

# HKEX

香港交易所

## Fast Interface for New Issuance (FINI)

External User Testing Information Pack for Sponsors,  
Intermediaries and Legal Advisers



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## Versions

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### **DISCLAIMER**

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## 1. Introduction

“FINI” (Fast Interface for New Issuance) is an online platform operated by HKSCC that is mandatory for admission to trading and, where applicable, the collection and processing of specified information on subscription in and settlement for all New Listings<sup>1</sup>.

FINI allows market participants and regulators to interact digitally and seamlessly on the many important steps that comprise the end-to-end settlement process for the New Listings. Leveraging modern and user-friendly interfaces with common workflow logic and data standards, the use of FINI allows IPOs to start trading on the Exchange as soon as, two business days after pricing (“T+2”).

HKEX invites new Sponsors, Intermediaries, and Legal Advisors to participate in the FINI External User Testing (“EUT”). Participation in the EUT is strongly advised, as the EUT will provide opportunities for market participants to familiarise themselves with FINI applications and workflows. To register for the EUT, please submit the [FINI Testing Registration Form](#). Other FINI-related publications are also available on the [HKEX FINI webpage](#).

This Information Pack contains detailed information to assist testers in planning and executing the EUT. Please share this information pack with all relevant personnel within your firm, who will participate in the EUT for example, your Operations and IT support teams.

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<sup>1</sup> FINI will initially support the new listings of equity securities, depositary receipts, stapled securities, and REITs, and trading resumption offerings on SEHK, including: (i) primary listings; (ii) dual-primary listings; (iii) secondary listings; (iv) RTOs; (v) listings by way of introduction; and (vi) transfers from GEM to the Main Board. FINI will also support post-listing public offers.



## 2. Objective and Scope

### 2.1 Testing Objective

The objective of the EUT is to allow market participants obtain an understanding of how they will be using FINI, experience to use it in a testing environment and assess how their internal practices may need to be changed in order to bring themselves ready for FINI ahead of its launch.

To be eligible for the EUT, market participants **must** have been onboarded as FINI users and have already completed testing registration for FINI. The [FINI Testing Registration Form](#) can be found on the HKEX FINI webpage.

### 2.2 EUT Scope

The testing will cover the following workflows for each participating user type:

- IPO Initiation and IPO Reference Data (**Sponsors, Legal Advisers (for Sponsor)**)
- Allocation Adjustments (**Overall Coordinators**)
- Final Offer Pricing (**Overall Coordinators**)
- Concentration Analysis (**Sponsors, Overall Coordinators, Distributors**)
- Control List (**Overall Coordinators, Distributors**)
- Placee List (**Overall Coordinators, Distributors**)
- Allotment Results Announcement (**Sponsors**)
- Regulatory Submissions (**Sponsors, Overall Coordinators, Distributors, Legal Advisers (for Issuer)**)
- Depository and Settlement Form
  - Placement / Pre-deposit Form (**Sponsors, Overall Coordinators, Distributors, Legal Advisers (for Issuer), Legal Adviser (for Sponsor)**)
  - Formal Admission Letter (**Sponsors, Legal Advisers (for Issuer), Legal Adviser (for Sponsor)**)
  - Placement Form (Over-allotment Option) (**Sponsors, Overall Coordinators, Distributors, Legal Advisers (for Issuer), Legal Adviser (for Sponsor)**)

Please refer to the [User Guide for Sponsors, Intermediaries and Legal Advisers](#) for a step-by-step guide on how to use each of the above FINI workflows.

For the avoidance of doubt, the below functions/scenarios are out-of-scope for this EUT:

- Audit Log
- Email notifications

### 3. Schedule and Arrangements

#### 3.1 Overview

Each market participant will be assigned a specific testing period and we will inform you in advance of your testing schedule ahead of expected Testing Date.

Market Participants will be assigned specific IPOs in FINI (also known as “**IPO Cards**”) for the purposes of the EUT to avoid any unnecessary confusion amongst testers. Market Participants must only conduct their testing within their assigned IPO Cards to ensure a smooth testing experience for all EUT participants.

There are two types of user accounts: 1) **Admin** users are only for managing the business user accounts, teams and API profiles for FINI access; and 2) **Business** users will be the ones accessing and using the FINI interface. All business user accounts are managed by Delegated Administrators (“**DAs**”) in the HKEX Access Management Portal.

By default, there are **two** admin user accounts and **two** business user accounts setup for all participant firms in the EUT environment.

#### 3.2 Preparation and Execution of the Testing

All testers should note the following arrangements for preparation and execution of the testing:

- i. VPN (Virtual Private Network) setup must be completed in order to access the FINI test site. For VPN setup instructions, please refer to [FINI Testing Environment Setup and Access Guide](#).
- ii. Once the VPN setup has been completed, you may start accessing the FINI and HKEX Access Management Portal via the following links:
  - FINI: <https://fini.u4cp.hkex.com.hk>
  - HKEX Access Management Portal: <https://connect.u4cp.hkex.com.hk>

The testing environments (both FINI and HKEX Access Management Portal) will be open from Monday 08:00 to Friday 19:00 (HKT) during the EUT period.

- iii. HKEX Access Management Portal Login details (i.e. account name/password) of DAs and Business users will be sent to the contact person’s email addresses provided in the EUT registration form. DAs would need to create teams and assign members to such teams in order to access the assigned IPOs in the FINI testing environment. Please refer to the [Access Management User Guide](#) for steps to access this portal and to create teams.

When creating teams, DAs must select the appropriate team pre-fixes in order for FINI to grant those teams access to an IPO card. We set out below the list of team pre-fixes, which is found in [Access Management User Guide](#):

**Company** – DA (maker) may create team for the company(ies) he/she manages.

**Team Pre-fix** – select the pre-fix that represents the function of the team in FINI:

Team Pre-fix	Descriptions	Functions to be performed in FINI
IBD	Investment Banking Division	Designated sponsor or other sponsors / Underwriter
LEG	Legal	Legal advisor to the sponsor or the issuer
PLA SYN	Syndicate	Overall coordinator / Distributor
GEN	Generic	Underwriter

For avoidance of doubt, if your firm will act as a placing agent in an IPO, please select the Syndicate pre-fix.

- iv. DAs must email HKSCC to confirm they have completed assigning their teams to carry out the testing and provide the names of the participating tester(s) and their respective email(s) and phone number(s).
- v. The IPO card number(s), unique FINI case number(s) and designated testing period will be emailed to the testers prior to the commencement of their testing sessions. Please follow the steps written in this information pack and the [User Guide for Sponsors, Intermediaries and Legal Advisers](#) to execute the test cases.
- vi. Testing may be executed anytime within the specified testing period and **must** be completed **before** the end of the specified testing period.

### 3.3 Test Cases

#### Designated Sponsor (“DS”) / Sponsor:

Workflow	Pre-Conditions	Test Steps	Expected Result
IPO Initiation & Reference Data	Unique FINI Case Number generated by Listing Division	<p><b>A. IPO Initiation</b></p> <ol style="list-style-type: none"> <li>1. After unique FINI case number has been provided to the DS, DS can initiate the IPO in FINI by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Press “+ Initiate IPO” button on the IPO Home Page</li> <li>(iii) Enter unique FINI case number provided by the Listing Division and press the “Submit” button</li> </ol> </li> </ol> <p><b>B. IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. Complete the IPO Reference Data fields. DS may press the back button and continue completing the IPO Reference Data at a later time.</li> <li>2. DS may resume IPO Reference Data function by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information under the section Initial Information</li> </ol> </li> <li>3. Complete the sub-sections available for user input under the IPO reference data and click the “Save” button:               <ol style="list-style-type: none"> <li>(i) Company Information</li> <li>(ii) Warrants</li> <li>(iii) Type of Listing</li> <li>(iv) Offering</li> </ol> </li> </ol>	<p><b>A. IPO Initiation</b></p> <ol style="list-style-type: none"> <li>1. User successfully initiate IPO in FINI and directed to input IPO Reference Data fields</li> </ol> <p><b>B. IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. After pressing the “back” button, user returns to home page</li> <li>2. "IPO Reference Data" section is available for selection on the screen</li> <li>3. All inputted data will be saved and displayed when user exits and re-enters the IPO card</li> <li>4. User successfully submits IPO Reference Data and the sub-status of “IPO Reference Data” will reach to 'Submitted'</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p>(Applicable to D. Addressing comments and re-submit reverted IPO Reference Data only)</p> <p>HKSCC to issue comments on submitted IPO Reference Data</p>	<ul style="list-style-type: none"> <li>(v) Preferential Offer</li> <li>(vi) Advisors</li> <li>(vii) Timetable</li> <li>(viii) Documents</li> <li>(ix) Transaction Costs</li> </ul> <ol style="list-style-type: none"> <li>4. Upon completing the form, Press “preview”</li> <li>5. Tick the declaration box</li> <li>6. Press “Confirm” to submit</li> </ol> <p><b>C. Addressing comments and re-submit reverted IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. After submitting IPO Reference Data for HKSCC’s review (completing Test Case B. above), HKSCC to revert submission with comments.</li> <li>2. DS access reverted IPO Reference Data (after successful login) and make amendments to necessary fields (offer price range and refresh denomination table). DS then re-submits revised IPO Reference Data</li> </ol> <p><b>D. Delete IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. After successfully initiating a new IPO in FINI (following step 1 in Section A. IPO Initiation above),</li> </ol>	<p><b>C. Addressing comments and re-submit reverted IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'IPO Reference Data' will reach to 'Reverted'</li> <li>2. User able to access the reverted IPO Reference Data, make necessary amendments, and re-submit the IPO Reference Data. The sub-status of “IPO Reference Data” will reach to “Submitted”</li> </ol> <p><b>D. Delete IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. IPO card is deleted and removed from the IPO Home Page. User will be re-directed to Home page and a</li> </ol>





Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(vii) Upload Top 25 Shareholders List: [upload the completed excel file based on downloadable template in the UI]</li> <li>(viii) Upload Top 25 H Shareholders/Non WVR Shareholders List: [upload the completed excel file based on downloadable template in the UI]</li> <li>(ix) Weblink (input weblink for full PO allottee list on Share Registrar’s website)</li> <li>(x) Weblink (input weblink for search by ID function on Share Registrar’s website)</li> <li>(xi) [Lock-up undertaking]: Select Shareholder Type</li> <li>(xii) [Lock-up undertaking] Enter English name of Shareholders</li> <li>(xiii) [Lock-up undertaking] Enter Chinese Name of Shareholder</li> <li>(xiv) [Lock-up undertaking]: Input number of shares subject to Lock-up undertaking upon Listing</li> <li>(xv) Input the last day the WVR Shares are subject to Lock-up undertaking</li> </ul> <ol style="list-style-type: none"> <li>2. Upon completing the form, Press “Preview”</li> <li>3. Tick the declaration box</li> <li>4. Press “Confirm” to submit</li> <li>5. ARA Form status (at top of UI) changes from “pending” to “ARA drafted”</li> </ol>	
ARA Submission	ARA status is ‘ARA Drafted’	<ol style="list-style-type: none"> <li>1. When ARA status is “ARA Drafted”, DS can submit ARA for Regulators’ review by: <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “ARA” menu – ARA</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1. Access ARA Submission and user able to select either of the 2 submission options: <ul style="list-style-type: none"> <li>(i) System Generated</li> <li>(ii) Customised</li> </ul> </li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p style="text-align: center;">Submission</p> <ol style="list-style-type: none"> <li>2. DS can choose either of the 2 submission options:               <ol style="list-style-type: none"> <li>(i) System Generated</li> <li>(ii) Customised</li> </ol> </li> <li>3. Select System Generated option and click to view the .pdf of the ARA</li> <li>4. Select Customised Option and download the word version of the ARA. DS will submit the “Customised” ARA.</li> <li>5. Upload the word version of the ARA and afterwards DS can click “Preview” and “Confirm” to submit</li> <li>6. ARA submission status will change from “ARA Drafted” to “ARA Submitted”</li> </ol>	<ol style="list-style-type: none"> <li>2. After selecting “System Generated”, user able to see the link to the .pdf file and upon clicking the link, open the .pdf file</li> <li>3. After selecting the “Customised Option”, user able to see the link to the .docx file and upon clicking the link, download the .docx file</li> <li>4. User successfully uploads the “Customised” .docx file back in FINI via the “upload” button and submits the ARA submission, and ARA submission status will changes from “ARA Drafted” to “ARA Submitted”</li> </ol>
Concentration Analysis	<p>After Public Offer Book After Public Offer Book Open, HKSCC Participants have submitted EIPO application and Intermediaries have placee lists, respectively</p> <p>Top 25 Shareholders tab only available after</p>	<ol style="list-style-type: none"> <li>1. After Public Offer Book Open, DS can access Concentration Analysis function by:               <ol style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Click on the IPO Card</li> <li>(iii) In the left panel, click “Concentration Analysis” menu</li> </ol> </li> <li>2. DS can view the following under “Top 25 Placees” tab:               <ol style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> <li>(iii) Placee Board Lot Concentration</li> </ol> </li> <li>3. DS can view the following under “Top 25 Public Offer Shareholder” tab:               <ol style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> </ol> </li> </ol>	<ol style="list-style-type: none"> <li>1. User able to access Concentration Analysis and all tabs</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
	DS has submitted the ARA Form	4. DS can view the following under “Top 25 Shareholders” tab: <ul style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> </ul>	
Regulatory Submission  (Sponsor Declaration, Transaction Levy Form)	IPO status reaches “Placing Approved”	<p><b>A. Regulatory Submissions Status Page</b></p> <ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> <li>4. Able to see own outstanding forms to complete and forms of downstream Distributors and/or other OCs</li> </ol> <p><b>B. Sponsor’s Declaration</b></p> <ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> <li>4. Locate “Sponsor’s/Overall Coordinator’s Declaration” and click “open”</li> <li>5. Fill in the following:               <ul style="list-style-type: none"> <li>(i) Name of Submitter</li> <li>(ii) Title of Submitter</li> <li>(iii) Company Name</li> </ul> </li> <li>6. Press “Preview”</li> <li>7. Tick the declaration box</li> <li>8. Press “confirm”</li> </ol> <p><b>C. Transaction Levy Form</b></p> <ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> </ol>	<p><b>A. Regulatory Submissions Status Page</b></p> <ol style="list-style-type: none"> <li>1. User able to access and view submission status of other sponsors and intermediaries (where applicable)</li> </ol> <p><b>B. Sponsor’s Declaration</b></p> <ol style="list-style-type: none"> <li>1. User able to access and successfully submit Sponsor’s Declaration. Upon submission, prompt a snackbar with message “Sponsor’s / Overall Coordinator’s Declaration successfully submitted” and Sponsor’s Declaration status changed from “pending” to “submitted”</li> </ol> <p><b>C. Transaction Levy Form</b></p> <ol style="list-style-type: none"> <li>1. User able to access and successfully submit Transaction Levy Form. Upon submission, prompt a snackbar with message</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ol style="list-style-type: none"> <li>4. Locate "Transaction Levy Form" and click "open"</li> <li>5. Fill in the following:               <ol style="list-style-type: none"> <li>(i) Date</li> <li>(ii) Sponsor Name</li> <li>(iii) Title of Sponsor</li> </ol> </li> <li>6. Press "Preview"</li> <li>7. Tick the declaration box</li> <li>8. Press "confirm"</li> </ol>	<p>"Transaction Levy Form successfully submitted" and status changed from "pending" to "submitted"</p>
<p>Depository and Settlement Forms [Placement / Pre-deposit Form]</p>	<p>IPO status reached "Deal Initiated"</p>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches "Deal Initiated", Sponsor can access Placement / Pre-deposit Form by:           <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Placement / Pre-deposit Form" in pull down menu</li> </ol> </li> <li>2. Complete the fields in Placement / Pre-deposit e-form. Sponsor may press the back button and continue completing the e-form at a later time.</li> <li>3. Sponsor may resume Placement / Pre-deposit Form function by:           <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement / Pre-deposit e-form</li> </ol> </li> <li>4. Complete the sub-sections available for user input and click the "Save" button:           <ol style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> </ol> </li> </ol>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. e-Form will be displayed</li> <li>2. After pressing the "back" button, user returns to home page</li> <li>3. "Placement / Pre-deposit Form" section is available for selection on the screen</li> <li>4. All inputted data will be saved and displayed when user exits and re-enters the section</li> <li>5. User successfully submits Placement / Pre-deposit Form and the sub-status will reach to "Submitted"</li> </ol>



Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>(Applicable to B. Addressing comments and re-submit reverted Placement / Pre-deposit e-form only) HKSCC to issue comments on submitted e-form</i></p> <p><i>(Comment: to amend depositing quantities)</i></p>	<p>(iii) Supporting Documentation(s) (iv) Declarations</p> <p>5. Upon completing the form, press 'Preview'</p> <p>6. Tick the declaration box</p> <p>7. Press "Confirm" to submit</p> <p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit e-form</b></p> <p>1. After submitting Placement / Pre-deposit e-form for HKSCC's review, HKSCC to revert submission with comments</p> <p>2. Sponsor access reverted Placement / Pre-deposit e-form and make amendments to necessary fields. Sponsor then re-submits revised Placement / Pre-deposit e-form</p> <p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>1. When sub-flow status reaches "Document Generated" or "Finalised", download the Placement / Pre-deposit Form</p>	<p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit Form</b></p> <p>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of "Placement / Pre-deposit Form" will reach to "Reverted"</p> <p>2. User able to access the reverted Placement / Pre-deposit Form, make necessary amendments, and re-submit the e-form. The sub-status will reach to "Submitted"</p> <p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>1. Successfully download Placement Form in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
Depository and Settlement Forms [Formal Admission Letter]	One business day before Commencement of Trading Date at 17:15	<p><b>A. Formal Admission Letter</b></p> <ol style="list-style-type: none"> <li>1. One business day before Commencement of Trading date at 17:15, Sponsor can access Formal Admission Letter by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Depository &amp; Settlement” menu</li> <li>(iv) Select “Form Admission Letter” in pull down menu</li> </ol> </li> </ol>	<p><b>A. Formal Admission Letter</b></p> <ol style="list-style-type: none"> <li>1. Successfully download Formal Admission Letter in PDF format</li> </ol>
Depository and Settlement Forms [Placement Form (OAO)]	15:45, Commencement of Trading date	<p><b>A. Placement Form (Over-allotment Option)</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches “Trading Started”, Sponsor can access Placement Form (Over-allotment Option) by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Depository &amp; Settlement” menu</li> <li>(iv) Select “Placement Form (OAO)” in pull down menu</li> </ol> </li> <li>2. Complete the fields in Placement Form (OAO). Sponsor may press the back button and continue completing the e-form at a later time.</li> <li>3. Sponsor may resume Placement Form (OAO) function by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement Form (OAO)</li> </ol> </li> </ol>	<p><b>A. Placement Form (Over-allotment Option)</b></p> <ol style="list-style-type: none"> <li>1. E-form will be displayed</li> <li>2. After pressing the “back” button, user returns to home page</li> <li>3. "Placement Form (OAO)" section is available for selection on the screen</li> <li>4. All inputted data will be saved and displayed when user exits and re-enters the section</li> <li>5. User successfully submits Placement Form (OAO) and the sub-status will reach to 'Submitted'</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>(Applicable to B. Addressing comments and re-submit reverted Placement Form (OAO) only)</i>            HKSCC to issue comments on submitted e-form</p> <p><i>(Comment: to amend depositing quantities)</i></p>	<p>4. Complete the sub-sections available for user input and click the 'Save' button:</p> <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ul> <p>5. Upon completing the form, press 'Preview'</p> <p>6. Tick the declaration box</p> <p>7. Press 'Confirm' to submit</p> <p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. After submitting Placement Form (OAO) for HKSCC's review, HKSCC to revert submission with comments</li> <li>2. Sponsor access reverted Placement Form (OAO) and make amendments to necessary fields. Sponsor then re-submits revised Placement Form (OAO)</li> </ol> <p><b>C. Downloading Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement Form (OAO)</li> </ol>	<p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement Form (OAO)' will reach to 'Reverted'</li> <li>2. User able to access the reverted Placement Form (OAO), make necessary amendments, and re-submit the e-form. The sub-status will reach to 'Submitted'</li> </ol> <p><b>C. Downloading Placement / Pre-deposit form</b></p> <ol style="list-style-type: none"> <li>1. Successfully download Placement Form (OAO) in PDF format when</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
			sub-flow status reaches “Document Generated” / “Finalised”
IPO Change and IPO Cancellation	IPO case status at least at “Deal Initiated”	<p><b>A. IPO Change</b></p> <ol style="list-style-type: none"> <li>1. DS may amend information within the IPO Reference Data after an IPO Case has been initiated in FINI by: <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal and select IPO Card with at least “Deal Initiated” status</li> <li>(ii) Select IPO Reference Data page and press “Amend IPO” button</li> <li>(iii) Displays the relevant fields editable by the user, depending on the IPO status. Amend the stock short name and press the “Save” button.</li> <li>(iv) Press “Reset” button to reset the changes made.</li> <li>(v) Amend the listing categories and tick or un-tick some of the checkboxes and delay the commencement of trading date by one business day. Afterwards press “Preview” button, tick the declaration and press “Confirm” to submit the changes.</li> </ol> </li> </ol> <p><b>B. IPO Cancellation</b></p> <ol style="list-style-type: none"> <li>1. DS may cancel an IPO in FINI after it has been initiated in FINI by: <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal and select IPO Card with at least “Deal Initiated” status</li> </ol> </li> </ol>	<p><b>A. IPO Change</b></p> <ol style="list-style-type: none"> <li>1. User able to successfully enter “Amend IPO” page, edit the cleared IPO Reference Data and save all changes made. Status changed from “Completed” to “Pending”</li> <li>2. User able to reset any amendments it has made to the cleared IPO Reference Data (prior to submission of the amendments)</li> <li>3. User able to submit the amended IPO Reference Data and successfully delay the commencement of trading date by one business day, as well as all downstream workflows displayed under the listing timetable section. Upon submission, prompt a snackbar with message “IPO Change Information has been submitted” and status changed from “pending” to “submitted”</li> </ol> <p><b>B. IPO Cancellation</b></p> <ol style="list-style-type: none"> <li>1. IPO card is cancelled and permanent banner displayed at top of page “Cancelled”</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(ii) Select IPO Reference Data page and press "Cancel IPO" button</li> <li>(iii) Enter the case number to proceed with cancellation and press the "Submit" button.</li> <li>(iv) Tick the two declarations and press "Confirm" button</li> </ul>	
Operating Reports	Each of the IPO Reference Data, ARA Submission, Regulatory Submissions workflows must have commenced	<ol style="list-style-type: none"> <li>1. User may access Operating Reports of different workflows by: <ul style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Click on the IPO Card</li> <li>(iii) In the left panel, select the desired workflow menu</li> </ul> </li> <li>2. After landing on the workflow page, on press the [↓ List] button on the top of the UI or the link to the document to initiate the downloading of the operating report</li> </ol>	<ol style="list-style-type: none"> <li>1. User able to access each workflow and view the operating report download [↓ List] button or link to the document</li> <li>2. Successfully download and open the .csv files or .pdf files, which correctly extracts the data of each respective FINI workflow</li> </ol>



**Designated Overall Coordinator (“DOC”) / Overall Coordinator (“OC”):**

Workflow	Pre-Conditions	Test Steps	Expected Result
<p>Allocation Adjustments</p>	<p>IPO status reaches Deal Initiated.</p> <p>Under the Preferential Offers section in IPO Reference Data, DS has inputted preferential offer(s).</p> <p>Under the Offering section in IPO Reference Data, DS has inputted 15.00% to each of Offer-size Adjustment Option (%) and Over-allotment Option (%).</p> <p>All PO fields have been entered by the Share Registrar and the PO subscription level is exactly 1x.</p>	<p><b>A. Initial Submission of Allocation Adjustments</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches Deal Initiated, DOC can access Allocation Adjustments by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Allocation Adjustments” menu</li> <li>(iv) Allocation adjustment status is “pending” (at top of UI)</li> </ol> </li> <li>2. Complete all the fields:               <ol style="list-style-type: none"> <li>(i) Institutional Demand (number of shares placed under international offer)</li> <li>(ii) Offer Size Confirmation (confirm if any re-allocation to the public offer tranche, where permitted in accordance with Guidance Letter HKEX-GL91-18.</li> </ol> <p style="color: red; margin-left: 40px;"><i>Note: any mandatory clawback under PN18 is calculated by FINI automatically.</i></p> </li> <li>3. Upon completion, Press “preview”</li> <li>4. Press “confirm” to submit</li> </ol> <p><b>B. Subsequent amendments and re-submission</b></p> <ol style="list-style-type: none"> <li>1. After the Allocation Adjustments has been submitted, DOC can access the editing of Allocation Adjustments by:</li> </ol>	<p><b>A. Initial Submission of Allocation Adjustments</b></p> <ol style="list-style-type: none"> <li>1. User able to access Allocation Adjustments and successfully submit completed information in Allocation Adjustments</li> <li>2. Upon successful submission, status changes from “Pending” to “Submitted”</li> </ol> <p><b>B. Subsequent amendments and re-submission</b></p> <ol style="list-style-type: none"> <li>1. User able to access Allocation Adjustments and successfully reach Edit page of Allocation Adjustments</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Allocation Adjustments” menu</li> <li>(iv) Click the “Edit” button</li> </ul> <ol style="list-style-type: none"> <li>2. Edit the permitted parameters under Offer Size Confirmation of adjusting the number of shares under the Offer-size Adjustment Option and Over-allocation in the Institutional Offer Tranche. Press “Save” button to save the amendments</li> <li>3. Press “Reset” button to reset the parameters back to nil and press “Confirm”</li> <li>4. Press “Delete” button to delete all amendments and press “Confirm”</li> <li>5. Repeat step 2 and edit the permitted parameters and press Preview”, and then “Confirm” to submit the amendments</li> </ol>	<ol style="list-style-type: none"> <li>2. User able to successfully save the edited information under Allocation Adjustments</li> <li>3. User able to successfully reset the edited information under Allocation Adjustments</li> <li>4. User able to successfully delete the edited information under Allocation Adjustments</li> <li>5. User able to successfully submit the edited information under Allocation Adjustments and prompt a snackbar with message “Allocation Adjustments successfully updated”</li> </ol>
Final Offer Price	<p>Complete IPO Reference Data</p> <p>IPO status reaches: “Deal Initiated”</p>	<ol style="list-style-type: none"> <li>1. When IPO status reaches Deal Initiated, DOC can access Final Offer Price function by: <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Final Offer Pricing” menu</li> </ul> </li> <li>2. Upon access, you will see: <ul style="list-style-type: none"> <li>(i) Minimum offer price (pre-filled)</li> <li>(ii) Maximum offer price (pre-filled)</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1. Access and submission of Final Offer Price</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(iii) Downward pricing flexibility(pre-filled)</li> <li>(iv) An empty field for Final Offer Price</li> </ul> <ol style="list-style-type: none"> <li>3. Input a price within the acceptable range of lower end (assuming downward pricing flexibility is exercised) and higher end</li> <li>4. Press [preview] button</li> <li>5. Press [Confirm] button</li> </ol>	
Control List	<p>Allocation Adjustment sub-flow status reaches "submitted"</p> <p>Regulator user has issued comments on the control list.</p>	<ol style="list-style-type: none"> <li>1. When allocation adjustment e-form reached "submitted" / "public offer confirmed" sub-flow status, DOC can access Control List Management function by: <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select an IPO card of the IPO home page</li> <li>(iii) In the left panel, click "Control List" menu</li> </ul> </li> <li>2. Upon access, you will see: <ul style="list-style-type: none"> <li>(i) Sub-placing box</li> <li>(ii) Placee Submission Progress box</li> </ul> </li> <li>3. Under sub-placing box, DOC can choose to sub-place shares to other OCs/Distributors by clicking on "sub-place" button</li> <li>4. After clicking "sub-place", DOC can choose: <ul style="list-style-type: none"> <li>(i) which distributor to sub-place to; and</li> <li>(ii) enter the number of shares to sub-place</li> </ul> </li> <li>5. After confirming the distributor and sub-placing amount by pressing the "√" button, the number of</li> </ol>	<ol style="list-style-type: none"> <li>1. Access of Control List and successful sub-placement and shows real-time status of placee list submission progress of other OCs and/or downstream Distributors and also the number of placees, and number of placees excluding duplicate placees</li> <li>2. Successful reset of control list</li> <li>3. Successful viewing of regulatory comments</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p>shares the DOC is able to place will be reduced accordingly. Pressing the “x” button will delete the entry</p> <p>6. DOC can reset control list by clicking the ‘Reset Control List’ then ‘Confirm’ button. Changes will be applied immediately</p> <p>7. Under Placee Submission Progress box, shows real-time status of placee list submission progress of other OCs and/or downstream Distributors and also the number of placees, and number of placees excluding duplicate placees</p> <p>8. Regulators’ comments can be viewed by the DOC, and this is displayed once the comment box icon is clicked</p>	
Placee List	<p>After public offer book open</p> <p>Control list more than two levels, where downstream Distributors or other OCs have submitted their own placee lists</p> <p>Regulator will issue comments and</p>	<p><b>A. Manual Placee List Entry:</b></p> <p>(i) After public offer book open, DOC can access Placee List function by:</p> <p>(ii) Login to FINI web portal</p> <p>(iii) Select an IPO Card of the IPO Home Page</p> <p>(iv) In the left panel, click ‘placee list’ menu</p> <p>(v) Press “+Entry”</p> <p>- <u>Individual</u></p> <p>Fill in all the fields:</p> <p>(i) Placee type: Individual</p> <p>(ii) ID type: HKID</p> <p>(iii) ID Country: HKG</p> <p>(iv) ID Number: Y123456(7)</p>	<p><b>A. Manual Placee List Entry:</b></p> <p>1. Access to placee list workflow and successfully add placee list entries for Individual, Nominee and Corporate placees</p> <p>2. Prompt a snackbar with the message “add entry successfully”</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
	revert placee list entries of DOC and other downstream Distributors or OCs after submission	<ul style="list-style-type: none"> <li>(v) Full Name: Derek Chan Tai Ming</li> <li>(vi) Residential address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vii) Full Telephone Number: 852 23455678</li> <li>(viii) No. of Shares allotted: 10,000</li> <li>(ix) Name of placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) Upload Supporting document</li> <li>(xiii) Press Save</li> </ul> <p>- <u>Nominee</u></p> <p>Fill in all the fields:</p> <ul style="list-style-type: none"> <li>(i) Placee type: Nominee</li> <li>(ii) ID type: HKID</li> <li>(iii) ID Country: HKG</li> <li>(iv) ID Number: Y234567(8)</li> <li>(v) Full Name: Eric Chan Siu Man</li> <li>(vi) Residential address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vii) Full Telephone Number: 852 23455678</li> <li>(viii) No. of Shares allotted: 100Y234567)8)</li> <li>(ix) Name of placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee Category (with required supporting document): Connected Client</li> <li>(xii) Upload Supporting document</li> <li>(xiii) [Beneficial Ownership] ID Type: passport</li> <li>(xiv) [Beneficial Ownership] ID Country: HKG</li> <li>(xv) [Beneficial Ownership] ID Number: K020202</li> </ul>	



Workflow	Pre-Conditions	Test Steps	Expected Result
		<p>(xvi) [Beneficial Ownership] Full name: Mandy Chan Siu Mei  (xvii) Press Save</p> <p>- <u>Corporation</u></p> <p>Fill in all the fields:</p> <p>(i) Placee type: Corporation  (ii) ID type: LEI registration document  (iii) ID Country: HKG  (iv) ID Number: G1231231231231231231  (v) Full Name: ABC Company Limited  (vi) Residential address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China  (vii) Full Telephone Number: 852 23455678  (viii) Contact person: Wilson Chan  (ix) No. of Shares allotted: 10,000  (x) Placee Category (without required supporting document): Cornerstone Investor  (xi) Placee category (with required supporting document): Connected Client  (xii) Upload Supporting document  (xiii) [Beneficial Ownership] ID Type: passport  (xiv) [Beneficial Ownership] ID Country: HKG  (xv) [Beneficial Ownership] ID Number: K020202  (xvi) [Beneficial Ownership] Full name: Mandy Chan Siu Mei  (xvii) Press Save</p> <p><b>B. Upload Excel Template</b></p> <p>1. After public offer book open, DOC can access Placee List function by:  (i) Login to FINI web portal  (ii) Select an IPO Card of the IPO Home Page</p>	<p><b>B. Upload Excel Template</b></p> <p>1. Access to placee list workflow and successfully upload placee list with Individual, Nominee and Corporate placees. Prompt a snackbar with the</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(iii) In the left panel, click 'placee list' menu</li> <li>(iv) Download Excel Template by clicking the "Template.xlsx"</li> <li>(v) Open the downloaded file</li> <li>(vi) Complete the excel file:</li> </ul> <p>- <u>Individual sheet</u></p> <ul style="list-style-type: none"> <li>(i) ID Type: Passport</li> <li>(ii) Country: AUS</li> <li>(iii) ID Number: A12345678</li> <li>(iv) Full Name: Andrew Chan</li> <li>(v) Residential Address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vi) Country code: 852</li> <li>(vii) Tel: 20202020</li> <li>(viii) Shares allotted: 10,000</li> <li>(ix) Name of Placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> </ul> <p>- <u>Nominee sheet</u></p> <ul style="list-style-type: none"> <li>(i) ID Type: National Identification Document</li> <li>(ii) Country: HKG</li> <li>(iii) ID Number: Y123456(8)</li> <li>(iv) Full Name: Andre Chan</li> <li>(v) Residential Address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vi) Country code: 852</li> <li>(vii) Tel: 90309039</li> <li>(viii) Shares allotted: 10,000</li> </ul>	<p>message "File Upload successfully"</p> <ul style="list-style-type: none"> <li>2. Able to view all uploaded placee list entries on the UI correctly</li> <li>3. Able to edit placee list entries in the UI and upload supporting documents for placees with a supporting document requirement. Prompt a snackbar with the message "File Upload successfully"</li> </ul>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(ix) Name of Placee’s employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) [Beneficial Ownership] ID Type: National Identification Document</li> <li>(xiii) [Beneficial Ownership] ID Country: HKG</li> <li>(xiv) [Beneficial Ownership] ID Number: K123456(7)</li> <li>(xv) [Beneficial Ownership] Full name: Mango Chan Siu Yee</li> </ul> <p>- <u>Corporate sheet</u></p> <ul style="list-style-type: none"> <li>(i) ID Type: LEI Registration Document</li> <li>(ii) Country: HKG</li> <li>(iii) ID Number:1234567890ABCDEFGHIJ</li> <li>(iv) Full Name: Marco Chan</li> <li>(v) Residential Address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vi) Country code: 852</li> <li>(vii) Tel: 90302727</li> <li>(viii) Shares allotted: 10,000</li> <li>(ix) Name of Placee’s employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) [Beneficial Ownership] ID Type: National Identification Document</li> <li>(xiii) [Beneficial Ownership] ID Country: HKG</li> <li>(xiv) [Beneficial Ownership] ID Number: L123456(7)</li> <li>(xv) [Beneficial Ownership] Full name: Candy Chan</li> </ul>	

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ol style="list-style-type: none"> <li>2. Return to FINI and click 'Data File' button</li> <li>3. Upload the excel file</li> <li>4. For specific placee list entries that require supporting documents, click downward button on the right to expand the placee list entry for more details</li> <li>5. Upload supporting document for entries which require supporting document</li> <li>6. Press Save</li> </ol> <p><i>Note: In order to carry out the next test, ensure the supporting document for at least one placee list entry, which requires the upload of supporting documents, is deliberately not uploaded.</i></p> <p><b>C. Submit Placee List</b></p> <ol style="list-style-type: none"> <li>1. DOC can select specific / all entries to submit</li> <li>2. Once selected, press "submit" button</li> <li>3. Press "confirm"</li> <li>4. Error message displayed for placee entries that require supporting document.</li> <li>5. Expand the placee list entry for which the error message is shown and click "Edit" button.</li> <li>6. Scroll down to field where supporting document requirement is shown and press the upload supporting document button and upload the corresponding supporting document.</li> <li>7. Once all relevant supporting documents have been uploaded (where required), select all placee list entries and press "submit" button</li> <li>8. Press "confirm"</li> </ol>	<p><b>C. Submit Placee List</b></p> <ol style="list-style-type: none"> <li>1. Successfully shows error message of missing supporting documents for applicable placee list entries</li> <li>2. Successful uploading of supporting documents for applicable placees and successful submission of all placee list entries. DOC can select specific / all entries to submit</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>D. View placee list entry</b></p> <ol style="list-style-type: none"> <li>1. After public offer book open, DOC can access Placee List function by:               <ol style="list-style-type: none"> <li>(i) Login to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click 'placee list' menu</li> </ol> </li> <li>2. DOC can view:               <ol style="list-style-type: none"> <li>(i) Own Placee List</li> <li>(ii) Others' Placee List (limited to Name and IDs)</li> <li>(iii) The comment icon of placee list entries in which Regulators have issued comments, but not the contents of the comments</li> </ol> </li> </ol> <p><b>E. Regulators' Comments</b></p> <ol style="list-style-type: none"> <li>1. Once the DOC submitted the entries, regulator can comment and revert entries</li> <li>2. DOC can view the reverted entries and comments by:               <ol style="list-style-type: none"> <li>(i) Login to FINI Webportal</li> <li>(ii) Select the IPO Card</li> <li>(iii) In the left panel, click "Placee List" menu</li> <li>(iv) Under "own placee list" tab, DOC can view the reverted entries in the pending ledger</li> <li>(v) Click on the "comment box" icon to view regulators' comments</li> </ol> </li> <li>3. DOC can re-submit the entry by selecting the entry and click "submit" button</li> <li>4. The re-submitted entry will appear under the "submitted" ledger where the comment box icon will be retained</li> </ol>	<p><b>D. View placee list entry</b></p> <ol style="list-style-type: none"> <li>1. Able to view both own placee list and others' placee list, where information shown under others' placee list limited to Name and IDs</li> <li>2. Only able to view the comment icon of placee list entries in which Regulators have issued comments, but not the contents of the comments</li> </ol> <p><b>E. Regulators' Comments</b></p> <ol style="list-style-type: none"> <li>1. Successfully view regulator comments of own placee list entries and resubmit reverted placee entries.</li> <li>2. For deleted placee list entry, the comment box will also be removed.</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		5. DOC delete another reverted entry and submit a new placee entry.	
Concentration Analysis	<p>After Public Offer Book Open, HKSCC Participants have submitted EIPO application and Intermediaries have placee lists, respectively</p> <p>Top 25 Shareholders tab only available after DS has submitted the ARA Form</p>	<ol style="list-style-type: none"> <li>1. After Public Offer Book Open, DOC can access Concentration Analysis function by:               <ol style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Click on the IPO Card</li> <li>(iii) In the left panel, click “Concentration Analysis” menu</li> </ol> </li> <li>2. DOC can view the following under “Top 25 Placees” tab:               <ol style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> <li>(iii) Placee Board Lot Concentration</li> </ol> </li> <li>3. DOC can view the following under “Top 25 Public Offer Shareholder” tab:               <ol style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> </ol> </li> <li>4. DOC can view the following under “Top 25 Shareholders” tab:               <ol style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> </ol> </li> </ol>	1. Access Concentration Analysis and all tabs. All information populated correctly.
Regulatory Submission  (OC Declaration, Marketing Statement)	IPO status reaches Placing Approved	<p><b>A. Regulatory Submissions Status Page</b></p> <ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> <li>4. Able to see own outstanding forms to complete and forms of downstream Distributors and/or other OCs</li> </ol>	<p><b>A. Regulatory Submissions Status Page</b></p> <ol style="list-style-type: none"> <li>1. Access and view submission status of other intermediaries</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>B. OC Declaration</b></p> <ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> <li>4. Locate “Sponsor’s/Overall Coordinator’s Declaration” and click “open”</li> <li>5. Fill in the following:               <ol style="list-style-type: none"> <li>(i) Name of Submitter</li> <li>(ii) Title of Submitter</li> <li>(iii) Company Name</li> </ol> </li> <li>6. Press “Preview”</li> <li>7. Tick the declaration box</li> <li>8. Press “confirm”</li> <li>9. Sponsor’s / Overall Coordinator’s Declaration status changed from “pending” to “submitted”</li> </ol> <p><b>C. Marketing Statement</b></p> <ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> <li>4. Locate “Marketing Statement” and click “open”</li> <li>5. Fill in the following:               <ol style="list-style-type: none"> <li>(i) Name of Submitter</li> <li>(ii) Title of Submitter</li> <li>(iii) Company Name</li> </ol> </li> <li>6. Press “Preview”</li> <li>7. Tick the declaration box</li> <li>8. Press “confirm” to submit</li> </ol>	<p><b>B. OC Declaration</b></p> <ol style="list-style-type: none"> <li>1. Access of and successful submission of OC’s Declaration and status changed from “pending” to “submitted”</li> </ol> <p><b>C. Marketing Statement</b></p> <ol style="list-style-type: none"> <li>1. Access of and successful submission of Marketing Statement, prompt a snackbar with message “Marketing statement successfully submitted” and status changed from “pending” to “submitted”</li> </ol>
Depository and Settlement Forms	IPO status reached “Deal Initiated”	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches “Deal Initiated”, OC can</li> </ol>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. e-Form will be displayed</li> </ol>



Workflow	Pre-Conditions	Test Steps	Expected Result
[Placement / Pre-deposit Form]	<p><i>(Applicable to B. Addressing)</i></p>	<p>access Placement / Pre-deposit Form by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Depository &amp; Settlement” menu</li> <li>(iv) Select “Placement / Pre-deposit Form” in pull down menu</li> </ul> <p>2. Complete the fields in Placement / Pre-deposit e-form. OC may press the back button and continue completing the e-form at a later time.</p> <p>3. OC may resume Placement / Pre-deposit Form function by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement / Pre-deposit e-form</li> </ul> <p>4. Complete the sub-sections available for user input and click the ‘Save’ button:</p> <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ul> <p>5. Upon completing the form, press ‘Preview’</p> <p>6. Tick the declaration box</p> <p>7. Press ‘Confirm’ to submit</p>	<p>2. After pressing the “back” button, user returns to home page</p> <p>3. "Placement / Pre-deposit Form" section is available for selection on the screen</p> <p>4. All inputted data will be saved and displayed when user exits and re-enters the section</p> <p>5. User successfully submits Placement / Pre-deposit Form and the sub-status will reach to 'Submitted'</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>comments and re-submit reverted Placement / Pre-deposit e-form only</i>)            HKSCC to issue comments on submitted e-form   <i>(Comment: to amend depositing quantities)</i></p>	<p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit e-form</b></p> <ol style="list-style-type: none"> <li>1. After submitting Placement / Pre-deposit e-form for HKSCC's review, HKSCC to revert submission with comments</li> <li>2. OC access reverted Placement / Pre-deposit e-form and make amendments to necessary fields. OC then re-submits revised Placement / Pre-deposit e-form.</li> </ol> <p><b>C. Downloading Placement / Pre-deposit form</b></p> <ol style="list-style-type: none"> <li>1. When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement / Pre-deposit Form</li> </ol>	<p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement / Pre-deposit Form' will reach to 'Reverted'</li> <li>2. User able to access the reverted Placement / Pre-deposit Form, make necessary amendments, and re-submit the e-form. The sub-status will reach to 'Submitted'</li> </ol> <p><b>C. Downloading Placement / Pre-deposit form</b></p> <ol style="list-style-type: none"> <li>1. Successfully download Placement Form in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</li> </ol>
Depository and Settlement Forms [Formal Admission Letter]	One business day before Commencement of Trading Date at 17:15	<p><b>A. Formal Admission Letter</b></p> <ol style="list-style-type: none"> <li>1. One business day before Commencement of Trading date at 17:15, OC can access Formal Admission Letter by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Form Admission Letter" in pull down menu</li> </ol> </li> </ol>	<p><b>A. Formal Admission Letter</b></p> <ol style="list-style-type: none"> <li>1. Successfully download Formal Admission Letter in PDF format</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
Depository and Settlement Forms [Placement Form (OAO)]	15:45, Commencement of Trading date	<p><b>A. Placement Form (Over-allotment Option)</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches “Trading Started”, OC can access Placement Form (Over-allotment Option) by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Depository &amp; Settlement” menu</li> <li>(iv) Select “Placement Form (OAO)” in pull down menu</li> </ol> </li> <li>2. Complete the fields in Placement Form (OAO). OC may press the back button and continue completing the e-form at a later time.</li> <li>3. OC may resume Placement Form (OAO) function by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement Form (OAO)</li> </ol> </li> <li>4. Complete the sub-sections available for user input and click the ‘Save’ button:               <ol style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ol> </li> <li>5. Upon completing the form, press ‘Preview’</li> <li>6. Tick the declaration box</li> <li>7. Press ‘Confirm’ to submit</li> </ol>	<p><b>A. Placement Form (Over-allotment Option)</b></p> <ol style="list-style-type: none"> <li>1. E-form will be displayed</li> <li>2. After pressing the “back” button, user returns to home page</li> <li>3. "Placement Form (OAO)" section is available for selection on the screen</li> <li>4. All inputted data will be saved and displayed when user exits and re-enters the section</li> <li>5. User successfully submits Placement Form (OAO) and the sub-status will reach to 'Submitted'</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>(Applicable to B. Addressing comments and re-submit reverted Placement Form (OAO) only)</i></p> <p>HKSCC to issue comments on submitted e-form</p> <p><i>(Comment: to amend depositing quantities)</i></p>	<p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. After submitting Placement Form (OAO) for HKSCC's review, HKSCC to revert submission with comments</li> <li>2. OC access reverted Placement Form (OAO) and make amendments to necessary fields. OC then re-submits revised Placement Form (OAO)</li> </ol> <p><b>C. Downloading Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement Form (OAO).</li> </ol>	<p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement Form (OAO)' will reach to 'Reverted'</li> <li>2. User able to access the reverted Placement Form (OAO), make necessary amendments, and re-submit the e-form. The sub-status will reach to 'Submitted'</li> </ol> <p><b>C. Downloading Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>1. Successfully download Placement Form (OAO) in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</li> </ol>
Operating Reports	Each of the IPO Reference Data, Placee Lists, Regulatory Submissions workflows must have commenced	<ol style="list-style-type: none"> <li>1. User may access Operating Reports of different workflows by: <ol style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Click on the IPO Card</li> <li>(iii) In the left panel, select the desired workflow menu</li> </ol> </li> <li>2. After landing on the workflow page, on press the [↓ List] button on the top of the UI or the link to the document to initiate the downloading of the operating report</li> </ol>	<ol style="list-style-type: none"> <li>1. User able to access each workflow and view the operating report download [↓ List] button or link to the document</li> <li>2. Successfully download and open the .csv files or .pdf files, which correctly extracts the data of each respective FINI workflow</li> </ol>

## Distributor

Workflow	Pre-Conditions	Test Steps	Expected Result
Control List	<p>IPO status reaches “Allocation Confirmed”</p> <p>Distributor has been assigned placing shares by DOC or other OCs.</p> <p>Regulators will issue comments and revert placee list entry after submission</p> <p>Over 2 Distributors have been assigned to the IPO under IPO Reference Data</p>	<ol style="list-style-type: none"> <li>1. When allocation adjustment e-form reached “submitted” / “public offer confirmed” sub-flow status, and Distributor have been allocated placing shares, Distributor can access Control List Management function by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select an IPO card of the IPO home page</li> <li>(iii) In the left panel, click “Control List” menu</li> </ol> </li> <li>2. Upon access, Distributor will see the sub-placing box</li> <li>3. Under sub-placing box, Distributor can choose to sub-place shares to other Distributors by clicking on “sub-place” button</li> <li>4. After clicking “sub-place”, Distributor can choose:               <ol style="list-style-type: none"> <li>(i) which distributor to sub-place to; and</li> <li>(ii) the number of shares to sub-place</li> </ol> </li> <li>5. After confirming the Distributor and sub-placing amount by pressing the “√” button, the number of shares the Distributor is able to place will be reduced accordingly. Pressing the “x” button will delete the entry</li> <li>6. Distributor can reset control list by clicking the ‘Reset Control List’ then ‘Confirm’ button. Changes will be applied immediately.</li> <li>7. Regulators’ comments can be viewed by the Distributor, and this is displayed once the comment box icon is clicked</li> </ol>	<ol style="list-style-type: none"> <li>1. Access of Control List and successful sub-placement</li> <li>2. Successful reset of control list</li> <li>3. Successful viewing of regulatory comments</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
Placee List	After public offer book open	<p><b>A. Manual Placee List Entry:</b></p> <ol style="list-style-type: none"> <li>1. After public offer book open and allocated placing shares, Distributor can access Placee List function by:               <ol style="list-style-type: none"> <li>(i) Login to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click 'placee list' menu</li> <li>(iv) Press "+Entry"</li> </ol> </li> </ol> <p>- <u>Individual</u></p> <p>Fill in all the fields:</p> <ol style="list-style-type: none"> <li>(i) Placee type: Individual</li> <li>(ii) ID type: HKID</li> <li>(iii) ID Country: HKG</li> <li>(iv) ID Number: Y123456(7)</li> <li>(v) Full Name: Derek Chan Tai Ming</li> <li>(vi) Residential address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vii) Full Telephone Number: 852 23455678</li> <li>(viii) No. of Shares allotted: 10,000</li> <li>(ix) Name of placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) Upload Supporting document</li> <li>(xiii) Press Save</li> </ol> <p>- <u>Nominee</u></p> <p>Fill in all the fields:</p> <ol style="list-style-type: none"> <li>(i) Placee type: Nominee</li> </ol>	<p><b>A. Manual Placee List Entry:</b></p> <ol style="list-style-type: none"> <li>1. Access to placee list workflow and successfully add placee list entries for Individual, Nominee and Corporate placees</li> <li>2. Prompt a snackbar with the message "add entry successfully"</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(ii) ID type: HKID</li> <li>(iii) ID Country: HKG</li> <li>(iv) ID Number: Y234567(8)</li> <li>(v) Full Name: Eric Chan Siu Man</li> <li>(vi) Residential address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vii) Full Telephone Number: 852 23455678</li> <li>(viii) No. of Shares allotted: 100Y234567)8)</li> <li>(ix) Name of placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) Upload Supporting document</li> <li>(xiii) [Beneficial Ownership] ID Type: passport</li> <li>(xiv) [Beneficial Ownership] ID Country: HKG</li> <li>(xv) [Beneficial Ownership] ID Number: K020202</li> <li>(xvi) [Beneficial Ownership] Full name: Mandy Chan Siu Mei</li> <li>(xvii) Press Save</li> </ul> <p>- <u>Corporation</u></p> <p>Fill in all the fields:</p> <ul style="list-style-type: none"> <li>(i) Placee type: Corporation</li> <li>(ii) ID type: LEI registration document</li> <li>(iii) ID Country: HKG</li> <li>(iv) ID Number: G1231231231231231231</li> <li>(v) Full Name: ABC Company Limited</li> <li>(vi) Residential address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vii) Full Telephone Number: 852 23455678</li> <li>(viii) Contact person: Wilson Chan</li> <li>(ix) No. of Shares allotted: 10,000</li> </ul>	



Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) Upload Supporting document</li> <li>(xiii) [Beneficial Ownership] ID Type: passport</li> <li>(xiv) [Beneficial Ownership] ID Country: HKG</li> <li>(xv) [Beneficial Ownership] ID Number: K020202</li> <li>(xvi) [Beneficial Ownership] Full name: Mandy Chan Siu Mei</li> <li>(xvii) Press Save</li> </ul> <p><b>B. Upload Excel Template</b></p> <ol style="list-style-type: none"> <li>1. After public offer book open, Distributor can access Placee List function by: <ul style="list-style-type: none"> <li>(i) Login to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click 'placee list' menu</li> <li>(iv) Download Excel Template by clicking the "Template.xlsx"</li> <li>(v) Open the downloaded file</li> <li>(vi) Complete the excel file by entering the following information:</li> </ul> <ul style="list-style-type: none"> <li>- <u>Individual sheet</u></li> <li>(i) ID Type: Passport</li> <li>(ii) Country: AUS</li> <li>(iii) ID Number: A12345678</li> <li>(iv) Full Name: Andrew Chan</li> <li>(v) Residential Address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vi) Country code: 852</li> <li>(vii) Tel: 20202020</li> </ul> </li> </ol>	<p><b>B. Upload Excel Template</b></p> <ol style="list-style-type: none"> <li>1. Access to placee list workflow and successfully upload placee list with Individual, Nominee and Corporate placees. Prompt a snackbar with the message "File Upload successfully"</li> <li>2. Able to view all uploaded placee list entries on the UI correctly</li> <li>3. Able to edit placee list entries in the UI and upload supporting documents for placees with a supporting document requirement. Prompt a snackbar with the message "File Upload successfully"</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(viii) Shares allotted: 10,000</li> <li>(ix) Name of Placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li>   <li>- <u>Nominee sheet</u></li>   <li>(i) ID Type: National Identification Document</li> <li>(ii) Country: HKG</li> <li>(iii) ID Number: Y123456(8)</li> <li>(iv) Full Name: Andre Chan</li> <li>(v) Residential Address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vi) Country code: 852</li> <li>(vii) Tel: 90309039</li> <li>(viii) Shares allotted: 10,000</li> <li>(ix) Name of Placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) [Beneficial Ownership] ID Type: National Identification Document</li> <li>(xiii) [Beneficial Ownership] ID Country: HKG</li> <li>(xiv) [Beneficial Ownership] ID Number: K123456(7)</li> <li>(xv) [Beneficial Ownership] Full name: Mango Chan Siu Yee</li>   <li>- <u>Corporate sheet</u></li>   <li>(i) ID Type: LEI Registration Document</li> <li>(ii) Country: HKG</li> <li>(iii) ID Number: 1234567890ABCDEFGHIJ</li> </ul>	

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(iv) Full Name: Marco Chan</li> <li>(v) Residential Address: 12F, 2 Exchange Square, 12 Connaught Road, Central, Hong Kong, China</li> <li>(vi) Country code: 852</li> <li>(vii) Tel: 90302727</li> <li>(viii) Shares allotted: 10,000</li> <li>(ix) Name of Placee's employer: HKEX</li> <li>(x) Placee Category (without required supporting document): Cornerstone Investor</li> <li>(xi) Placee category (with required supporting document): Connected Client</li> <li>(xii) [Beneficial Ownership] ID Type: National Identification Document</li> <li>(xiii) [Beneficial Ownership] ID Country: HKG</li> <li>(xiv) [Beneficial Ownership] ID Number: L123456(7)</li> <li>(xv) [Beneficial Ownership] Full name: Candy Chan</li> </ul> <ol style="list-style-type: none"> <li>2. Return to FINI and click 'Data File' button</li> <li>3. Upload the excel file</li> <li>4. For specific placee list entries that require supporting documents, click downward button on the right to expand the placee list entry for more details</li> <li>5. Upload supporting document for entries which require supporting document</li> <li>6. Press Save</li> </ol> <p style="color: red; margin-top: 10px;"><i>Note: In order to carry out the next test, ensure the supporting document for at least one placee list entry, which requires the upload of supporting documents, is deliberately not uploaded.</i></p>	

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>C. Submit Placee List</b></p> <ol style="list-style-type: none"> <li>1. Distributor can select specific / all entries to submit</li> <li>2. Once selected, press “submit” button</li> <li>3. Press “confirm”</li> <li>4. Error message displayed for placee entries that require supporting document.</li> <li>5. Expand the placee list entry for which the error message is shown and click “Edit” button.</li> <li>6. Scroll down to field where supporting document requirement is shown and press the upload supporting document button and upload the corresponding supporting document.</li> <li>7. Once all relevant supporting documents have been uploaded (where required), select all placee list entries and press “submit” button</li> <li>8. Press “confirm”</li> </ol> <p><b>D. View placee list entry</b></p> <ol style="list-style-type: none"> <li>1. After public offer book open, Distributor can access Placee List function by: <ol style="list-style-type: none"> <li>(i) Login to FINI web portal</li> <li>(ii) Select an IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click ‘placee list’ menu</li> </ol> </li> <li>2. Distributor can view: <ol style="list-style-type: none"> <li>(i) Own Placee List</li> <li>(ii) The comment icon of placee list entries in which Regulators have issued comments, but not the contents of the comments</li> </ol> </li> </ol> <p><b>E. Regulators’ Comments</b></p> <ol style="list-style-type: none"> <li>1. Once the Distributor submitted the entries, regulator can comment and revert entries</li> <li>2. Distributor can view the reverted entries and</li> </ol>	<p><b>C. Submit Placee List</b></p> <ol style="list-style-type: none"> <li>1. Successfully shows error message of missing supporting documents for applicable placee list entries</li> <li>2. Successful uploading of supporting documents for applicable placees and successful submission of all placee list entries. Distributor can select specific / all entries to submit</li> </ol> <p><b>D. View placee list entry</b></p> <ol style="list-style-type: none"> <li>1. Able to view own placee list</li> <li>2. Able to view the comment icon of placee list entries and contents of the comments</li> </ol> <p><b>E. Regulators’ Comments</b></p> <ol style="list-style-type: none"> <li>1. Successfully view regulator comments of own placee list entries and resubmit</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p>comments by:</p> <ul style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Select the IPO Card</li> <li>(iii) In the left panel, click “Placee List” menu</li> <li>(iv) Distributor can view the reverted entries in the pending ledger</li> <li>(v) Click on the “comment box” icon to view regulators’ comments</li> </ul> <p>3. Distributor can re-submit the entry by selecting the entry and click “submit” button</p> <p>4. The re-submitted entry will appear under the “submitted” ledger where the comment box icon will be retained</p> <p>5. Distributor delete another reverted entry and submit a new placee entry</p>	<p>reverted placee entries</p> <p>2. For deleted placee list entry, the comment box will also be removed</p>
Concentration Analysis	<p>After Public Offer Book Open, HKSCC Participants have submitted EIPO application and Intermediaries have placee lists, respectively</p> <p>Top 25 Shareholders tab only available after DS has submitted the ARA Form</p>	<p>1. After Public Offer Book Open, Distributor can access Concentration Analysis function by:</p> <ul style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Click on the IPO Card</li> <li>(iii) In the left panel, click “Concentration Analysis” menu</li> </ul> <p>2. Distributor can view the following under “Top 25 Placees” tab:</p> <ul style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> <li>(iii) Placee Board Lot Concentration</li> </ul> <p>3. Distributor can view the following under “Top 25 Public Offer Shareholder” tab:</p> <ul style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> </ul> <p>4. Distributor can view the following under “Top 25 Shareholders” tab:</p>	<p>1. Access Concentration Analysis and all tabs. All information populated correctly</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(i) Detailed view</li> <li>(ii) Concentration Analysis</li> </ul>	
Regulatory Submission (Marketing Statement)	IPO status reaches Placing Approved	<ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the “Regulatory Submissions” menu</li> <li>4. Locate “Marketing Statement” and click “open”</li> <li>5. Fill in the following: <ul style="list-style-type: none"> <li>(i) Name of Submitter</li> <li>(ii) Title of Submitter</li> <li>(iii) Company Name</li> </ul> </li> <li>6. Press “Preview”</li> <li>7. Tick the declaration box</li> <li>8. Press “confirm” to submit</li> </ol>	<ol style="list-style-type: none"> <li>1. Access of and successful submission of Marketing Statement, prompt a snackbar with message “Marketing statement successfully submitted” and status changed from “pending” to “submitted”</li> </ol>
Depository and Settlement Forms [Placement / Pre-deposit Form]	<ol style="list-style-type: none"> <li>A. IPO status reached “Deal Initiated”</li> <li>B. Sub-flow status as “Document Generated” / “Finalised”</li> </ol>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches “Deal Initiated”, Distributor can access Placement / Pre-deposit Form by: <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click “Depository &amp; Settlement” menu</li> <li>(iv) Select “Placement / Pre-deposit Form” in pull down menu</li> </ul> </li> <li>2. Distributor may enquire sub-sections details as below: <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declaration(s)</li> </ul> </li> </ol>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. E-form details will be displayed</li> <li>2. Successfully download Placement / Pre-deposit Form in PDF format when sub-flow status = “Document Generated” / “Finalised”</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
Depository and Settlement Forms [Placement Form (OAO)]	A. 15:45, Commencement of Trading date B. Sub-flow status as “Document Generated” / “Finalised”	<b>A. Placement Form (Over-allotment Option)</b> 1. When IPO status reaches “Trading Started”, Distributor can access Placement Form (Over-allotment Option) by: (i) Log in to FINI web portal (ii) Select IPO Card of the IPO Home Page (iii) In the left panel, click “Depository & Settlement” menu (iv) Select “Placement Form (OAO)” in pull down menu 2. Distributor may enquire sub-sections details as below: (i) General (ii) Settlement Arrangement (iii) Supporting Documentation(s) (iv) Declaration(s)	<b>A. Placement Form (OAO)</b> 1. e-Form details will be displayed 2. Successfully download Placement Form (OAO) in PDF format when sub-flow status = “Document Generated” / “Finalised”
Operating Reports	Each of the IPO Reference Data, Placee Lists, Regulatory Submissions workflows must have commenced	1. User may access Operating Reports of different workflows by: (i) Login to FINI Web portal (ii) Click on the IPO Card (iii) In the left panel, select the desired workflow menu 2. After landing on the workflow page, on press the [↓ List] button on the top of the UI or the link to the document to initiate the downloading of the operating report.	1. User able to access each workflow and view the operating report download [↓ List] button or link to the document. 2. Successfully download and open the .csv files or .pdf files, which correctly extracts the data of each respective FINI workflow.



## Legal Adviser (for Sponsor)<sup>2</sup>

Workflow	Pre-Conditions	Test Steps	Expected Result
<p>IPO Initiation &amp; Reference Data</p>	<p>Unique FINI Case Number generated by Listing Division</p> <p>HKSCC to issue comments on submitted IPO Reference Data (<i>Comment: to amend particulars of offer price range</i>)</p>	<p><b>A. IPO Initiation</b></p> <ol style="list-style-type: none"> <li>1. After unique FINI case number has been provided to the Sponsor Counsel ("<b>SC</b>"), SC can initiate the IPO in FINI by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Press "+ Initiate IPO" button on the IPO Home Page</li> <li>(iii) Enter unique FINI case number provided by the Listing Division and press the "Submit" button</li> </ol> </li> </ol> <p><b>B. IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. Complete the IPO Reference Data fields. SC may press the back button and continue completing the IPO Reference Data at a later time.</li> <li>2. SC may resume IPO Reference Data function by:               <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information under the section Initial Information</li> </ol> </li> <li>3. Complete the sub-sections available for user input under the IPO reference data and click the 'Save' button:               <ol style="list-style-type: none"> <li>(i) Company Information</li> <li>(ii) Warrants</li> <li>(iii) Type of Listing</li> </ol> </li> </ol>	<p><b>A. IPO Initiation</b></p> <ol style="list-style-type: none"> <li>1. User successfully initiate IPO in FINI and directed to input IPO Reference Data fields</li> </ol> <p><b>B. IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. After pressing the "back" button, user returns to home page</li> <li>2. "IPO Reference Data" section is available for selection on the screen</li> <li>3. All inputted data will be saved and displayed when user exits and re-enters the IPO card.</li> </ol>

<sup>2</sup> Where delegated by the Designated Sponsor for inputting information in IPO Reference Data. Submission of the IPO Reference Data is only performed by the Designated Sponsor.

Workflow	Pre-Conditions	Test Steps	Expected Result
		<ul style="list-style-type: none"> <li>(iv) Offering</li> <li>(v) Preferential Offer</li> <li>(vi) Advisors</li> <li>(vii) Timetable</li> <li>(viii) Documents</li> <li>(ix) Transaction Costs</li> <li>(x)</li> </ul> <p><b>C. Delete IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. After successfully initiating a new IPO in FINI (following step 1 in Section A. IPO Initiation above), access the IPO Reference Data workflow.</li> <li>2. Click delete button on the top right hand corner and select "Confirm to delete" to delete the IPO card.</li> </ol>	<p><b>C. Delete IPO Reference Data</b></p> <ol style="list-style-type: none"> <li>1. IPO card is deleted and removed from the IPO Home Page. User will be re-directed to Home page and a snackbar with the message "The IPO has been deleted" will be prompted up.</li> </ol>
<p>Depository and Settlement Forms [Placement / Pre-deposit Form]</p>	<p>IPO status reached "Deal Initiated"</p>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches "Deal Initiated", SC can access Placement / Pre-deposit Form by: <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Placement / Pre-deposit Form" in pull down menu</li> </ul> </li> <li>2. Complete the fields in Placement / Pre-deposit e-form. SC may press the back button and continue completing the e-form at a later time.</li> <li>3. SC may resume Placement / Pre-deposit Form function by:</li> </ol>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. e-Form will be displayed</li> <li>2. After pressing the "back" button, user returns to home page</li> <li>3. "Placement / Pre-deposit Form" section is available for selection on the screen</li> <li>4. All inputted data will be saved and displayed when user exits and re-enters the section</li> <li>5. User successfully submits Placement / Pre-deposit Form and the sub-status will reach to 'Submitted'</li> </ol>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>(Applicable to B. Addressing comments and re-submit reverted Placement Form (OAO) only)</i></p> <p>HKSCC to issue comments on submitted e-form</p> <p><i>(Comment: to amend depositing quantities)</i></p>	<ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement / Pre-deposit e-form</li> </ul> <p>4. Complete the sub-sections available for user input and click the 'Save' button:</p> <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ul> <p>5. Upon completing the form, press 'Preview'</p> <p>6. Tick the declaration box</p> <p>7. Press 'Confirm' to submit</p> <p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit e-form</b></p> <ul style="list-style-type: none"> <li>1. After submitting Placement / Pre-deposit e-form for HKSCC's review, HKSCC to revert submission with comments</li> <li>2. SC access reverted Placement / Pre-deposit e-form and make amendments to necessary fields. SC then re-submits revised Placement / Pre-deposit e-form.</li> </ul>	<p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit Form</b></p> <ul style="list-style-type: none"> <li>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement / Pre-deposit Form' will reach to 'Reverted'</li> <li>2. User able to access the reverted Placement / Pre-deposit Form, make necessary amendments, and re-submit the e-form. The sub-status will reach to 'Submitted'</li> </ul>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>1. When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement / Pre-deposit Form</p>	<p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>1. Successfully download Placement Form in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</p>
<p>Depository and Settlement Forms [Formal Admission Letter]</p>	<p>One business day before Commencement of Trading Date at 17:15</p>	<p><b>A. Formal Admission Letter</b></p> <p>1. One business day before Commencement of Trading date at 17:15, SC can access Formal Admission Letter by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Form Admission Letter" in pull down menu</li> </ul>	<p><b>A. Formal Admission Letter</b></p> <p>1. Successfully download Formal Admission Letter in PDF format</p>
<p>Depository and Settlement Forms [Placement Form (OAO)]</p>	<p>15:45, Commencement of Trading date</p>	<p><b>A. Placement Form (Over-allotment Option)</b></p> <p>1. When IPO status reaches "Trading Started", SC can access Placement Form (Over-allotment Option) by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Placement Form (OAO)" in pull down menu</li> </ul> <p>2. Complete the fields in Placement Form (OAO). SC may press the back button and continue completing the e-form at a later time</p>	<p><b>A. Placement Form (Over-allotment Option)</b></p> <p>1. E-form will be displayed</p> <p>2. After pressing the "back" button, user returns to home page</p> <p>3. "Placement Form (OAO)" section is available for selection on the screen</p> <p>4. All inputted data will be saved and displayed when user exits and re-enters the section</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>(Applicable to B. Addressing comments and re-submit reverted Placement Form (OAO) only)</i></p> <p>HKSCC to issue comments on submitted e-form</p> <p><i>(Comment: to amend depositing quantities)</i></p>	<p>3. SC may resume Placement Form (OAO) function by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement Form (OAO)</li> </ul> <p>4. Complete the sub-sections available for user input and click the 'Save' button:</p> <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ul> <p>5. Upon completing the form, press 'Preview'</p> <p>6. Tick the declaration box</p> <p>7. Press 'Confirm' to submit</p> <p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <p>1. After submitting Placement Form (OAO) for HKSCC's review, HKSCC to revert submission with comments</p> <p>2. SC access reverted Placement Form (OAO) and make amendments to necessary fields. SC then re-submits revised Placement Form (OAO)</p>	<p>5. User successfully submits Placement Form (OAO) and the sub-status will reach to 'Submitted'</p> <p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <p>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement Form (OAO)' will reach to 'Reverted'</p> <p>2. User able to access the reverted Placement Form (OAO), make necessary amendments, and re-submit the e-form. The sub-status will reach to 'Submitted'</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>C. Downloading Placement Form (OAO)</b></p> <p>1. When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement Form (OAO)</p>	<p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>1. Successfully download Placement Form (OAO) in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</p>
Operating Reports	Each of the IPO Reference Data, ARA Submission, Regulatory Submissions workflows must have commenced	<p>1. User may access Operating Reports of different workflows by:</p> <ul style="list-style-type: none"> <li>(i) Login to FINI Web portal</li> <li>(ii) Click on the IPO Card</li> <li>(iii) In the left panel, select the desired workflow menu</li> </ul> <p>2. After landing on the workflow page, on press the [↓List] button on the top of the UI or the link to the document to initiate the downloading of the operating report</p>	<p>1. User able to access each workflow and view the operating report download [↓List] button or link to the document</p> <p>2. Successfully download and open the .csv files or .pdf files, which correctly extracts the data of each respective FINI workflow</p>

## Legal Adviser (for Issuer)

Workflow	Pre-Conditions	Test Steps	Expected Result
Regulatory Submission (Issuer's Declaration)	IPO status: Placing approved	<ol style="list-style-type: none"> <li>1. Log in to FINI Web portal</li> <li>2. Click on the IPO Card</li> <li>3. In the left panel, click the "Regulatory Submissions" menu</li> <li>4. Locate "Issuer's Declaration" and click "open"</li> <li>5. Complete the form</li> <li>6. Press "Preview"</li> <li>7. Tick the declaration box</li> <li>8. Press "confirm" to submit</li> <li>9. Issuer's Declaration status changed from "Pending" to "Pending Signature"</li> <li>10. After downloading the completed declaration and is physically signed, upload the signed declaration</li> <li>11. Press "Preview" and then press "confirm" to submit</li> </ol>	<ol style="list-style-type: none"> <li>1. Access of and successful download of completed Issuer's Declaration. Prompt a snackbar with message "Issuer's Declaration successfully submitted"</li> <li>2. Successful upload of signed Issuer's Declaration and submission and status changes from "pending" to "submitted"</li> </ol>
Depository and Settlement Forms [Placement / Pre-deposit Form]	IPO status reached "Deal Initiated"	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. When IPO status reaches "Deal Initiated", Legal Adviser (for Issuer) can access Placement / Pre-deposit Form by: <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Placement / Pre-deposit Form" in pull down menu</li> </ol> </li> <li>2. Complete the fields in Placement / Pre-deposit e-form. Legal Adviser (for Issuer) may press the back button and continue completing the e-form at a later time.</li> <li>3. Legal Adviser (for Issuer) may resume Placement / Pre-deposit Form function by: <ol style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> </ol> </li> </ol>	<p><b>A. Placement / Pre-deposit Form</b></p> <ol style="list-style-type: none"> <li>1. e-Form will be displayed</li> <li>2. After pressing the "back" button, user returns to home page</li> <li>3. "Placement / Pre-deposit Form" section is available for selection on the screen</li> <li>4. All inputted data will be saved and displayed when user exits and re-enters the section</li> <li>5. User successfully submits Placement / Pre-deposit Form and the sub-status will reach to 'Submitted'</li> </ol>



Workflow	Pre-Conditions	Test Steps	Expected Result
	<p><i>(Applicable to B. Addressing comments and re-submit reverted Placement Form (OAO) only)</i></p> <p>HKSCC to issue comments on submitted e-form</p> <p><i>(Comment: to amend depositing quantities)</i></p>	<ul style="list-style-type: none"> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement / Pre-deposit e-form</li> </ul> <p>4. Complete the sub-sections available for user input and click the 'Save' button:</p> <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ul> <p>5. Upon completing the form, press 'Preview'</p> <p>6. Tick the declaration box</p> <p>7. Press 'Confirm' to submit</p> <p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit e-form</b></p> <ul style="list-style-type: none"> <li>1. After submitting Placement / Pre-deposit e-form for HKSCC's review, HKSCC to revert submission with comments</li> <li>2. Legal Adviser (for Issuer) access reverted Placement / Pre-deposit e-form and make amendments to necessary fields. Legal Adviser (for Issuer) then re-submits revised Placement / Pre-deposit e-form</li> </ul>	<p><b>B. Addressing comments and re-submit reverted Placement / Pre-deposit Form</b></p> <ul style="list-style-type: none"> <li>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement / Pre-deposit Form' will reach to 'Reverted'</li> <li>2. User able to access the reverted Placement / Pre-deposit Form, make necessary amendments, and re-submit the e-form. The sub-status will reach to 'Submitted'</li> </ul>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement / Pre-deposit Form</p>	<p><b>C. Downloading Placement / Pre-deposit form</b></p> <p>1. Successfully download Placement Form in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</p>
<p>Depository and Settlement Forms [Formal Admission Letter]</p>	<p>One business day before Commencement of Trading Date at 17:15</p>	<p><b>A. Formal Admission Letter</b></p> <p>1. One business day before Commencement of Trading date at 17:15, Legal Adviser (for Issuer) can access Formal Admission Letter by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Form Admission Letter" in pull down menu</li> </ul>	<p><b>A. Formal Admission Letter</b></p> <p>1. Successfully download Formal Admission Letter in PDF format</p>
<p>Depository and Settlement Forms [Placement Form (OAO)]</p>	<p>15:45, Commencement of Trading date</p>	<p><b>A. Placement Form (Over-allotment Option)</b></p> <p>1. When IPO status reaches "Trading Started", Legal Adviser (for Issuer) can access Placement Form (Over-allotment Option) by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) In the left panel, click "Depository &amp; Settlement" menu</li> <li>(iv) Select "Placement Form (OAO)" in pull down menu</li> </ul> <p>2. Complete the fields in Placement Form (OAO). Legal Adviser (for Issuer) may press the back button and</p>	<p><b>A. Placement Form (Over-allotment Option)</b></p> <p>1. E-form will be displayed</p> <p>2. After pressing the "back" button, user returns to home page</p> <p>3. "Placement Form (OAO)" section is available for selection on the screen</p> <p>4. All inputted data will be saved and displayed when user exits and re-enters the section</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
	<p>(Applicable to B. Addressing comments and re-submit reverted Placement Form (OAO) only)</p> <p>HKSCC to issue comments on submitted e-form</p> <p>(Comment: to amend depositing quantities)</p>	<p>continue completing the e-form at a later time</p> <p>3. Legal Adviser (for Issuer) may resume Placement Form (OAO) function by:</p> <ul style="list-style-type: none"> <li>(i) Log in to FINI web portal</li> <li>(ii) Select IPO Card of the IPO Home Page</li> <li>(iii) Able to view the information in the Placement Form (OAO)</li> </ul> <p>4. Complete the sub-sections available for user input and click the 'Save' button:</p> <ul style="list-style-type: none"> <li>(i) General</li> <li>(ii) Settlement Arrangement</li> <li>(iii) Supporting Documentation(s)</li> <li>(iv) Declarations</li> </ul> <p>5. Upon completing the form, press 'Preview'</p> <p>6. Tick the declaration box</p> <p>7. Press 'Confirm' to submit</p> <p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <p>1. After submitting Placement Form (OAO) for HKSCC's review, HKSCC to revert submission with comments</p> <p>2. Legal Adviser (for Issuer) access reverted Placement Form (OAO) and make amendments to necessary fields. Legal Adviser (for Issuer) then re-submits revised Placement Form (OAO).</p>	<p>5. User successfully submits Placement Form (OAO) and the sub-status will reach to 'Submitted'</p> <p><b>B. Addressing comments and re-submit reverted Placement Form (OAO)</b></p> <p>1. User able to see the comment icon on top of the page, and click the icon to view the contents of the comment. The sub-status of 'Placement Form (OAO)' will reach to 'Reverted'</p> <p>2. User able to access the reverted Placement Form (OAO), make necessary amendments, and re-</p>

Workflow	Pre-Conditions	Test Steps	Expected Result
		<p><b>C. Downloading Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>When sub-flow status reaches 'Document Generated' or 'Finalised', download the Placement Form (OAO)</li> </ol>	<p>submit the e-form. The sub-status will reach to 'Submitted'</p> <p><b>C. Downloading Placement Form (OAO)</b></p> <ol style="list-style-type: none"> <li>Successfully download Placement Form (OAO) in PDF format when sub-flow status reaches "Document Generated" / "Finalised"</li> </ol>
Operating Reports	Each of the IPO Reference Data, Regulatory Submissions workflows must have commenced	<ol style="list-style-type: none"> <li>User may access Operating Reports of different workflows by:               <ol style="list-style-type: none"> <li>Login to FINI Web portal</li> <li>Click on the IPO Card</li> <li>In the left panel, select the desired workflow menu</li> </ol> </li> <li>After landing on the workflow page, on press the [↓List] button on the top of the UI or the link to the document to initiate the downloading of the operating report</li> </ol>	<ol style="list-style-type: none"> <li>User able to access each workflow and view the operating report download [↓List] button or link to the document</li> <li>Successfully download and open the .csv files or .pdf files, which correctly extracts the data of each respective FINI workflow</li> </ol>



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