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1.5 Submission Management

NOTE: Submissions that have not been approved within 60 days of submission will be automatically removed from the system. This retention period may be changed without prior notice.

1.5.1 Edit Saved Submission For Publication

Please follow the steps set out below to edit a saved submission with a “Pending Approval” status.

1. Select EDIT SAVED SUBMISSION FOR PUBLICATION from the SUBMISSION MANAGEMENT drop down menu in the MAIN MENU Bar:

NOTE: Only the original submitter can retrieve his / her own saved submission. Users other than the submitter cannot retrieve a saved submission for editing using the EDIT SAVED SUBMISSION FOR PUBLICATION function.

The Edit Saved Submission for Publication page appears:
2. Enter the Submission Number of the submission you wish to edit.

3. Enter the Submission Password (i.e. the Submission Security Password used to make the submission you wish to edit) and click RETRIEVE.

4. Edit the submission details as appropriate, including the Headline Categories, News Title(s) etc. Please note that all data you input must be in English, except for the field “Title (Chinese)”.

5. Continue with the Submission For Publication as normal. Please refer to Section 1.3 – Submission for Publication above.
1.5.2 Approve Submission for Publication

Please follow the steps set out below to approve a submission with a “Pending Approval” status:

1. Select APPROVE SUBMISSION FOR PUBLICATION from the SUBMISSION MANAGEMENT drop down menu in the MAIN MENU Bar:

**NOTE:** The original submitter cannot retrieve a saved submission(s) for approval through the APPROVE SUBMISSION FOR PUBLICATION function. Only a Web Publication user other than the original submitter can approve a saved submission.

Figure 1.17

The Approve Submission for Publication page is displayed:
2. Enter the **Submission Number** of the submission you wish to approve.

3. Enter the Submission Password (i.e. the Submission Security Password used to make the submission you wish to approve) and click RETRIEVE.

4. The **Approval** page of the submission will be displayed:
5. Review the Submission Details. You can amend the details of the submission by clicking the AMEND button. The File(s) Upload page will be displayed. Please refer to section 1.3.3 above when making amendments.

6. Enter the Approver’s User ID and Approver’s User Password. You must also enter the Approval Password (the second half of the Submission & Approval Security Password pair). Please note that the approver must not be the same person as the submitter.

7. Click APPROVE.

**NOTE:** If you do not wish to approve the submission, click EXIT.
8. If approval was successful an Acknowledgement page will be displayed which includes the Submission Number.

9. Click OK. The Main Menu page will be displayed.

NOTE: Once you have approved a submission, the status of the submission will change to “Approved”.
1.5.3 Correct Headline Categories of Published Document

Please follow the steps set out below to correct the headline categories of a published submission:

1. Select CORRECT HEADLINE CATEGORIES OF PUBLISHED DOCUMENT from the SUBMISSION MANAGEMENT drop down menu in the MAIN MENU Bar:

   Figure 1.21
   Correct Headline Categories of Published Document Menu

   The Correct Headline Categories of Published Document page is displayed.

   Figure 1.22
   Correct Headline Categories of Published Document Page

2. Enter the Submission Number of the original Submission. Click RETRIEVE.
3. Enter a **new Submission Password** (the first half of the new Submission & Approval Security Password pair) into the Submission Password field. The new Submission Password must be the next available one in the sequence of Security Password pairs.

4. Select the appropriate Tier 1 and / or Tier 2 Headline Categories. Ensure the Headline Categories are in the correct order of priority.

5. Click NEXT.

6. Review the Headline Categories and News Title(s) for accuracy.

7. Click CONFIRM.
8. After you have finished confirming the accuracy, you can approve the submission immediately by clicking SUBMIT to proceed to the Approve Submission page.

9. Alternatively, you can save the headline amendment for later editing or approval by clicking SAVE (see “Approve Correction of Headline Categories of Published Document” section below).
10. Enter the Approver User ID, Approval User Password and enter the Approval Password (the second half of the Submission & Approval Security Password pair).

Please note that the approver must not be the same person as the submitter.

11. Click APPROVE.

**Important**: Should the approver need to amend the submission details, click the PREVIOUS button to return to the previous page. Using the PREVIOUS button ensures that the data you input on the previous pages are preserved. Using the BACK button in your browser instead may lead to the loss of data you previously input.
12. Click OK. The **Main Menu** page will be displayed.

**NOTE:** If you need to print the Submission Details summary page, please use the Browser Print Function (Ctrl-P) or use the print-friendly button.
1.5.4 Approve Correction of Headline Categories of Published Document

Please follow the steps set out below to approve correction of headline categories of a published document:

1. Select APPROVE CORRECTION OF HEADLINE CATEGORIES OF PUBLISHED DOCUMENT from the drop down menu of SUBMISSION MANAGEMENT in the MAIN MENU Bar:

Note: The person who corrected the headline categories for a submission cannot retrieve that submission using the APPROVE CORRECTION OF HEADLINE CATEGORIES OF PUBLISHED DOCUMENT function. Only a person other than the corrector can approve a correction of headline categories.

Figure 1.27
Approve Correction of Headline Categories of Published Document Menu

Welcome Christine Law

Welcome to the e-Submission System

Figure 1.28
Approve Correction of Headline Categories of Published Document Page

The Stock Exchange of Hong Kong Limited

View Submission History

e-Submission System

Welcome Christine Law

Welcome to the e-Submission System

Approve Correction of Headline Categories of Published Document page is displayed.
2. Enter the Submission Number and Submission Password used to make the headline category correction.

3. Click RETRIEVE.

4. Review the Headline Category Correction Details.

5. Enter the Approver's User ID and Approver's User Password. You must also enter the new Approval Password (the second half of the new Submission & Approval Security Password pair).

6. Click APPROVE.

7. If approval was successful an Acknowledgement page will be displayed.

8. Click OK. The Main Menu page will be displayed.

NOTE: Once you have approved a headline correction, the status of the submission will change to "Headline Categories Correction Approved".
1.5.5 Viewing Submission History

To view the Submission History:

1. Select VIEW SUBMISSION HISTORY from the SUBMISSION MANAGEMENT drop down menu in the MAIN MENU Bar:

Figure 1.30 View Submission History Menu

The Submission History page appears:

Figure 1.31 View Submission History Page
2. On the **Submission History** page, you may search for and select the appropriate published submission by clicking the appropriate Submission Number.

**NOTE** The list is sorted in ascending order by *Company Name*, and then in descending order by *submission date/time, status, category and case no.*

**NOTE** By clicking on the *Submission Number*, you will be automatically diverted to an appropriate page depending upon the status of the submission and whether you are the original submitter or the corrector of headline categories:

<table>
<thead>
<tr>
<th>Submission Status</th>
<th>User</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending for Approval</td>
<td>Submitter</td>
<td>Retrieve the Submission for editing</td>
</tr>
<tr>
<td></td>
<td>Not Submitter</td>
<td>Retrieve the Submission for approval</td>
</tr>
<tr>
<td>Approved</td>
<td>Any User</td>
<td>Retrieve the Submission to correct the headline categories</td>
</tr>
<tr>
<td>Headline Categories Correction Pending for Approval</td>
<td>Corrector</td>
<td>No action permitted.</td>
</tr>
<tr>
<td></td>
<td>Not Corrector</td>
<td>Retrieve the Submission with correction for approval.</td>
</tr>
<tr>
<td>Headline Categories Correction Approved</td>
<td>Any User</td>
<td>No action permitted.</td>
</tr>
</tbody>
</table>
### 1.5.5.1 Searching for Submission

The search function on the left panel allows you to filter the submissions by:

- stock code of issuer;
- submission status;
- tier 1 headline;
- tier 2 headline;
- submission number;
- approval date range;

To Perform a Submission Search:

Specify any combination of the above criteria to perform a key search or leave all the criteria blank/unselected to view all the submissions relating to the login user.

**NOTE:**

- The search fields are case insensitive
- *Code of Issuer* is enabled only if login user's company is Agent for Issuer
- Submissions relating to the login user are:
  - the submission submitted by user;
  - all submissions in which the login user's company is the subject company.
1.6 Downloading Document Template

Please follow the steps set out below to download Document Template:

1. Select DOWNLOAD DOC TEMPLATE from the main menu.

The Web Publication Download Template Page will be displayed:
Please choose either method (A) or (B) to download a file:

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

Specify the file name and desired folder. Click SAVE. After the file is downloaded successfully, a Download Complete dialog box appears. The file will have been saved in the selected location.
Click CLOSE.

(B) Click on the file link,

- A new window will be opened to display the file content automatically:

![Window displaying file content automatically](image)

- Use the SAVE AS option in the FILE drop down menu on your browser’s menu bar to save the file to the desired location.
Specify the file name and desired folder. Click SAVE. After the file is downloaded successfully, a Download Complete dialog box appears. The file will have been saved in the selected location.

Click CLOSE.
1.7 Viewing Your Company’s Profile

To view your company’s profile details,

1. Click PROFILE ADMIN in the MAIN MENU, the Company Details page is displayed.

2. You can amend your own User Details by clicking the MY PROFILE button (see below for details).
1.8 Maintaining Your User Details

1.8.1 Viewing and Changing Your User Details

1. Select PROFILE ADMIN in the MAIN MENU. The Company Details page is displayed.

2. Click MY PROFILE button in Company Details page. The User Details page is displayed:

![Company User Details](image)

3. Your account profile will be displayed. The fields: User ID, User Type, Authority Type, Operation Type and Resign Status are for your reference only.

4. After you have finished editing, click SAVE. A dialog box will appear to ask for confirmation.

5. Click OK, an acknowledgement message will appear.

6. Click OK. The User Details page is displayed with the amended information.
1.8.2 Change User Password

It is recommended to change your password periodically. To change your password, please follow the steps set out below:

1. Select PROFILE ADMIN in the MAIN MENU. The Company Details page is displayed.

2. Click MY PROFILE button on the Company Details page. The User Details page is displayed.

3. Click RESET PASSWORD. The Change User Password page is displayed:

![Change User Password Page]

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

**NOTE:** Your New Password must be between 6 and 10 characters in length and cannot be the same as the last 3 passwords you have used, including your Current Password.

5. Click SAVE in the dialog box to confirm the update. An acknowledgement message is displayed.

6. Click OK. The Company Details page is displayed.
1.9 Exit the System

It is recommended that you logout the system if you finish your session or are about to leave your PC unattended.

**NOTE**: If you have partially completed a submission, you should save or approve the submission before you logout and note the Submission Number assigned; else the un-submitted data will be lost.

1. Select LOGOUT in the MAIN MENU.

The *e-Submission Main* Page will be displayed:
2. Close the browser window.