

Listed company information dissemination and related trading arrangements in the event of interruption to the HKEXnews website service or its information dissemination system (Updated on 20 March 2020)

Contingency arrangements for listed companies

I. Introduction

1. This document sets out procedures for listed companies intending to publish regulatory documents during disruption to the HKEXnews website and/or HKEX e-Submission system (ESS).
2. In the unlikely event of interruption to the HKEXnews website or ESS, we will issue news releases to inform and provide updates to investors and listed companies about any system disruption through the HKEX market website (www.hkex.com.hk) and any other channels as appropriate. The Exchange will also circulate the news releases to listed companies by email.

II. Implications for disruption of HKEXnews website and/or ESS

(a) *General*

3. During normal circumstances, after a listed company submitted a regulatory filing to ESS during the publication windows (see paragraph 4), the document will be published on the HKEXnews website immediately. A notification of the document will be published on the bulletin boards and the data will be sent to external information services providers via the Issuer Information Feed Service (IIS) at the same time. The listed company should also publish a copy of the same document submitted to HKEX on its own website.
4. The publication windows are: 6:00 a.m. to 8:30 a.m., 12:00 noon to 12:30 p.m. and 4:30 p.m. to 11:00 p.m. on a normal business day, and 6:00 p.m. to 8:00 p.m. on a non-business day immediately preceding a business day.
5. Under the Rules, listed companies must maintain a website for publication of regulatory filings, and timely publish those regulatory filings on their websites. The listed company's website provides an additional channel for information dissemination. It is also the alternative means of information dissemination if the HKEXnews website is disrupted.

(b) HKEXnews website disruption

6. If service to the HKEXnews website is interrupted, we will (i) post notification of documents submitted by listed companies through ESS on the bulletin boards (www.bulletinboard.hk and www.hkex-is.hk) or New Bulletin Board¹; and (ii) ask investors to review the documents on the listed companies' websites.
7. You can continue to submit documents for publication through ESS, however, you will not receive email notification confirming the publication of submitted documents.
8. To publish an announcement, you should do the following:
 - (a) Continue to submit a document via ESS;
 - (b) Follow paragraphs 16 to 19 for "Publication of documents on the listed company's website";
 - (c) Follow paragraphs 20 to 21 for "Checking the notification on the bulletin boards or New Bulletin Board";
 - (d) Follow paragraphs 22 to 27 for "Trading suspension and resumption"; and
 - (e) Contact our case officer after submission of the document.

(c) ESS disruption

9. If ESS is disrupted, you should submit documents and the required metadata (i.e. stock code, stock name, tier 1 & tier 2 headlines categories, English and Chinese Titles) through email. We will (i) post an announcement notification list for notification of documents submitted by listed companies through email on the bulletin boards or New Bulletin Board; and (ii) ask investors to view the documents on the listed companies' websites.
10. Because the normal submission channel is disrupted, delay in submission of announcement may require suspension of trading in your securities. Under the suspension policy, if a company has inside information and is unable to disseminate this information to the market, trading in its securities will be suspended.

¹ In the unlikely event that the HKEXnews and the two bulletin boards are all interrupted, a new bulletin board (New Bulletin Board) will be activated.

- 11. To publish an announcement, you should do the following:
 - (a) Follow paragraphs 13 to 15 for “Document submission via email”;
 - (b) Follow paragraphs 16 to 19 for “Publication of documents on the listed company’s website”;
 - (c) Follow paragraphs 20 to 21 for “Checking the notifications on the bulletin boards or New Bulletin Board”;
 - (d) Follow paragraphs 22 to 27 for “Trading suspension and resumption”; and
 - (e) Contact our case officer after submission of the document.

(d) Multiple systems disruption

- 12. If both HKEXnews website and ESS are disrupted, you should follow instructions applicable to ESS disruption described above.

III. Contingency Procedures

(a) Document submission via email

- 13. If ESS is disrupted, you should submit documents to the following email accounts:

Listed Issuer Regulation Team Number	Email address
Team 1	contingency.cmt1@listing-hkex.com
Team 2	contingency.cmt2@listing-hkex.com
Team 3	contingency.cmt3@listing-hkex.com
Team 4	contingency.cmt4@listing-hkex.com
Team 5	contingency.cmt5@listing-hkex.com
Team 6	contingency.cmt6@listing-hkex.com
Team 7	contingency.cmt7@listing-hkex.com
Team 8	contingency.cmt8@listing-hkex.com
Team 9	contingency.cmt9@listing-hkex.com
Team 10	contingency.cmt10@listing-hkex.com
Team 11	contingency.cmt11@listing-hkex.com
Team 12	contingency.cmt12@listing-hkex.com
Team 13	contingency.cmt13@listing-hkex.com
Team 14	contingency.cmt14@listing-hkex.com
Team 15	contingency.cmt15@listing-hkex.com
Team 16	contingency.cmt16@listing-hkex.com
Team 17	contingency.cmt17@listing-hkex.com

Team 18	contingency.cmt18@listing-hkex.com
Team 19	contingency.cmt19@listing-hkex.com
⋮	⋮
Team 30	contingency.cmt30@listing-hkex.com
Team [x]	contingency.cmt[x]@listing-hkex.com

Structured Products & Fixed Income Team	contingency.dnd@listing-hkex.com
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IPO Vetting Team Number	Email address
Team 1	contingency.ipot1@listing-hkex.com
Team 2	contingency.ipot2@listing-hkex.com
Team 3	contingency.ipot3@listing-hkex.com
Team 4	contingency.ipot4@listing-hkex.com
Team 5	contingency.ipot5@listing-hkex.com
Team 6	contingency.ipot6@listing-hkex.com
Team 7	contingency.ipot7@listing-hkex.com
Team 8	contingency.ipot8@listing-hkex.com
Team 9	contingency.ipot9@listing-hkex.com
Team 10	contingency.ipot10@listing-hkex.com
Team 11	contingency.ipot11@listing-hkex.com
Team 12	contingency.ipot12@listing-hkex.com
Team 13	contingency.ipot13@listing-hkex.com

14. You should submit both English and Chinese versions of the document and provide the following information in the email content to the e-mail address in paragraph 13.
- (a) Stock code;
 - (b) Stock name;
 - (c) Tier 1 and Tier 2 headline categories; and
 - (d) English and Chinese titles.

Sample email is as follow:

The screenshot shows an email composition window. The header includes a 'Send' button, 'From' (chantaiman@abcgroup.com), 'To' (contingency.cmt1@listing-hkex.com), 'Subject' (stock code 3456 (ABC Group)), and 'Attached' files (c-ABC.pdf, 461 KB and e-ABC.pdf, 504 KB). The body of the email starts with 'Dear team 1,' followed by a table with the following data:

Stock Code	3456
Stock Name	ABC GROUP
Tier 1 and Tier 2 Headline Categories	Announcements and Notices / Inside Information
English and Chinese titles	Profit Warning 盈利警告

Below the table, it says 'Please contact 91234567 if necessary.'

15. After you have submitted document via email, our case officers will contact you for authentication before the announcement notification list is updated on the bulletin boards or New Bulletin Board.

(b) Publication of documents on the listed company's website

16. When the HKEXnews website is disrupted, you should:

- (a) First submit the documents to HKEX (via ESS or if ESS is disrupted, email); and
- (b) Immediately thereafter, publish the same documents that you submitted to HKEX, which in most cases (except for overseas regulatory announcement) include both the English and Chinese versions on your own website, within the same publication window as you submitted the documents to HKEX.

17. Because of system disruption, HKEX publication of the notification may be delayed. It is possible that your document would be posted on your website before we post a notification on the bulletin boards or New Bulletin Board. **The normal practice where documents must be posted on the HKEXnews website first would not apply.** If the announcement contains inside information (except for results announcement) and we are unable to post the notification, trading in your securities would need to be suspended.

18. Conversely, if we have published the notification on the bulletin boards but you have not published the inside information announcement (except for results announcement) on your website before the end of that publication window, trading in your securities would also be suspended. During such suspension of trading in your securities, you may publish the inside information announcement on your website although this deviates from the normal practice where inside information should not be published during trading hours.
19. Except for the situation described in paragraph 18, you should only post documents on your own website during the publication windows as set out in the Listing Rules. Only certain types of documents can be posted during trading hours (see Main Board Rule 2.07C(4)(a) or GEM Rule 16.18(3)(a)).

(c) *Checking the notification on the bulletin boards or New Bulletin Board*

20. You should verify your company's website address and notification posted on the bulletin boards or New Bulletin Board after you have submitted your regulatory filing. The company's website address should direct investors to the regulatory filings, and not the home page of a company's website. You should inform our case officer immediately if your company's website address is incorrect.
21. Even though you have published an inside information announcement (including results announcement) on your website, if your website is not accessible via the published hyperlinks to listed companies for any reasons, you should contact our case officer to discuss trading suspension.

(d) *Trading suspension and resumption*

22. For a listed company announcing results, trading in company's securities will continue if the results announcement is timely published on the listed company's website, provided that the board meeting notice was previously published. This arrangement applies even if services to the HKEXnews website and both bulletin boards are interrupted.
23. For a listed company announcing an inside information (except for results announcement), trading in the company's securities will continue if (i) listed company has timely published the announcement on its own website **and** (ii) HKEX has published a notification about the announcement on the bulletin boards before the end of the preceding publication window.

24. In the extremely unlikely event that the HKEXnews website and the two bulletin boards are interrupted, there would be no advance notice of the inside information announcements (except for results announcements) before New Bulletin Board website address is widely disseminated. In this circumstance, we will inform the market about New Bulletin Board website address through a news release as soon as practicable.
25. Under the scenario in paragraph 24, we may impose a half-day suspension for listed companies which have published announcements regarding inside information (except for results announcements) prior to New Bulletin Board website address being widely circulated. At least 30 minutes before the commencement of the first trading session after system disruption, if we consider that New Bulletin Board website address has not been widely disseminated by that time, we may impose a half-day suspension on the securities of listed companies which have published inside information (except for results announcements) so that investors will have sufficient time to locate New Bulletin Board and review the company announcements.
26. We will suspend or resume trading in securities based on the information published on your website and on the HKEXnews website/ bulletin boards or New Bulletin Board. We will endeavor to contact you before the suspension or resumption takes place. A suspension or resumption request is not necessary in circumstances set out in paragraphs 22 to 25.
27. In all cases, we will inform the market of the securities to be suspended and resumed through the HKEXnews website/ bulletin boards or New Bulletin Board before the commencement of each trading session. You should also post this information on your website for the benefit of investors. Appendix A contains suggested wording for suspension and resumption announcements/ press releases under the contingency arrangements, a soft copy of which is available at <https://www.hkex.com.hk/-/media/HKEX-Market/Listing/Rules-and-Guidance/eSubmission-System/Listed-Company-Information-Dissemination-and-Related-Trading-Arrangements/susrescon.pdf?la=en>.

(e) Contact the case officers for listed companies

28. Your authorized representative must contact our case officer when:
 - (a) You have submitted any document to HKEX for publication after system disruption; or
 - (b) You have published inside information announcement on your website after the system disruption; or
 - (c) You found problems with your website hyperlink address or information posted on the HKEXnews website/ bulletin boards or New Bulletin Board; or
 - (d) You encountered a problem in posting documents on your website; or
 - (e) You need to discuss for the arrangement of trading suspension/ resumption.

29. If ESS is disrupted, our case officer will contact your authorized representative to confirm the authenticity of documents submitted through e-mail before updating the published announcements notification list on the bulletin boards or New Bulletin Board. Please make sure your authorized representatives are contactable at all times to avoid unnecessary delay.

30. You do not need to contact our case officer if you have submitted a document through ESS and the document was published on the HKEXnews website before the system disruption.

(f) Reactivation of ESS

31. After ESS resumes services, you do not need to re-submit any documents through ESS that were submitted by email during the system disruption.