



e-Submission System
Quick Reference Guide
For
Listing Related Matters

November 2019

Table of Contents

1	THINGS TO HAVE READY	3
2	FIRST-TIME LOGIN TO E-SUBMISSION SYSTEM	4
2.1	User Activation via Software Token (MobilePASS).....	4
3	LOGGING INTO THE E-SUBMISSION SYSTEM	5
3.1	Entering User ID, User Password and One-Time Passcode.....	5
3.2	Acceptance of Disclaimer Page.....	5
3.3	Selection of Functions in Main Menu.....	5
4	LOGIN WITH SMS PASSWORD	6
4.1	Submit Request for Login with SMS Password.....	6
4.2	Login with SMS Password.....	6
4.3	Acceptance of Disclaimer Page.....	6
4.4	Selection of Functions in Main Menu.....	6
5	DOCUMENT SUBMISSION	7
5.1	Log into the system.....	7
5.2	Fill in Submission Details.....	7
5.3	Uploading File(s).....	7
5.4	Confirm Submission.....	7
5.5	Acknowledgement	7
6	VIEW DOCUMENT SUBMISSION LOG	8
6.1	Log into the system.....	8
6.2	View Document Submission Log.....	8
7	DOWNLOAD DOCUMENT TEMPLATE	9
7.1	Log into the system.....	9
7.2	Download Template.....	9
8	VIEW COMPANY PROFILE / UPDATE USER PROFILE / CHANGE USER PASSWORD	10
8.1	Log into the system.....	10
8.2	View Company Profile	10
8.3	Update User Profile	10
8.4	Change User Password.....	10
9	LOGGING OUT OF THE SYSTEM	11

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. Your User ID, User Password and Security Token for generating the One-Time Passcode – for logging into the system.
2. File(s) to be uploaded.

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)

The screenshot shows the 'e-Submission System' user activation page. It includes the HKEX logo and the text 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. The page contains several input fields and buttons:

- User ID**: A text input field with a 'Request' button and an 'Example >>' link.
- User Registered Email Address**: A text input field with a 'Request' button and an 'Example >>' link.
- New Password**: A text input field with a 'Request' button and an 'Example >>' link.
- Confirm New Password**: A text input field with a 'Request' button and an 'Example >>' link.
- Token Policy String**: A section with a 'Request' button and an 'Example >>' link.
- Activation Code**: A section with a 'Request' button and an 'Example >>' link.
- One-Time Password**: A section with a 'Request' button and an 'Example >>' link.

At the bottom of the page, there are buttons for 'Activate' and 'Cancel', and a footer with links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

- 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 should 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 Blue 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 shows the 'e-Submission System' login page. At the top left is the HKEX logo with the text '香港交易所' and '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 message box states 'Your request has been submitted successfully'. Below this, the section is titled 'Login with SMS Password'. A note says '* Denotes mandatory fields'. The instruction reads: 'Please enter the One-Time Password sent to your mobile phone (Just 4 digits "0769")'. There is a text input field for the 'One-Time Password'. Below the field are 'Login' and 'Cancel' buttons. A small note at the bottom says: '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.

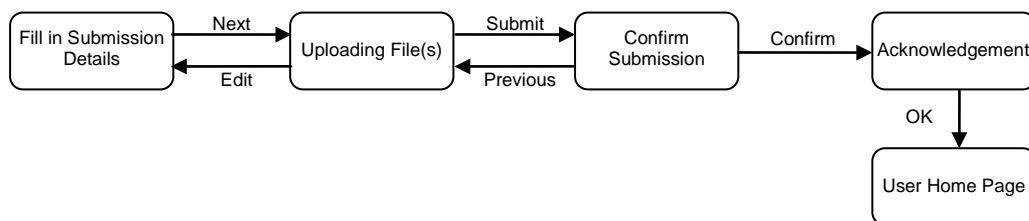
4.3 Acceptance of Disclaimer Page

- 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 Blue Main Menu on the top of the page. Select the required function to proceed.

5 Document Submission



5.1 Log into the system

- a) Refer to Sections 3 and 4.

5.2 Fill in Submission Details

- a) Choose **Submission for Listing Related Matter** from **Listing Related Matter Document**.
- b) **Listing Related Matters Submission** page will be displayed.
- c) Select *Case Type*. If case type is Existing Case Number (for document with case number), enter the *Existing Case Number*. If case type is New Case / Non Case (for document without case number), enter the *Subject Company Code*.
- d) Click NEXT.

5.3 Uploading File(s)

- a) Click CHOOSE FILES to select the files to upload.
- b) Click OPEN. The filename will be displayed under “List of File(s) Uploaded”.
- c) Choose the *Document Type* and input *remark* (if necessary).
- d) Repeat step a) to c) above until all files are uploaded.
- e) If you would like to receive submission confirmation email after document submission, click the checkbox of *Receive Submission Confirmation Email*.
- f) Click SUBMIT.

Note

- 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.

5.4 Confirm Submission

- a) Review Submission Information.
- b) Click CONFIRM.

5.5 Acknowledgement

- a) After each successful submission, an acknowledgement page will be displayed.
- b) Click OK to return to the **User Home Page**.

6 View Document Submission Log

6.1 Log into the system

- a) Refer to Sections 3 and 4.

6.2 View Document Submission Log

- a) Choose **Listing Related Matter Submission Log** from **Listing Related Matter Document**.
- b) The Submission History for the last 365 days will be listed by default. Submission history list is in descending order by submission date/time.
- c) You can use different criteria to filter the submission history. Specify the criteria (e.g. *Case Number*, *Subject Company Code* or *Submission Date Range*) and click RETRIEVE. Search results matched with the criteria will be listed.

7 Download Document Template

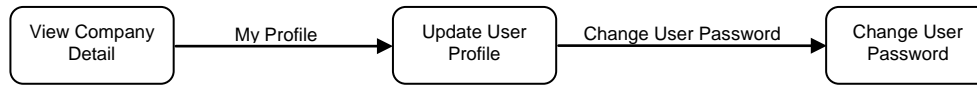
7.1 Log into the system

- a) Refer to Sections 3 and 4.

7.2 Download Template

- a) Choose **Download Document Template** from Main Menu.
- b) Choose *Transaction Category* and click SELECT. A list of corresponding templates in ascending order of template name will be displayed.
- c) Click the appropriate template name to download.
- d) The Download Complete dialog box will be displayed. 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).

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



8.1 Log into the system

- a) Refer to Sections 3 and 4.

8.2 View Company Profile

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

8.3 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.

8.4 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.

9 Logging out of the System

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