



e-Submission System User Manual

For

Publication Related Matters

August 2019

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1 Submit Documents for Publication through the e-Submission System

1.1 Introduction

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 Administrator, Security Officer and up to 8 Publication Related Matter and up to 8 Listing Related Matter users.

The URL of the e-Submission System is <https://www.eSubmission.hkex.com.hk>. A user account includes a User ID and a User Password that are both required to login to the system. After registration, your company's Security Officer should create additional user accounts for new users from your company, if required.

A login user should be defined as a Publication Related Matters user in order to use the functions described under this manual.

User Menu for Publication Related Matters

The main menu is sub-divided into the following categories:

Submission For Publication

E-Form

(Note: With effect from 1 February 2009, all E-forms have been removed from the e-Submission system)

Submission Management

- Edit Saved Submission for Publication
- Approve Submission for Publication
- Correct Headline of Published Document
- Approve Correction of Headline Categories Of Published Document
- View Submission History

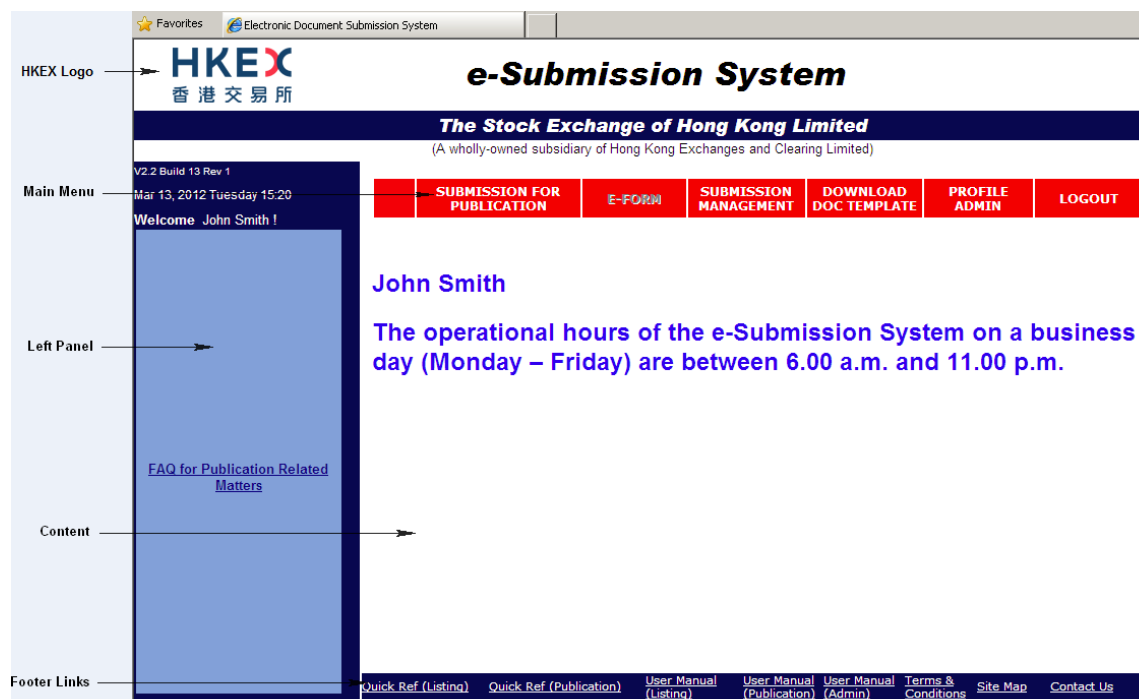
Document Template Download

Profile Administration

- Viewing your company's profile
- Managing your account details
 - Reset Login Password

Logout

Site Conventions



HKEX Logo

- Clickable link to the Home Page of the official website of HKEX

Main Menu

- A drop down menu will appear when placing the cursor over the menu item. The highlighted item in the drop down menu indicates that the user has the right to access the relevant function.

Left Panel

- Search criteria will appear here when search functionality is available

Footer Links

- Links to general information for user's reference

Content Frame

- Displays the page content of the selected function. If the page is a user input form/page, a red asterisk "*" next to the field label denotes a mandatory field.

Document Conventions

The screenshot shows the HKEX e-Submission System interface. Annotations on the left side identify specific elements:

- Main Menu:** Points to the top navigation bar containing links like SUBMISSION FOR PUBLICATION, E-FORM, SUBMISSION MANAGEMENT, DOWNLOAD DOC TEMPLATE, PROFILE ADMIN, and LOGOUT.
- Page:** Points to the header area displaying the HKEX logo, the system title 'e-Submission System', and the user's name 'Welcome John Smith'.
- Field:** Points to the input fields within the 'Company Details' form, such as 'Company Code', 'Company Type', 'Name', 'Chinese Name', 'Website', 'Address', 'Phone', 'Fax', and 'Email'.
- Action Button:** Points to the 'My Profile' button at the bottom right of the form.

The 'Company Details' form includes sections for 'Company Details' and 'Authorised Person to Receive Passwords and for Subsequent Registration Matters'. The 'Authorised Person' section has fields for '1) Primary' and '2) Secondary' contacts, each with sub-fields for Family Name, Given Name, Address, Phone, Fax, and Email.

Menu Item

- In capital letters, bold, **Verdana** e.g. **SUBMISSION FOR PUBLICATION**

Page

- In Arial. e.g. Company Details

Action Button

- In bold, Arial. e.g. **My Profile**

Fields

- In Arial e.g. Address

1.2 Login onto the system

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 1.1

e-Submission
Main 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)

May 05, 2016 Thursday 16:04

Welcome to the e-Submission System.

WHAT'S NEW

With effect from 7 September 2014, the e-Submission system will validate the "Stock Code of Related Issuers" field based on the issuer-maintained "Related Stock Code List". For instructions on how to maintain the "Related Stock Code List", please refer to the Administrator & Security Officer's User Manual.

FOR THE ATTENTION OF USERS OF IE11

In Internet Explorer 11, the "AutoComplete" function of remembering and filling User ID and Password in online forms is set on by default. For protecting your privacy and ensuring proper publication of information submitted through ESS, users **MUST** turn off the "AutoComplete" function and delete the "AutoComplete" history on a PC by following the steps below.

- Select "Tools" and then click "Internet Options"
- Select "Content" Tag and then click "Settings" under "AutoComplete"
- Turn off "User names and passwords on forms" and click "Delete AutoComplete history"
- Click "OK" to save the change

(Note: The IE version will be displayed on screen after selecting "Help" and then "About Internet Explorer".)

The publication windows for issuers' announcements are as follows:

- On a normal business day:

Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offenders.

Terms & Conditions Site Map Contact Us

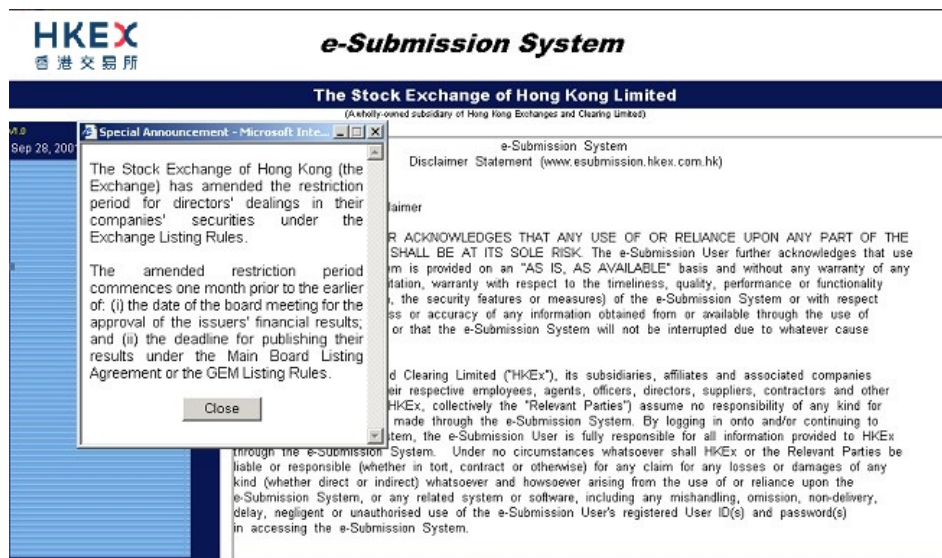
2. Enter your *user-id* and user *password* and click LOGIN.

NOTE:

- User ID is case insensitive and User Password is case sensitive throughout the site. The user password must be between 6 and 10 characters long.
- If this is your first time logging into the system, the **Change User Password** page will appear. You must change your login password in order to proceed. For more information on changing your password, please refer to section 'Change User Password'.
- If an incorrect password is entered 5 consecutive times on the same day, the account will be locked. A locked account cannot be used until it is unlocked by your company's Security Officer.
- If you leave the e-Submission system idle for 30 minutes, you will be logged out automatically for security reason. You must login again if you wish to use the e-Submission system.
- Regarding registration matters, please click the About Registration link for details.

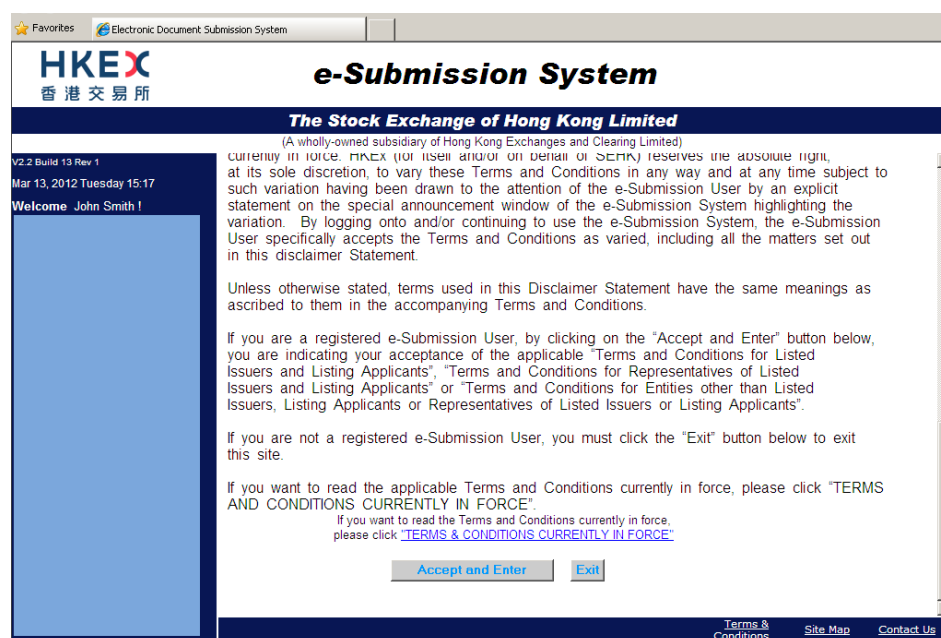
- If you forget your user password, please click the Forgot Password link for details.
- To access the Training Enrollment System, please click the Training Enrollment link. A new Training Enrollment System window will be opened.

Figure 1.2

Message Window

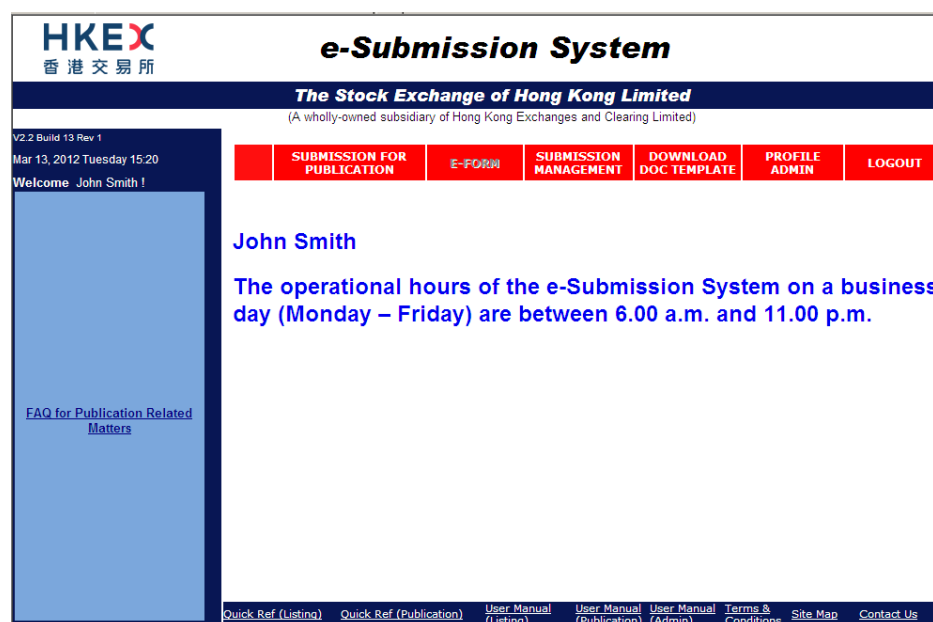
3. A special announcement window may pop-up to display a special announcement to system users from HKEX. Please read through the message and click CLOSE to continue.
4. The disclaimer statement will be displayed in the content frame:

Figure 1.3

Disclaimer Statement

5. Please read the disclaimer statement carefully. Then click ACCEPT AND ENTER to accept the terms and conditions and proceed to the **User Home Page** or click EXIT to go back to the **User Main Page**.

Figure 1.4

User Home Page

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

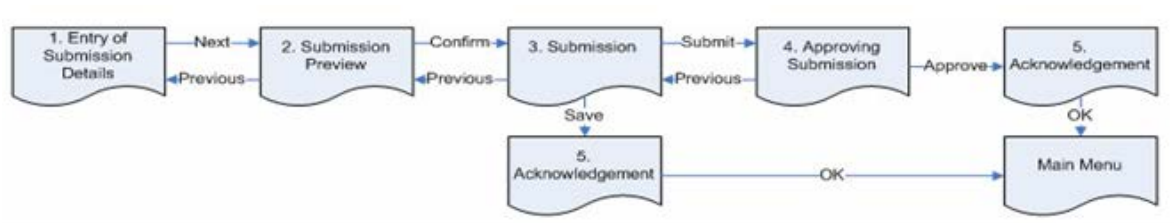
NOTE: For frequently asked questions and answers, please click the FAQ for Publication Related Matters link after logging in.

NOTE: For the Quick Reference Guide, please click the Quick Ref (Publication) link in the footer after logging in.

NOTE: To view this User Manual, please click the Publication Matters link in the footer after logging in.

1.3 Submitting and Approval of Files in a Single Session

Files can be submitted and approved immediately (in a single session) or submitted and saved for later editing or approval.



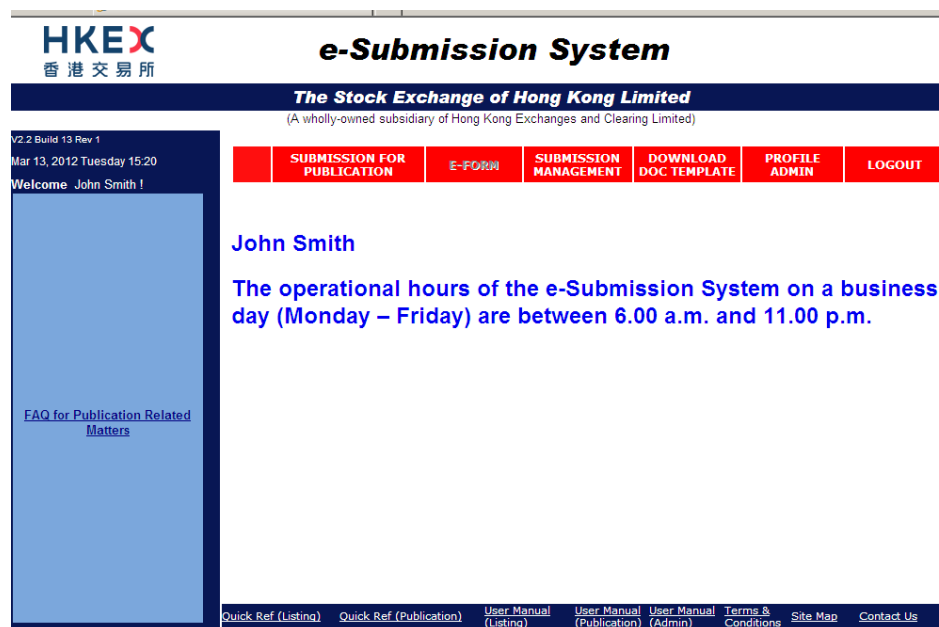
1.3.1 Entry of Submission Details

Please follow the steps set out in the following sections to submit a document for publication on the HKEX's Web Site. Please also refer to Appendices B to E, where applicable.

1. Select SUBMISSION FOR PUBLICATION from the MAIN MENU Bar:

Figure 1.5

Main Menu



The **Submission For Publication – Submission Details** page will be displayed.

Figure 1.6

**Submission For
Publication –
Submission
Details**

HKEX
香港交易所

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

Version 1.0
Nov 02, 2006 Thursday 12:11
Welcome John Smith!

SUBMISSION FOR PUBLICATION | **E-FORM** | **SUBMISSION MANAGEMENT** | **DOWNLOAD DOC TEMPLATE** | **PROFILE ADMIN** | **LOGOUT**

Submission For Publication - Submission Details
提交以備刊登 - 資料詳情

MANDATORY FIELDS
必須填寫

Please complete the following (all input data must be in English, except for the field "Title (Chinese)"
請提供下列資料 (除 "題目 (中文)" 一項外, 所有資料必須以英文填寫)

☐ Issuer 發行人
☐ Agent for Issuer 發行人之代理
Stock Code of Issuer 發行人之股份代號
Type of Agent 代理人類別
<Select One>

* Contact Person 聯絡人
* Contact Number 聯絡電話
Stock Code of Related Issuer(s) 聯絡發行人之股份代號

* Submission Password 提交密碼
* Tier 1 Headline 標題類別 (第一層)
* Tier 2 Headline 標題類別 (第二層)

Add 增加 Remove 移除

Title (English) 題目 (英文)
Title (Chinese) 題目 (中文)

Next >

2. Enter the submission details, including the Submission Security Password (first half of Submission & Approval Password pair), Headline Categories, News Title(s) etc. on the Submission For Publication form. **Please note that all data you input must be in English, except for the field "Title (Chinese)".**

NOTE: You must select a Tier 1 Headline Category on the **Submission For Publication – Submission Details** page. A list of applicable Tier 2 Headline Categories will appear. You can select up to 30 Tier 2 Headline Categories by highlighting them and clicking the ADD button. You can also adjust the priority of the chosen Tier 2 Headline Categories by highlighting them and clicking the MOVE UP or MOVE DOWN button to adjust the order.

3. Click NEXT.
4. Review the name(s) of the equity issuer(s) of the corresponding stock code(s) entered into the "Related Stock Code" fields. Click OK to continue the submission or click CANCEL to edit the submission details..

Figure 1.6a
**Submission For
Publication –
Stock Code of
Related Issuer(s)**



NOTE: An equity issuer should update the "Related Stock Code List" before the issuer or its agent can use the "Stock Code of Related Issuer(s)" field for making a joint announcement with another listed issuer. This also applies to making a general announcement in relation to other related listed securities by an equity or ETF issuer. For the maintenance of the "Related Stock Code List", please refer to the User Manual for the e-Submission System for Administrator and Security Officer.

Security passwords are distributed in batches by HKEX to each listed issuer after registration and at regular intervals thereafter.

An issuer must acknowledge receipt to HKEX of each security password batch in order for the passwords in that batch to be activated for use.

Security passwords are printed in pairs (one is used for submission and the other for approval). Security passwords must be used in the pre-designated sequence set out in the batch.

Each password pair can be used once only. Please contact HKEX in good time if you believe you will soon run out of security passwords. HKEX will then be able to send you a new batch of security password pairs before your current batch runs out.

1.3.2 Submission Preview

1. Review the Headline Categories and News Title(s) for accuracy.
2. Click CONFIRM. The **File(s) Upload** page will be displayed.

Figure 1.7

Submission For Publication – Submission Preview

The screenshot displays the 'Submission For Publication - Submission Preview' page of the HKEX e-Submission System. The page header includes the HKEX logo and the system title. A navigation bar contains links for Submission for Publication, E-Filing, Submission Management, Download Doc Template, Profile Admin, and Logout. The main content area shows the submission details, including the English News Title, English Document 1, and Chinese Document 1. A sidebar on the left contains a link for 'FAQ for Publication Related Matters'. At the bottom, there are buttons for 'Previous' and 'Confirm', and a footer with various links like Quick Ref, User Manual, and Site Map.

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)

Feb 27, 2016 Tuesday 15:30
Welcome John Smith!

[FAQ for Publication Related Matters](#)

Submission For Publication - Submission Preview
呈交以備刊發 – 呈交預覽

The following information will be displayed on the HKExnews/GEM website:
下列資料將在披露易/GEM網站登載:

English Headline Categories:
Announcements and Notices - [Connected Transaction / Continuing Connected Transaction / Waiver in respect of Connected Transaction Requirements]

English News Title:
English Document 1

中文標題類別:
公告及通告 - [關連交易 / 持續關連交易 / 就關連交易規定所授予的豁免]

中文題目:
中文文件 1

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

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

1.3.3 Uploading a File

Please refer to appendices B to E for specifications of files to be uploaded. For example, Appendix C contains specifications for files containing financial statements/financial reports.

1. Click BROWSE to select the file to be uploaded. Then click "UPLOAD". After your file has been successfully uploaded, the filename will be displayed in the table "List of Files Pending Approval". Please repeat for all the files to be uploaded.

Figure 1.8

**Submission For
Publication -
Uploading a File**

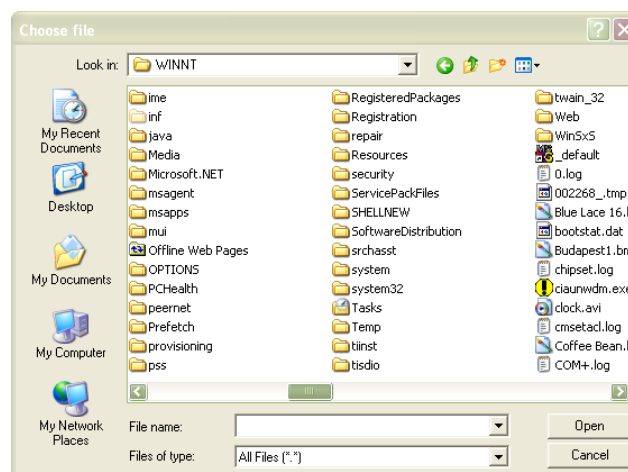
The screenshot shows the HKEX e-Submission System interface. At the top, the HKEX logo and "The Stock Exchange of Hong Kong Limited" are displayed. Below this, a navigation bar contains links: SUBMISSION FOR PUBLICATION, E-FORM, SUBMISSION MANAGEMENT, DOWNLOAD DOC TEMPLATE, PROFILE ADMIN, and LOGOUT. The main heading is "Submission For Publication - File(s) Upload" with the Chinese translation "呈交以備刊發 - 檔案上載".

Under the heading, there is a section for "MANDATORY FIELDS" (必須填寫) with a required field "Select File to be Submitted" (呈交檔案名稱) and a "Browse..." button. Below this, instructions state: "Click Upload for file submission and virus checking. You may repeat the procedure to upload additional files. 呈交檔案及檢查病毒, 按上載。若要繼續呈交其他文件, 可重複步驟。" An "Upload 上載" button is provided.

A table titled "List of Files Pending Approval" (待審檔案清單) is shown, with columns for "Filename" (檔案名稱). Below the table, instructions state: "Click Submit to proceed for approval now OR Previous to return to previous page OR Save to save the submission for later amendment or approval. 若要即時批准文件, 請按 呈交。若要返回前頁, 請按 上一頁。若要儲存以待稍後修改或呈交批准, 請按 儲存。" Buttons for "Previous 上一頁", "Submit 呈交", and "Save 儲存" are at the bottom.

Figure 1.9

**Browse to
choose file**



NOTE: The name of the file to be submitted must start with the letter "e" if it is an English language file or the letter "c" if it is a Chinese Language file. The total file name length must not exceed 100 characters.

Figure 1.10

**Submission For
Publication -
List of Files
Pending for
Approval**

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)

2.2 Build 1 Rev 0
Nov 02, 2008 Thursday 12:11
Welcome John Smith!

Submission For Publication - File(s) Upload
呈交以備刊發 - 檔案上載

* MANDATORY FIELDS
必須填寫

* Select File to be Submitted
呈交檔案名稱

Click **Upload** for file submission and virus checking. You may repeat the procedure to upload additional files.
呈交檔案及檢查病毒，按**上載**。若要繼續呈交其他文件，可重複步驟。

List of Files Pending Approval
待審批檔案清單

Filename 檔案名稱	
C1.pdf	<input type="button" value="Preview 預覽"/> <input type="button" value="Remove 移除"/>
e1.doc	<input type="button" value="Preview 預覽"/> <input type="button" value="Remove 移除"/>

Click **Submit** to proceed for approval now OR **Previous** to return to previous page OR **Save** to save the submission for later amendment or approval.
若要即時批准文件，請按 **呈交**。若要返回前頁，請按 **上一頁**。若要儲存以待稍後修改或呈交批准，請按 **儲存**。

FAO for Publication Related Matters

- After you have finished uploading the necessary files, you can approve the submission immediately by clicking **SUBMIT** to proceed to the Approve Submission page.
- Alternatively, you can save the uploaded files for later editing or approval by clicking **SAVE** (see "Edit Saved Submission For Publication" and "Approve Submission For Publication" sections below).
- An acknowledgement will be displayed with the Submission Number. **You should note the Submission Number for future reference (for example you will need it to approve the submission later).** Click **OK** and you will be taken back to the Main Menu.

NOTE: When you save the submission before uploading the files for later approval, the status of the submission will change to "Pending For Approval".

1.3.3.1 Preview Uploaded File

For each uploaded file, you can preview its content or remove the file if it has been wrongly uploaded.

To browse the file content, click the PREVIEW button next to the corresponding filename. A window will pop up to display the file content.

NOTE: Your PC must have the associated software installed in order to view the file content (e.g. Adobe Acrobat Reader to view “pdf” files).

Figure 1.11

Preview the uploaded file.

Pursuant to Chapter 38 of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited, the Securities and Futures Commission regulates Hong Kong Exchanges and Clearing Limited in relation to the listing of its shares on The Stock Exchange of Hong Kong Limited. The Securities and Futures Commission takes no responsibility for the contents of this document, makes no representation as to its accuracy or completeness, and expressly disclaims any liability whatsoever for any loss howsoever arising from or in reliance upon the whole or any part of the contents of this document.



Hong Kong Exchanges and Clearing Limited
香港交易及結算所有限公司

(Incorporated in Hong Kong with limited liability)
(Stock Code: 388)

Poll Results of the 2015 Annual General Meeting

Poll Results of the 2015 Annual General Meeting

At the Annual General Meeting of Hong Kong Exchanges and Clearing Limited (“HKEx”) held on 29 April 2015 (“AGM”), a poll was demanded by the Chairman for voting on all proposed resolutions as set out in the Notice of AGM dated 25 March 2015.

As at the date of the AGM, a total of 1,176,567,351 shares of HKEx were in issue and entitled the holders of which (“Shareholders”) to attend and vote at the AGM. There were no restrictions on any Shareholders to cast votes on any of the proposed resolutions at the AGM. However, to demonstrate a good corporate governance practice, all Non-executive Directors who are Shareholders had abstained from voting at the AGM on Resolutions 7(a) and 7(b) concerning the adjustment of the Non-executive Directors’ remuneration.

The poll results are set out as follows:

Ordinary Resolutions		Number of Votes (%)		Passed by Shareholders
		For	Against	
1	To receive the audited Financial Statements for the year ended 31 December 2014 together with the Reports of the Directors and Auditor thereon	358,041,374 (99.98%)	72,743 (0.02%)	Yes
2	To declare a final dividend of HK\$2.15 per share	358,977,946 (99.99%)	37,419 (0.01%)	Yes
3(a)	To elect Mr CHAN Tze Ching, Ignatius as Director	355,699,929 (99.32%)	2,439,757 (0.68%)	Yes
3(b)	To elect Dr HU Zuli, Fred as Director	357,721,328 (99.89%)	390,393 (0.11%)	Yes
3(c)	To elect Mr John Mackay McCulloch WILLIAMSON as Director	355,207,036 (99.20%)	2,879,070 (0.80%)	Yes
4	To re-appoint PricewaterhouseCoopers as the Auditor and to authorise the Directors to fix its remuneration	356,327,805 (99.25%)	2,680,764 (0.75%)	Yes
5	To grant a general mandate to the Directors to buy back shares of HKEx, not exceeding 10% of the number of issued shares of HKEx as at the date of this Resolution*	356,265,713 (99.50%)	1,773,175 (0.50%)	Yes

The preview function does not allow you to edit the file. Should you find the uploaded file is incorrect, remove the file by clicking the REMOVE button next to the corresponding filename. You should correct the file on your local PC, save it and then upload it to the system again by following the steps in section 1.3.3 above.

1.3.4 Approving a Submission

1. Review the Submission Details.

Figure 1.12

**Submission For
Publication -
Approval**

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)

Nov 02, 2006 Thursday 12:11
Welcome John Smith!

Submission For Publication - Approval
呈交以備刊發 — 批准

Please review the following submission details and enter user ID, user password and approval password.
請審閱以下呈交資料詳情，並輸入批准人的使用者編號、使用者密碼及批准密碼。

☐ Issuer
發行人

☐ Agent of Issuer
發行人之代理

Stock Code of Issuer
發行人之股份代號

Type of Agent
代理人類別

Contact Person
聯絡人

Contact Number
聯絡電話

Stock Code of Related Issuer(s)
相關發行人之股份代號

Issuer Name
公司名稱

Tier 1 Headline
標題類別 (第一層)

Tier 2 Headline
標題類別 (第二層)

Connected Transaction
Continuing Connected Transaction
Waiver in respect of Connected Transaction Requirements

Title (English)
題目 (英文)

Title (Chinese)
題目 (中文)

Filename
檔案名稱

C1.pdf

e1.doc

Preview 預覽

Please note that the approval of multiple English files for publication or multiple Chinese files for publication, without an Excel index file, will cause more than one publication record to appear for the issuer on the HKExnews or GEM website.
請注意：發行人給呈交多個英文檔案或多個中文檔案作審批，若沒有提供Excel索引檔案，將在新聞區或GEM網站上將會有多於一個的檔案審批記錄顯示出來。

We hereby submit the above for publication on the HKExnews/GEM website, as the case may be.
我們現呈交上述資料以供在新聞區/GEM網站上發布，視情況而定。

Mandatory Fields
必須填寫

Approver's User ID
批准人編號

Approver's User Password
批准人密碼

Approval Password
批准密碼

Previous 上一頁

Approve 批准

FAQ for Publication Related Matters

2. 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.

3. 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.

1.3.5 Acknowledgement

1. If approval and submission have been successful a Submission Number will be displayed. **You should note the Submission Number for future reference.**

NOTE: Once you have approved a submission, the status of the submission will change to "Approved".

Figure 1.13

Submission For Publication - Acknowledgement

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)

Nov 02, 2006 Thursday 12:11
Welcome John Smith!

Submission For Publication - Acknowledgement
呈交以備刊登 — 確認

Your submission was successful! Please record the submission number for future reference.
有關資料已經成功呈交! 請記下呈交編號以作日後參照。

Submission Details
呈交資料詳情

Tool

Date/Time Submitted
呈交日期 / 時間: 02/11/2006 12:22:44

Date/Time Approved
批准日期 / 時間: 02/11/2006 12:22:44

Submitted by
呈交者: LM00008B

Approved by
批准人: LM00008C

Submission Number
呈交編號: EB15-061102-00022

Status
狀況: Approved

☐ Issuer
發行人

☐ Agent of Issuer
發行人之代理

Stock Code of Issuer
發行人之股份代號

Type of Agent
代理人類別

Contact Person
聯絡人: Mr John Smith

Contact Number
聯絡電話: 26482383

Stock Code of Related Issuer(s)
有關發行人之股份代號

Issuer Name
公司名稱: PCCW
電訊盈科有限公司

Tier 1 Headline
標題類別 (第一層): Announcements and Notices

Tier 2 Headline
標題類別 (第二層)

Connected Transaction
Continuing Connected Transaction
Waiver in respect of Connected Transaction Requirements

Title (English)
題目 (英文): English Document 1

Title (Chinese)
題目 (中文): 中文文件 1

Filename
檔案名稱: C1.pdf
e1.doc

OK 完成

[FAQ for Publication Related Matters](#)

2. 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.

1.4 E-Form

(Note: With effect from 1 February 2009, all E-forms have been removed from the e-Submission system)