



e-Submission System
Quick Reference Guide
For
Publication Related Matters
(Extended)

March 2020

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1 Things to have ready

For your first-time login to e-Submission System, you must download the mobile app SafeNet MobilePASS on your mobile device from App Store or Google Play™.

1. Submitter / Approver User ID, User Password and Security Token for generating the One-Time Passcode – for logging into the system and approving a submission for publication purpose.
2. Headline Categories – one or more categories from the Exchange's list of standard headlines.
3. Document Titles (in English and Traditional Chinese).
4. File(s) to be uploaded (the name of the English Language file must be start with the letter "e" and the name of the Chinese Language file must start with the letter "c". The total file name length must not exceed 200 characters.

2 First-time login to e-Submission System

2.1 User Activation via Software Token (MobilePASS)

- Go to the e-Submission System website <https://www1.esubmission.hkex.com.hk>.
- At the login page, input your *User ID*.
- User Activation** page will be displayed.

User Activation Page (Software Token)

- Fill in your *registered email address*.
- Type in a new password.
- Re-enter the *new password*.
- Click REQUEST, the Token Policy String will be displayed. Input Token Policy String into MobilePASS, then click CONTINUE.
- Input the *Activation Code* from MobilePASS.
- Click REQUEST. One-Time Password will be sent to your registered mobile phone number via SMS.
- Input *One-Time Password*.
- Click ACTIVATE.

Note

- Download the mobile app SafeNet MobilePASS on your mobile device from App Store or Google Play™ before your first-time login.

3 Logging into the e-Submission System

You must login the e-Submission System for submission or profile maintenance. Open the web browser and enter the web address: <https://www1.esubmission.hkex.com.hk>. The following login page will be displayed:

Login Page

3.1 Entering User ID, User Password and One-Time Passcode

- Enter the *User ID* and *User Password*.
- Enter the *One-Time Passcode (OTP)* generated from the assigned Security Token.
- Click LOGIN.

Notes

- If you have forgotten your User ID, you may click *Forgot User ID* at the login page. Fill in your *User Name*, *Registered Email Address*, *Company Code*, the characters in the image and click SUBMIT. The system will send an email to the registered email address listing all User IDs matched with the provided information.
- If you have forgotten your User Password, you may click *Forgot User Password* at the login page. Fill in your *User ID*, *Registered Email Address*, the characters in the image and click SUBMIT. The system will send an email to the registered email address. You can click the link in the email to reset your password.

3.2 Acceptance of Disclaimer Page

- A **Disclaimer** page will be displayed.
- Read the Disclaimer.
- Click ACCEPT AND CONTINUE to enter the e-Submission System Main page.

3.3 Selection of Functions in Main Menu

- The **User Home** page will be displayed with the Red Main Menu on the top of the page. Select the required function to proceed.

4 Login with SMS Password

Login with SMS Password is a back-up channel for users to access the e-Submission system when user cannot retrieve OTP from the assigned security token. Users can click *LOGIN WITH SMS PASSWORD* at the login page to request a One-Time Password by providing User ID and User Password. The One-Time Password will be sent through SMS to user's registered mobile number.

4.1 Submit Request for Login with SMS Password

- Enter the *User ID* and *User Password*.
- Enter the characters in the image.
- Click SUBMIT.

Login with SMS Password – Login page

The screenshot displays the 'e-Submission System' login interface. At the top left is the HKEX logo with the text '香港交易所'. Below it is the date '11/04/2019 11:36'. The main heading 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 success message states 'Your request has been submitted successfully.' Below this, the section 'Login with SMS Password' is visible, including a note '* Denotes mandatory fields' and a prompt: 'Please enter the One-Time Password sent to your mobile phone (last 4 digits "0768")'. A text input field for the 'One-Time Password' is present, along with 'Login' and 'Cancel' buttons. At the bottom, there is a link: 'Please click [HERE](#) if you did not receive the One-Time Password or if the One-Time Password has expired.' The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

4.2 Login with SMS Password

- One-Time Password will be sent to the registered mobile phone number via SMS.
- Input *One-Time Password*.
- Click LOGIN.

4.3 Acceptance of Disclaimer Page

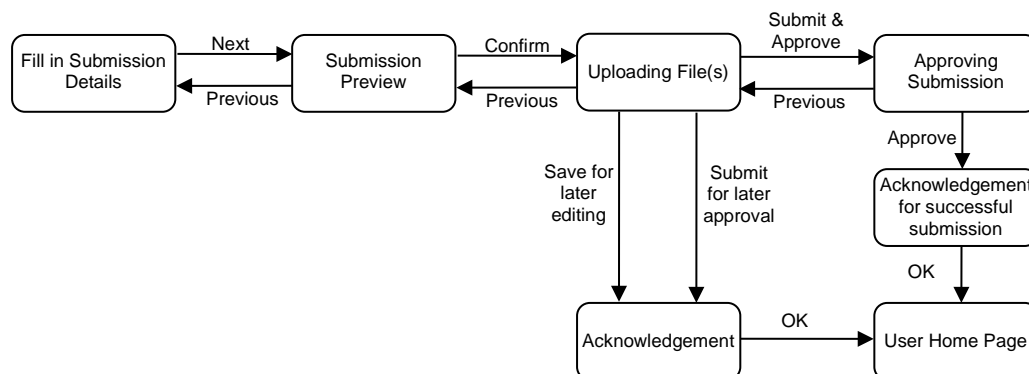
- A *Disclaimer* page will be displayed.
- Read the Disclaimer.
- Click ACCEPT AND CONTINUE to enter the e-Submission System Main page.

4.4 Selection of Functions in Main Menu

- The *User Home* page will be displayed with the Red Main Menu on the top of the page. Select the required function to proceed.

5 Submission and Approval of Files in a Single Session

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



5.1 Log into the system

- Refer to Sections 3 and 4.

5.2 Fill in Submission Details

- Choose **Submission for Publication** from the Main Menu.
- Submission Details** page will be displayed.
- Fill in the submission details, including the Contact Information, Headline Categories, Title(s) etc. on the Submission Details page. **Please note that all data you input must be in English, except for the field “Chinese Title”.**
- Click NEXT.

5.3 Submission Preview

- Review the Headline Categories and Title(s).
- Click CONFIRM.

5.4 Uploading File(s)

- Click CHOOSE FILES to select the files to upload. You can select multiple files for uploading.
- Click OPEN. The filename will be displayed under “List of File(s) Pending Approval”. Repeat this step until all files are uploaded.
Please note the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”.
- Click SUBMIT & APPROVE.

Notes

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click *Remove* next to the file.
- You can click SAVE for later editing, or click SUBMIT for later approval, or click SUBMIT & APPROVE for immediate approval.

5.4.1 Uploading File(s) – Document in multiple files format

- a) Click CHOOSE FILES to select the files to upload. You can select multiple files for uploading.
- b) Click OPEN. The filename will be displayed under “List of File(s) Pending Approval” and in alphabetical order. Repeat this step until all files are uploaded.
Please note the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”.
- c) Fill in *Chapter title* for each uploaded file.
- d) Input *Stock code*, *Document Name* and *Company Name*, where appropriate.
- e) You can construct the index page by:
 - adding narrative boxes;
 - adding or removing bullets;
 - adjusting indentation; and
 - changing the order of chapter title.
- f) Click PREVIEW to view the amalgamated index.
- g) Click SUBMIT & APPROVE.

Notes

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click *Remove* next to the file.
- The preview function does not allow you to edit the amalgamated index. Should you find the uploaded file / chapter title be incorrect, please correct it on the **Uploading File(s)** page.
- You can click SAVE for later editing, or click SUBMIT for later approval, or click SUBMIT & APPROVE for immediate approval.

5.5 Approving Submission

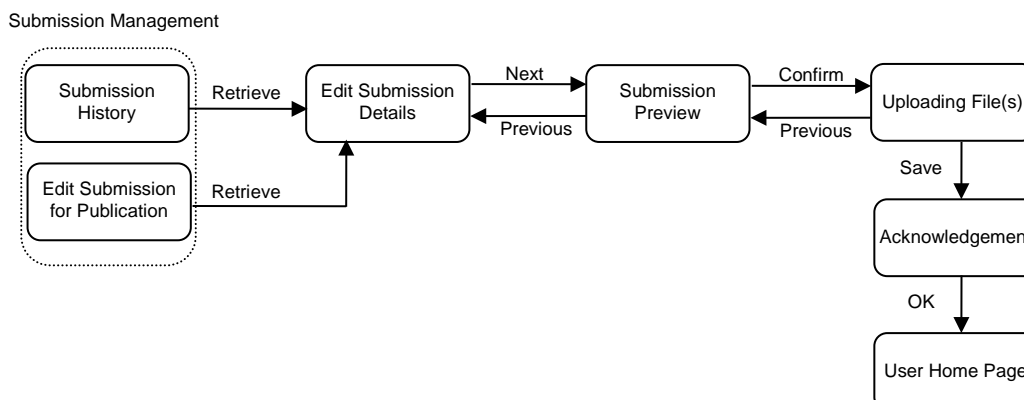
- a) Review Submission Information.
- b) Enter the Approver’s credentials to approve the submission. The credentials include Approver’s User ID, User Password and One-Time Passcode generated from the Approver’s token.
- c) Click APPROVE.
- d) A confirmation box will be displayed. Click OK to confirm.

5.6 Acknowledgement

- a) If the approval has been successful, an acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- b) Click OK to return to the **User Home** Page.

6 Retrieving a Saved Submission for Editing

The following flow of events assumes that retrieved submission is saved after editing.



6.1 Log into the system

- Refer to Sections 3 and 4.

6.2 Submission Retrieval

6.2.1 Via View Submission History

- Choose **View Submission History** from **Submission Management**.
- On the **Submission History** page, search for and select the saved submission by clicking the appropriate *Submission Number*.
- Enter the *self-defined passcode* (if applicable).

6.2.2 Via Edit Submission for Publication

- Choose **Edit Submission for Publication** from **Submission Management**.
- Input *Submission Number*, then click RETRIEVE.
- Enter the *self-defined passcode* (if applicable).

6.3 Edit Submission Details

- Review and update submission details where appropriate.
- Click NEXT.

6.4 Submission Preview

- Review the Headline Categories and Title(s).
- Click CONFIRM.

6.5 Uploading File(s)

- a) If you need to remove the previously uploaded file(s), click *Remove* next to the file. Repeat until all the unnecessary files are removed.
- b) If you need to upload new files, click CHOOSE FILES to select the files to upload. Then click OPEN. The filename will be displayed under “List of File(s) Pending Approval. Repeat until all files are uploaded.
Please note the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”.
- c) Click SAVE.

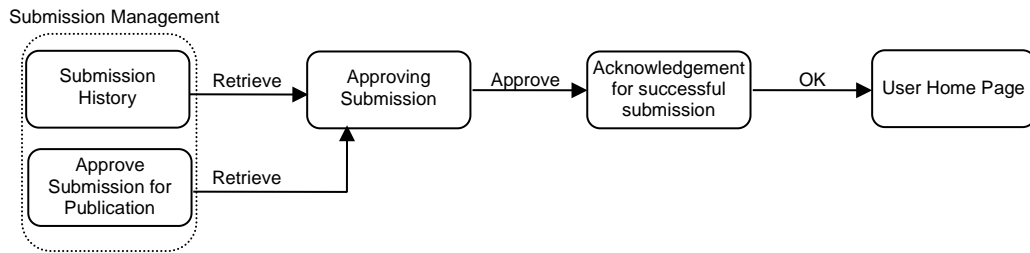
Notes

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click *Remove* next to the file.
- You can click SAVE for later editing, or click SUBMIT for later approval, or click SUBMIT & APPROVE for immediate approval.

6.6 Acknowledgement

- a) After each submission, an acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- b) Click OK to return to the *User Home* page.

7 Retrieving a Previously Submitted Submission for Approval



7.1 Log into the system

- a) Refer to Sections 3 and 4.

7.2 Submission Retrieval

7.2.1 Via View Submission History

- a) Choose **View Submission History** from **Submission Management**.
- b) On the **Submission History** page, search for and select the submitted submission by clicking the appropriate *Submission Number*.
- c) Enter the *self-defined passcode* (if applicable).

7.2.2 Via Approve Submission for Publication

- a) Choose **Approve Submission for Publication** from **Submission Management**.
- b) Input *Submission Number*, then click RETRIEVE.
- c) Enter the *self-defined passcode* (if applicable).

7.3 Approving Submission

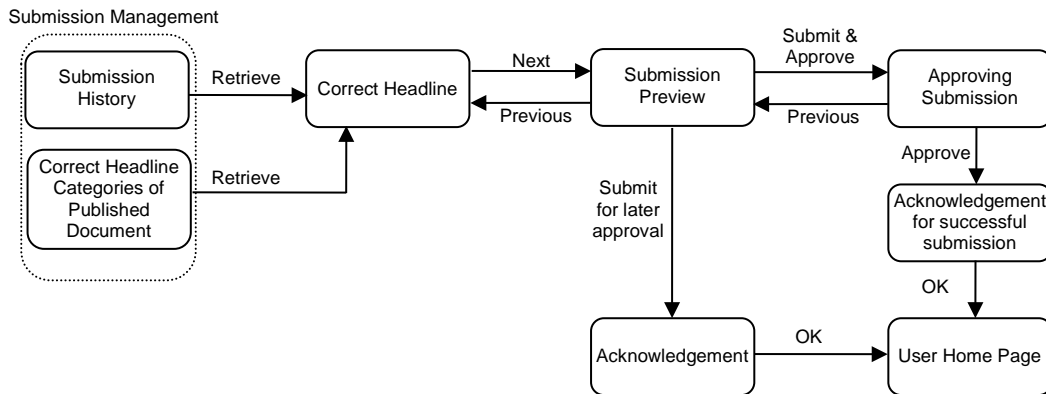
- a) Review Submission Information.
- b) Enter the Approver's credentials to approve the submission. The credentials include Approver's User Password and One-Time Passcode generated from the Approver's token.
- c) Click APPROVE.
- d) A confirmation box will be displayed. Click OK to confirm.

7.4 Acknowledgement

- a) If the approval has been successful, an acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- b) Click OK to return to the **User Home Page**.

8 Correcting Headline Categories of a Published Document in a Single Session

If the published document is found with incorrect headline(s), you may correct the headline as appropriate. Please note that you may only correct the headline once within 5 calendar days of publication.



8.1 Log into the system

- Refer to Sections 3 and 4.

8.2 Submission Retrieval

8.2.1 Via View Submission History

- Choose **View Submission History** from **Submission Management**.
- On the **Submission History** page, search for and select the published submission by clicking the appropriate *Submission Number*.

8.2.2 Via Correct Headline Categories of Published Document

- Choose **Correct Headline Categories of Published Document** from **Submission Management**.
- Input *Submission Number*, then click RETRIEVE.

8.3 Correct Headline Categories of Published Document

- You can correct Tier-1 and/ or Tier-2 Headline Categories.
- You can change the order of the selected Tier-2 Headlines.
- Click NEXT.

8.4 Submission Preview

- Review Headline Categories.
- Click SUBMIT & APPROVE.

Note

- You can click SUBMIT for later approval or click SUBMIT & APPROVE for immediate approval.

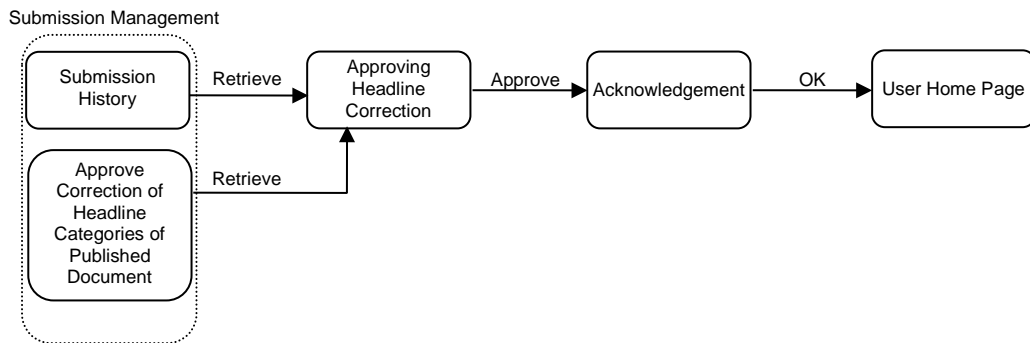
8.5 Approving Headline Categories Correction

- a) Review Submission Information.
- b) Enter the Approver's credentials to approve the submission. The credentials include Approver's User ID, User Password and One-Time Passcode generated from the Approver's token.
- c) Click APPROVE.
- d) A confirmation box will be displayed. Click OK to confirm.

8.6 Acknowledgement

- a) If the approval has been successful, an acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- b) Click OK to return to the *User Home* Page.

9 Approving Correction of Headline Categories of a Published Document



9.1 Log into the system

- a) Refer to Sections 3 and 4.

9.2 Submission Retrieval

9.2.1 Via View Submission History

- a) Choose **View Submission History** from **Submission Management**.
- b) On the **Submission History** page, search for and select the published submission with headline correction by clicking the appropriate *Submission Number*.
- c) Enter the *self-defined passcode* (if applicable).

9.2.2 Via Approve Correction of Headline Categories of a Published Document

- a) Choose **Approve Correction of Headline Categories of Published Document** from **Submission Management**.
- b) Input *Submission Number*, then click RETRIEVE.
- c) Enter the *self-defined passcode* (if applicable).

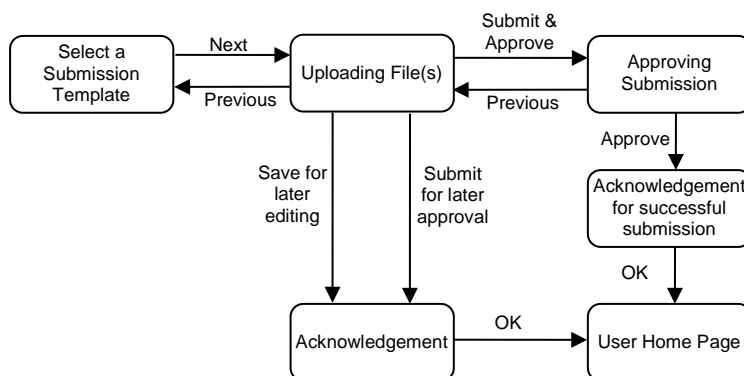
9.3 Approving Correction of Headline Categories of a Published Document

- a) Review Submission Information.
- b) Enter the Approver's credentials to approve the submission. The credentials include Approver's User Password and One-Time Passcode generated from the Approver's token.
- c) Click APPROVE.
- d) A confirmation box will be displayed. Click OK to confirm.

9.4 Acknowledgement

- a) If the approval has been successful, an acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- b) Click OK to return to the **User Home Page**.

10 Submission of Files with Submission Template (Applicable to Structured Product Issuers only)



10.1 Log into the system

- Refer to Sections 3 and 4.

10.2 Fill in Submission Details

- Choose **Submission for Publication** from the Main Menu.
- Submission Details** page will be displayed.
- Select a *Submission Template*. The submission details, including the Contact Information, Headline Categories, Title(s) etc. on the **Submission Details** page will be filled according to the selected submission template.
- Click NEXT.

Notes

- The pre-filled submission details, including the contact information of the login user and default Tier 1 and Tier 2 headline categories will be overwritten if submission template is applied.
- Refer to Section 5 for submission and approval without using a submission template.

10.3 Uploading File(s)

- Click CHOOSE FILES to select the files to upload. You can select multiple files for uploading.
- Click OPEN. The filename will be displayed under "List of File(s) Pending Approval". Repeat this step until all files are uploaded.
Please note the name of the English Language file must start with the letter "e" and the name of the Chinese Language file must start with the letter "c".
- Click SUBMIT.

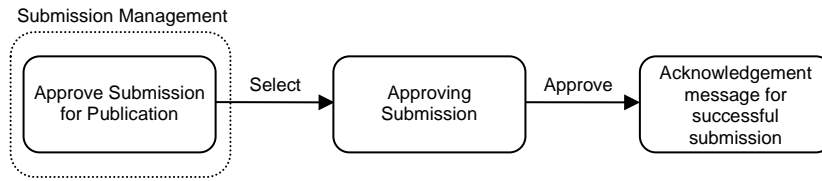
Notes

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click *Remove* next to the file.
- You can click SAVE for later editing, or click SUBMIT for later approval, or click SUBMIT & APPROVE for immediate approval.

10.4 Acknowledgement

- An acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- Click OK to return to the **User Home Page**.

11 Retrieving Previously Submitted Submissions for Batch Approval (Applicable to Structured Product Issuers only)



11.1 Log into the system

- Refer to Sections 3 and 4.

11.2 Submission Retrieval

- Choose **Approve Submission for Publication** from **Submission Management**.
- Submission(s) with "Pending Approval" status will be listed in descending order of submission number.
- You may select one or multiple submissions for approval by checking the selection box. Enter the *self-defined passcode* for each selected submission (if applicable).

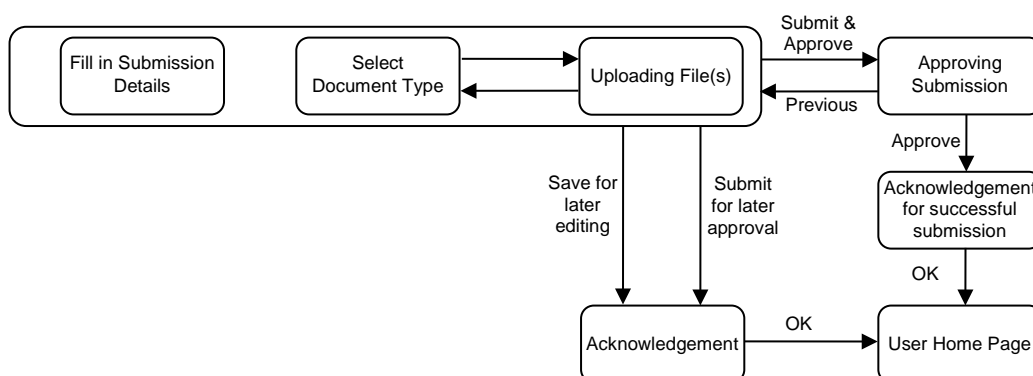
11.3 Approving Submission

- Enter the Approver's credentials to approve the selected submission(s). The credentials include Approver's User Password and One-Time Passcode generated from the Approver's token.
- Click APPROVE.
- A confirmation box will be displayed. Click OK to confirm.

11.4 Acknowledgement

- If the approval has been successful, the submission number(s) of all successful submission(s) will be displayed on the approval page. **You should note the Submission Number(s) shown on the page for future reference.**
- You may continue to approve the remaining submissions in the list or choose **Home** in the Red Main Menu to return to the **User Home** Page.

12 Submission and Approval of Application Proof & PHIP in a Single Session



12.1 Log into the system

- a) Refer to Sections 3 and 4.

12.2 Fill in Submission Details

- a) Choose **Submission for AP/PHIP** from the main menu.
- b) **Submission Details** page will be displayed.
- c) Input *Case Number* for Submission of Application Proof or PHIP.

12.2.1 Uploading File(s) – document in single file format

- a) Select *Document Type*.
- b) Click CHOOSE FILES to select the files to upload. You can select multiple files for uploading.
- c) Click OPEN. The filename will be displayed under “List of File(s) Pending Approval” of the selected document type.
- d) Repeat step a) to c) above until all Document Type / files are selected and uploaded. Please note the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”.

12.2.2 Uploading File(s) – document in multiple files format

- a) Select *Document Type*.
- b) Click CHOOSE FILES to select the files to upload. You can select multiple files for uploading.
- c) Click OPEN. The filename will be displayed under “List of File(s) Pending Approval” of the selected document type and in alphabetical order. Repeat this step until all files are uploaded.
Please note the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”.
- d) Fill in *Chapter title* for each uploaded file.
- e) You can construct the index page by:
 - adding narrative boxes;
 - adding or removing bullets;
 - adjusting indentation; and
 - changing the order of chapter title.
- f) Click PREVIEW to view the amalgamated index.

Notes

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click *Remove* next to the file.
- The preview function does not allow you to edit the amalgamated index. Should you find the uploaded file / chapter title be incorrect, please correct it on the **Uploading File(s)** page.

12.2.3 Input Contact Information

- a) Fill in Contact Information.
- b) Click SUBMIT & APPROVE.

Note

- You can click SAVE for later editing, or click SUBMIT for later approval, or click SUBMIT & APPROVE for immediate approval.

12.3 Approving Submission

- a) Review Submission Information.
- b) Enter the Approver's credentials to approve the submission. The credentials include Approver's User ID, User Password and One-Time Passcode generated from the Approver's token.
- c) Click APPROVE.
- d) A confirmation box will be displayed. Click OK to confirm.

12.4 Acknowledgement

- a) If the approval has been successful, an acknowledgement page with a submission number will be displayed. You may click PRINT to print this page for record. **You should note the Submission Number shown on the page for future reference.**
- b) Click OK to return to the **User Home** Page.

13 Download Document Template

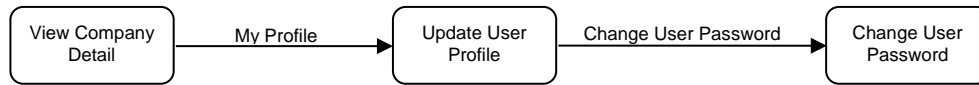
13.1 Log into the system

- a) Refer to Sections 3 and 4.

13.2 Download Template

- a) Choose **Download Document Template** from Main Menu. A list of templates in ascending order of template name will be displayed.
- b) Click the appropriate template to download.
- c) The Download Complete dialog box appears. Click **SAVE** to save the file to the desired location. Alternatively, click **OPEN** to open the file with the relevant applications (e.g. Microsoft Word/Excel).

14 View Company Profile / Update User Profile / Change User Password



14.1 Log into the system

- a) Refer to Sections 3 and 4.

14.2 View Company Profile

- a) Choose **Profile Admin** from Main Menu.
- b) **Company Details** page will be displayed.

14.3 Update User Profile

- a) Click MY PROFILE.
- b) Update your profile as required. If you wish to change your password, please proceed to the "Change Your Password" section below.
- c) Click SAVE.

14.4 Change User Password

- a) On the **User Profile** page, click CHANGE USER PASSWORD.
- b) Input your current password.
- c) Type in a new password and re-enter the new password.
- d) Click SAVE. A message will be displayed if your password has been changed successfully.

15 Logging out of the System

- a) Select LOGOUT in the Red Main Menu on the top of the page.
- b) Close the browser window.