 characters. A note mentions that security officers must first enter their own password for validation. The left sidebar provides navigation options, and the top bar offers document submission and administrative functions.

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

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

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

NOTE: Clicking CANCEL will return to the ***Change User Password*** page where you can continue editing the user password.

6. After the password is updated successfully, an acknowledgement message will be displayed. Click OK and you will be taken back to the ***Company Details*** page.

2.6 Logout

Figure 2.29

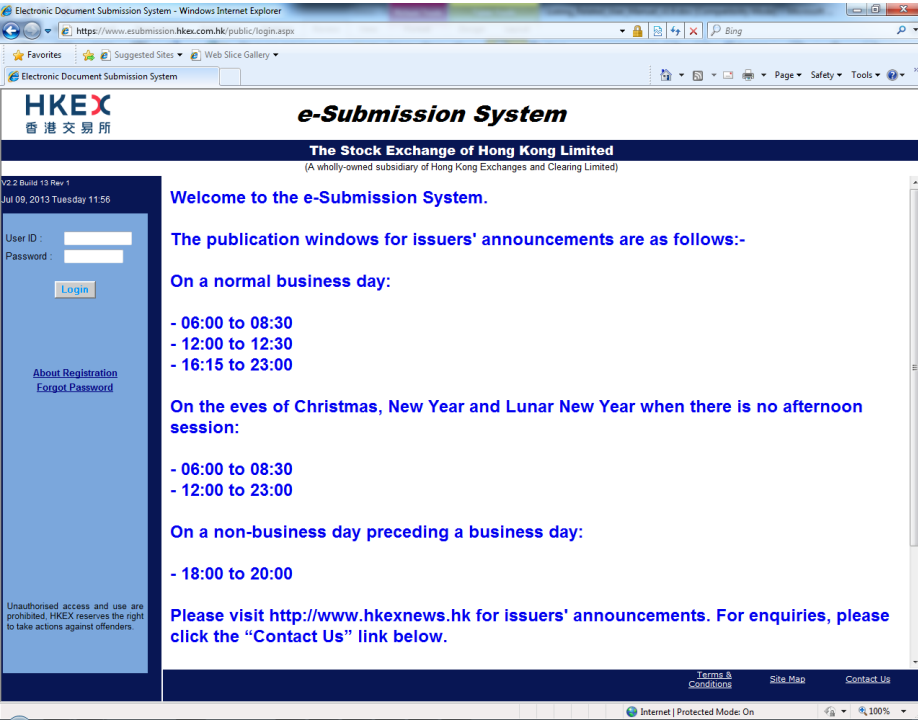
[Listing Matter Home Page](#) [Related User](#)

1. To logout the system, Click **Logout** in the MAIN MENU to logout.



Figure 2.30

[e-Submission Main Page](#)



Appendix A – Transaction Category

Transaction Category Code	Transaction Category Description
CR	Capital Restructuring/Capitalisation
DD	DDD Transactions
MT	Minor Transactions
NR	Minor Transactions Involving News Release and TA
NT	Notifiable Transaction & Connected Transaction
SI	Subsequent Issue of Securities
TM	Takeovers and Mergers
IT	Internal Transactions
DR	Derivative Warrants Reporting
PA	Participant Admission
ER	Equity Linked Instruments Reporting
ITA	Internal Transactions - ACU
MTA	Minor Transactions - ACU
NLA	New Listing - ACU
NTA	Notifiable Transaction & Connected Transaction - ACU
CBR	Callable Bull/Bear Contracts Reporting
ETF	Exchange Traded Funds Reporting