

**Frequently Asked Questions Series 3 - Electronic Disclosure**  
**(Last Updated on 26 October 2018)**

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## ACCESS TO e-SUBMISSION SYSTEM

### 1. Who needs to have access to the e-Submission System?

All listed issuers, listing applicants companies and sponsors that wish to submit announcements or other documents (including Application Proofs/ PHIPs/ statements made under Main Board Rule 9.02(2)(c) or GEM Rule 12.10(2)(c)) for publication on the HKEX website<sup>1</sup> on behalf of a listed issuer or a listing applicant should register for access to the e-Submission System. Non-listed companies that are required to publish announcements or other documents under the Takeovers Code on the HKEX website should also register for access to the e-Submission System.

### 2. How do I get access to the e-Submission System?

To gain access to the e-Submission System you must register with HKEX. Please follow the registration procedures set out in the HKEX website at [http://www.hkex.com.hk/eng/listing/edp/ess/ESS\\_Reg.htm](http://www.hkex.com.hk/eng/listing/edp/ess/ESS_Reg.htm) or simply by clicking the “About Registration” link on the left hand side of the e-Submission Welcome Page.

### 3. What are the operational hours of the e-Submission System?

The operational hours of the e-Submission System on a business day will be between 6.00 a.m. and 11.00 p.m. On a non-business day immediately preceding a business day, the e-Submission System will be available between 6.00 p.m. and 8.00 p.m.

A submission for publication can be made whenever the e-Submission System is operational. However, the Listing Rules prohibit an issuer from submitting announcements and notices for publication (with certain limited exceptions) outside designated publication windows.

### 4. I have missed the 11.00 p.m. publication deadline. Can I still make a submission via the e-Submission System?

No. The e-Submission System will not be operational after 11.00 p.m. (i.e. publication deadline). Although you may not be logged off immediately by the system at 11.00 p.m., you will be forced to log out when you click any button on the e-Submission System.

Also, if you have not chosen to save your submission before the deadline, it will not be saved and recorded in the e-Submission System.

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<sup>1</sup> The term “HKEX website” in this document refers to the HKEXnews website and/or GEM website, as appropriate.

The e-Submission System will display a pop up alert message on 30 minutes and then 15 minutes before the deadline if you have not logged out from the system. An alert message will also pop up if you log onto the system within 30 minutes before the deadline.

5. Is there an automatic log-out from the e-Submission System after a certain time?

Yes, you will be automatically logged out of the system after any 30-minute period of inactivity. You will also be logged out if a document takes more than 30 minutes to upload, in which case, it will be necessary for the document to be uploaded again the next time you log on.

6. Will the e-Submission System be available after a bad weather signal (e.g. Typhoon signal number 8 or black rainstorm) has been hoisted?

Yes. If a bad weather signal has been hoisted the e-Submission System will remain open. Documents that have been submitted will be published in the same manner as on a normal working day.

However, the Publication Related Matter hotline will close 15 minutes after a Typhoon Signal No. 8 is hoisted is issued.

*(Note: Updated on 6 July 2017)*

7. I cannot gain access to the Internet in order to publish a document via the e-Submission System. Can I send the document to HKEX by diskette instead?

In normal circumstances the Listing Rules require an issuer to publish a document using the e-Submission System. Submission to HKEX via diskette (or any other means) will not satisfy an issuer's obligations under the Listing Rules. HKEX will only accept e-mail (or any other means as announced by the Exchange from time to time) in contingency circumstances, such as a failure of both the e-Submission System and back-up system. In these circumstances HKEX will contact all Authorised Persons to inform them of what contingency measures to take.

In all other circumstances, an issuer must make every effort to gain access to the e-Submission System in order to publish a document. An issuer should first ensure that its own systems are not at fault and use alternative Internet connections (such as those of agents registered on the e-Submission System) if necessary. It is important for the HKEX to understand from the issuer why a document cannot be submitted electronically via the e-Submission System. HKEX will consider the reasons to determine if it should invoke contingency measures.

For details of the contingency measures, you may refer to the Guide on Listed Company Information Dissemination and Related Trading Arrangements in the Event of Interruption to the HKEXnews Website Service or the Information Dissemination System published by the Exchange on the HKEX website at:

[http://www.hkex.com.hk/eng/rulesreg/listrules/listadmin/conting\\_mtl.htm](http://www.hkex.com.hk/eng/rulesreg/listrules/listadmin/conting_mtl.htm).

8. Why can't I access the e-Submission System web page?

Please ensure that the URL for the e-Submission System is typed correctly (<https://www.esubmission.hkex.com.hk>).

If you still cannot access the e-Submission System try checking the pages of other websites. If you cannot access other websites you should contact your internal IT department for assistance. If you can access other websites but still cannot access the e-Submission System, the e-Submission System may not be available. Please check whether you have received an e-mail to notify you of the contingency procedures you should follow. If you have not received a contingency e-mail please call the Publication Related Matter hotline (+ 852 2840 3460) for assistance.

9. Why can't I log onto the e-Submission System for Publication Related Matters?

Please make sure that you are a registered user for Publication Related Matters\* and you have entered the user ID and the user password correctly. A user password is case sensitive.

If you have entered an incorrect password 5 consecutive times on the same day, your user account will be locked. You should contact your company's Security Officer to unlock your account and reset your password.

\*You will see a red menu bar if you have logged in as a Publication-Related Matter user.

10. How often do I need to change my password on the e-Submission System? Will the system automatically remind me to change my password?

Whenever a user logs into the e-Submission System, the system checks the date when that user last changed his/her password. If that date is more than 90 days ago, the system will require that the user change their password immediately. A user will not be able to use any function on the e-Submission System until his/her password is changed. All users including Administrators and Security Officers are subject to the 90 day password change requirement.

The e-Submission System will not allow a password to be changed to one that is the same as the last three passwords used.

11. Who can unlock the company's e-Submission user account and/or change user password?

If your Publication-Related Matter, Listing-Related Matter & DI (Disclosure of Interests) account has been locked, please contact your company's e-Submission Security Officer. Instructions for Security Officer on how to unlock the account can be found in the Administrator & Security Officer's User Manual that can be accessed via the hyperlink at the bottom of the e-Submission website.

If your Authorised Person, Security Officer or Administrator account has been locked, you should complete the ESS Administration Form to request the unlocking of the relevant account and ensure the Form is duly signed by your company's Authorised Person. The Form can be downloaded in the "Forgot Password" link on the left menu of the e-Submission Welcome Page. Upon receipt of the completed Form, HKEX will mail the account details to the company within 2 business days.

*(Note: Updated on 30 June 2017)*

FILE SPECIFICATIONS
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12. Are there any specification requirements (e.g. specific fonts to be used) for a file to be published on the HKEX website via the e-Submission System?

Yes. You may refer to the appendices in the User Manual for Publication Related Matters. This User Manual can be accessed via the link shown at the bottom of all the e-Submission System website pages.

13. How should I name the files before submission for publication?

The filename of files submitted for publication, should be written in alphanumeric characters (i.e. using only letters of the western alphabet and numbers). The filename of a file containing an English language document should begin with the letter “e”. The filename of a file containing a Chinese language version of the document should begin with the letter “c”. The total file name length must not exceed 200 characters.

If the above specifications are not followed, the e-Submission System will not accept the file and an error message will be displayed.

There are no other file naming specifications required other than those above. It is not necessary to include the stock code of the issuer in the filename.

As best practice, you should not upload identical filenames on the same submission. If filenames are re-used for subsequent submissions an issuer should have proper internal controls in place to ensure that an incorrect file is not uploaded in error.

*(Note: Updated on 30 June 2017)*

14. Is there any restriction on the format of a file submitted for publication on the HKEX website via the e-Submission System?

Yes. Adobe PDF and MS Word are acceptable document formats for publication on the HKEX website. Exception may be made where a MS Excel file is permitted, e.g. trading reports relating to structured products. If you have any questions, please contact your case officer within the Listing Department.

All documents submitted for publication via the e-Submission System must be in a text-searchable format.

15. Will my file be checked for viruses while it is being uploaded onto the e-Submission System?

Yes. The e-Submission System has in-built virus detection software and will reject a submission if the document being uploaded contains a virus.

However, you should check that a file is virus free before uploading it to the e-Submission System.

## HEADLINE CATEGORIES

16. Can I choose more than one Tier 1 headline category?

No.

17. Can I choose more than one Tier 2 headline category? On what basis should I prioritise Tier 2 headline categories when I have chosen more than one?

Yes. The sequence of the headline categories selected will be displayed on the e-Submission System. You should prioritise and preview the order of your chosen Tier 2 headline categories before approving the submission for publication.

In general, when submitting a document through e-Submission System for publication, the issuer must select all the headlines categories that are appropriate from the list of headlines set out in Appendix 24 of the Listing Rules. If the announcement is issued under different rules requirement, all relevant headlines related to these rules requirement must be selected. The issuer must make a judgement as to relative importance of the different types of information contained within the document to be published and set the priority of the Tier 2 headline categories accordingly.

18. Does HKEX have any guidelines for selecting headline categories?

An issuer should make best efforts to choose headlines that it believes apply to the information submitted for publication.

However, if you have any questions on the selection of headline categories you can contact a case officer in the Listing Department. Please use the link below to find the appropriate Listing Department team that is responsible for your company and also the contact number for that team.

[http://www.hkex.com.hk/eng/listing/listreq\\_pro/listcontact/advisor.htm](http://www.hkex.com.hk/eng/listing/listreq_pro/listcontact/advisor.htm)

If you wish to submit information for publication out of office hours and a Listing Department case officer is not available, you should select the headline categories that you think are most appropriate.

You may refer to the Guide on Pre-vetting Requirements and Selection of Headline Categories for Announcements published by the Exchange on the HKEX website at: [http://www.hkex.com.hk/eng/rulesreg/listrules/guidref/guide\\_pre\\_vetting\\_req.htm](http://www.hkex.com.hk/eng/rulesreg/listrules/guidref/guide_pre_vetting_req.htm). The Guide contains a list of headline categories usually applicable to various types of announcements issued under specific Listing Rules.



19. The information I wish to publish via the e-Submission System does not fit any of the available Tier 1 headline categories. Why isn't there an "Others" Tier 1 headline category?

The Tier 1 headline categories offered by the e-Submission System are designed to allow issuers to meet all the requirements to publish information contained within of the Listing Rules and Takeovers Code. After choosing a Tier 1 Category an issuer should review the corresponding Tier 2 categories and choose those headlines that are applicable to the information to be published.

If none of the Tier 2 categories are applicable, "Other" headline categories are usually available. While an "Other - Miscellaneous" option exists for "Announcements and Notices", another "Other" option is available for "Circulars", "Listing Documents" and "Debt and Structured Products" Tier-2 headline categories. However, an issuer should not choose an "Other" headline category until it has reviewed all other headline categories to ensure that no alternative headline category can be used.

An "Other" headline category is not available as a Tier 1 headline category in order to ensure that all information submitted to the e-Submission System is categorised according to the relevant Listing Rules requirement. However, if the information that an issuer wishes to publish is not required by the Listing Rules or Takeovers Code it can continue to publish this information via the HKEX website.

Types of information for which there is no requirement under the Listing Rules or Takeovers Code to publish on the HKEX website includes but is not limited to the following documents. Some of the documents below can be published, at the issuer's choice, if they are submitted with the main document they directly relate to (e.g. reply slips).

- reply slips;
- election form;
- scheme election form;
- statement of shareholding;
- letter to shareholders;
- notice of court meeting;
- rights issue form; and
- form of acceptance and transfer of shares.

20. If I notice that I have chosen incorrect headline categories after my submission has been approved, what can I do to amend the headline categories?

It is the responsibility of an issuer to ensure that all appropriate headlines are selected. If you have selected incorrect headline categories, you can, within 5 calendar days of publication, amend those headline categories through the e-Submission System. This can be done once only. Please refer to the Quick Reference Guide which sets out how such amendments can be done. The Quick Reference Guide can be accessed via the link shown at the bottom of all e-Submission System website pages.

21. How can I correct the headline categories of a published document after the time allowed for amendment has elapsed or if want to amend the published headline for a second time?

If 5 calendar days have elapsed after publication of a document or if you want to amend the published headline(s) for a second time, you should write to the Primary Market Information, Listing Department to request a change to the headlines categories of that submission. This written request must set out what changes need to be made together with an explanation as to how the error came about. You may contact our Publication Related Matter hotline (+852 2840 3460) to discuss appropriate arrangements. Any agreed changes will then be effected by HKEX.

22. How will a headline category amendment be displayed on the HKEX website?

The original submission will remain viewable on the HKEX website. The headline categories of this submission will be clearly prefixed with the words "Cancelled since Headlines Superseded and Replaced".

At the same time, a new publication entry showing the revised headlines will appear on the HKEX website for the same issuer. This new publication entry will be clearly prefixed with the words "Headlines Revised". The new publication entry will be identical in every other respect to the original submission (e.g. it will contain the same documents and titles).

## LANGUAGE ISSUES

23. Are there any restrictions on the English and Chinese characters that can be input into the e-Submission System?

All fields in the e-Submission System should be completed in English except for the “Title (Chinese)” field and the “Company Name (Chinese)”. The e-Submission System “Title (Chinese)” field only accepts Traditional Chinese characters (Big5 character set).

If you are unfamiliar with the use of Traditional characters, it is possible to copy and paste the title of the announcement, notice or document into this field.

The e-Submission System “Title (English)” field accepts English keyboard characters only. Certain currency symbols (for example £, ¥, €), fractions and other special non-keyboard characters are also not accepted. Therefore alternative wording must be included in the title field (e.g. Pounds, Yen and decimals instead of fractions).

24. Why does the e-Submission System accept only traditional Chinese characters and not simplified characters?

Use of English and traditional (Big5) Chinese characters (as opposed to simplified Chinese characters) is consistent with HKEX current practice with regard to the publication of issuers’ announcements and other documents.

For this reason, only traditional Chinese characters are used in e-Submission System (i.e. display and input).

25. Why is the e-Submission System not available in separate English and Chinese language modes?

While some of the e-Submission System screens are in both English and Chinese, some screens (e.g. “View Submission History”) are in English only. So as to avoid overloading the screen where possible, only the most commonly used screens (i.e. those relating to the submission, amendment and approval of submissions) are bilingual.

26. What announcement, notice or document types can I submit in a single language?

An announcement can be submitted in a single language where permitted by the Listing Rules. The types of announcements where single language publication is usually permitted include overseas regulatory announcements and the trading reports and pre-listing reports of structured product issuers. However, overseas regulatory announcements can also be submitted in both English and Chinese.

27. Can I submit the English and Chinese language files in two separate submissions one after the other?

The Listing Rules usually require that, for documents where both English and Chinese versions must be published, both language versions be submitted for publication simultaneously. However Annual Reports or Listing Documents can be published in two separate language submissions, one after the other.

28. Can I submit a bilingual version of a document (e.g. annual report and accounts) for publication or do I have to separate a bilingual document into a purely English and a purely Chinese language version before submitting them for publication?

You can submit a bilingual document for publication and you do not need to separate a bilingual document into a purely English and a purely Chinese language version before submitting them for publication.

However, you should submit a copy of a bilingual document under an English title on one submission and the same copy of the bilingual document under a Chinese title on a separate submission. This is to ensure that visitors to both language versions of the HKEX website can access the bilingual document.

## REGISTRATION

29. If a listed issuer also wishes to submit documents as an agent (e.g. financial adviser) on behalf of other listed issuers does it need to register twice for the e-Submission System?

Yes. It needs to register once as a listed issuer and once as an agent.

30. Do investment vehicles have to register on the e-Submission System? Is it sufficient for their Fund / Investment Management Company to register as an e-Submission System user on their behalf?

For investment companies or collective investment schemes (e.g. Exchange Traded Funds) an investment management company may register as an “issuer” for the purpose making submissions for publication via the e-Submission System. An investment management company can register for all of the companies it manages. However, the investment management company must receive authorisation from the relevant listed companies before registering in this capacity.

The trustee of an investment company or collective investment scheme may also register to use the e-Submission System. However, trustees should register as agent companies.

Security passwords will be issued by HKEX to the investment management company only. The trustee should obtain the right from the investment management company to use those security passwords to make announcements for publication on behalf of the relevant investment company or collective investment scheme.

31. Do issuers of debt and/or structured products need to register separately for each of product issued?

Yes. An issuer of debt and/or structured products should register separately for each type of product issued. Accordingly, an issuer that has debt securities, derivative warrants and CBBC in issue should register three times, each in a different capacity, for access to the e-Submission System.

Such an issuer should log on to the e-Submission System using the registration account that is applicable to the announcement or document that it wants to publish. For instance, if the announcement or document relates to its derivative warrants in issue it should log into the e-Submission System using its derivative warrant account. If such an issuer wishes to publish an announcement relating to all of its products in issue, that issuer should log in to the e-Submission System using any one of its registration accounts.

32. Do I need to pay for using the e-Submission System?

No. Registration and use of the e-Submission System is free.

33. How long does the registration process take? Can the process be expedited in circumstances where an announcement needs to be made quickly?

Once HKEX has received full and complete registration details from an applicant company, we will mail the necessary e-Submission account details and submission password batches to the applicant company within 2 business days.

Where incomplete materials are submitted the process will necessarily take longer. You are encouraged to take care to ensure the following documents are submitted and duly signed:

- Completed Registration Form;
- CD containing the completed forms;
- Letter of Acceptance of ESS Terms and Conditions;
- Confirmation letter from new listing applicant regarding own website;
- Copy of the board resolution (or equivalent document)

In urgent circumstances, such as when a non-issuer is required to make an announcement in takeover situations, HKEX will endeavour to expedite the process as much as possible. The applicant should contact the Publication Related Matter hotline (+852 2840 3460) to discuss appropriate arrangements.

34. What should be included in a board resolution relating to e-Submission registration?

As a minimum we would expect the board resolution relating to e-Submission registration should be:

- (1) authorising the application by your company/entity for e-Submission System registration and the acceptance by your company/entity of the relevant Terms and Conditions; and
- (2) authorising such director or other person to apply for e-Submission System registration on behalf of your company/entity and to sign the e-Submission System registration application forms and the letter of acceptance of the Terms and Conditions.

All applications for e-Submission (listed issuers and agents) must provide a copy of the board resolution upon registration.

35. What is the difference between the roles of Authorised Person, Administrator, Security Officer, “Submitter” and “Approver”, and DI user?

An Authorised Person is the person at a company who is the HKEX’s primary contact for receipt of batches of security passwords and for subsequent registration matters. The Authorised Person should distribute security password batches to appropriate person(s) at the company. In addition, the Authorised Person is granted the right to receive an email notification and access (i.e. viewing or downloading) to the complete set of DI notices and related documents when a DI notice is received through the DION System concerning his/her company. However, he/she may delegate the right to access such DI information to another person by appointing such person as a DI user.

An Administrator is the person at a company who maintains the company’s details on the e-Submission System. An Administrator can change the company’s name, address, telephone number etc. An Administrator can also view all Listing Related Matter cases submitted by his/her company. In case of equity issuers and ETF issuers, their Administrator can view and edit the company’s “Related Stock Code List”.

A Security Officer is the person at a company who maintains the user accounts on the e-Submission System of other user(s) at the company. A security officer can re-set passwords, disable a user’s ability to login, unlock an user account, or update user profiles as necessary. A Security Officer can change a user’s access rights, such as the user’s ability to act as a Publication Matter User. A Security Officer can also submit online request through e-Submission System for additional batch of security passwords when all passwords on an existing batch are about to used up.

A Publication Matter User is a person at a company who use the e-Submission System to submit documents for publication on the HKEX website. A “Submitter” is a Publication Matter User who uploads a document onto the e-Submission System, selects the appropriate headline categories and enters the title fields for the submission. An “Approver” is any Publication Matter User (who is not the “Submitter”) who approves the publication of a submission uploaded by a “Submitter”.

A DI User is the person at a company who has been delegated the right to receive an email notification and access (i.e. viewing or downloading) to the complete set of DI notices and related documents when a DI notice is received through DION System concerning his/her company. DI user is applicable to listed issuers only.

*(Note: Updated on 30 June 2017)*

36. How many users can I register in total?

Each company may apply for one Administrator account, one Security Officer account and up to eight accounts for people who will submit information for publication (both “submitters” and “approvers”). If a company requires more user accounts, the company’s Authorised Person should send a written request to HKEX and explain the reason(s) for the company’s request for additional user accounts. HKEX will consider the merit of such a request on a case by case basis.

For DI user account, each listed issuer may apply for up to two user accounts if the Authorised Person intends to delegate to a DI user the right to access DI information.

*(Note: Updated on 30 June 2017)*

37. Can an e-Submission System Authorised Person, Administrator or Security Officer be registered users for the purpose of Publication Related Matters?

No. The roles of Authorised Person, Administrator and Security Officer do not include the publication of documents via the e-Submission System. An issuer should apply to HKEX to register separate users for the purposes of submitting documents for publication via the e-Submission System.

38. Can the task of Authorised Person, Administrator, Security Officer or other e-Submission System user role be assumed by one person or delegated to multiple users?

It is the issuer's responsibility to ensure that it has sufficient internal controls to prevent the inappropriate distribution of inside information amongst its own employees and to ensure it meets its obligations in submitting information for publication. HKEX has designed the e-Submission System with the ability to segregate the roles of users to help ensure that appropriate internal controls are maintained. However, an issuer may choose to amalgamate or delegate these roles as it sees fit, as long as its internal controls regarding the security of unpublished information can be maintained.

39. My company's profile information (e.g. company name, website address) has changed. Will the change be made on the e-Submission System automatically?

No. Your company's e-Submission Administrator should make the change in the respective field of the "Company Details" page within e-Submission System accordingly. Instructions on how to make this change can be found in the Administrator & Security Officer's User Manual that can be accessed via the hyperlink the bottom of the e-Submission website.

40. How do I update my e-Submission user profile? Do I need to write to HKEX to inform you of any changes?

e-Submission System registered users do not have to write to HKEX to change their user profile.

e-Submission System registered users can update their own "User Details" on the e-Submission System by clicking the "Profile Admin" option in the menu bar at the top of the e-Submission System screen.

The Extended Quick Reference Guide explains how a user can update his/her user profile. The Extended Quick Reference Guide can be accessed via the link shown at the bottom of all e-Submission website pages.

41. Do I need to contact HKEX if an e-Submission user leaves my company?



You should contact HKEX if you wish to register a change of Authorised Person, Administrator, Security Officer or DI user. You do not need to contact HKEX in order to de-activate the e-Submission user account of a person who submits documents for publication through the e-Submission System and who has left your company. The Security Officer at your company can perform this task.

However, you will need to contact HKEX if you wish to register a new person to submit documents for publication or to register someone to replace a person who has left.

*(Note: Updated on 30 June 2017)*

42. Can any user change the details of other users at my company?

No. Only the Security Officer can change the details of Publication Matter user, Listing Matter user and DI user.

*(Note: Updated on 30 June 2017)*

43. *(Withdrawn in April 2016)*

## RELATED STOCK CODES

### 44. When should I use the “Stock Code of Related Issuer(s)” field?

Issuers of equity or agents acting on behalf of such issuers should use the “Stock Code of Related Issuer(s)” field if the issuer wishes to make a joint announcement with another issuer. An equity issuer or agent should also use the “Stock Code of Related Issuer(s)” field to input the stock code of a subsidiary or parent listed company if the announcement relates to both entities. In this circumstances issuer must ensure that its “Related Stock Code List” has been updated before using the “Stock Code of Related Issuer(s)” field (see also question 45).

A debt or structured product issuer or an agent acting on its behalf must always use the “Stock Code of Related Issuer(s)” field to indicate which of its listed debt or products are relevant to the announcement. If no “Stock Code of Related Issuer(s)” is input, the announcement will be published on the HKEX website without a stock name. However, it is not necessary for a structured product issuer or its agent to input the stock code(s) of any underlying stock of its structured product into the “Stock Code of Related Issuer(s)” field.

If an announcement is published on the HKEX website without a stock code it is still possible to find that announcement by searching on the date (or date range) of its release, by searching on the headline category and/or by a keyword search on the news title of the announcement.

### 45. What is “Related Stock Code List”?

The “Related Stock Code List” is a list of stock codes maintained by listed issuers in the e-Submission System for their related listed issuers and listed securities. This list is introduced for validation purpose when a listed issuer or its agent submits documents that may relate to another listed issuers and/or its relevant listed securities so as to help listed issuers (except for debt and structured product issuers) and their agents to minimise the risk of input error in the “Stock Code of Related Issuer(s)” field. When the stock codes entered in the “Stock Code of Related Issuer(s)” field do not match with those in the “Related Stock Code List”, the submission cannot proceed until correction is made to the stock code either in the “Stock Code of Related Issuer(s)” field or the “Related Stock Code List”, where appropriate.

An issuer’s “Related Stock Code List” can only be viewed and edited by its e-Submission Administrator. The “Related Stock Code List” maintenance function will not be accessible to other user types, such as Security Officers, Publication Matter Users and agents acting on behalf of issuers, etc. If the Administrator’s e-Submission user account is locked, you may contact our Publication Related Matter hotline (+852 2840 3460) to unlock the user account and change the password (see question 11).

Instruction on how to maintain the “Related Stock Code List” can be found in the Administrator & Security Officer’s User Manual that can be accessed via the hyperlink at the bottom of the e-Submission website.

46. Will the “Related Stock Code List” be applicable to all listed issuers?

No. The “Related Stock Code List” will only be applicable to equity issuers and ETF issuers. For the avoidance of doubt, the “Related Stock Code List” will not be applicable to debt and structured product issuers.

47. Is it necessary for equity issuers to input the stock code of their own company into the “Stock Code of Related Issuer(s)” field?

No. It is not necessary for equity issuers to enter its own stock into the “Stock Code of Related Issuer(s)” field. Once a user has logged into the e-Submission System, the identity of an issuer is already known to the system. This is because the user is always registered in the name of an issuer.

It is also not necessary for an agent company to enter the stock code of an equity issuer they represent into the “Stock Code of Related Issuer(s)” field. The stock code of the issuer should be input into the “Stock Code of Issuer” field only.

48. Do I need the permission of an issuer before entering its stock code into the “Stock Code of Related Issuer(s)” field?

Yes. An issuer must receive consent, preferably in writing, from another issuer before inputting its stock code into the “Stock Code of Related Issuer(s)” field. Evidence supporting this consent must be made available to the HKEX upon request.

49. What should I do if the validation of related stock code failed when I entered the stock code into the “Stock Code of Related Issuer(s)” field?

An equity issuer should update the “Related Stock Code List” before the issuer or its agent can use the “Stock Code of Related Issuer(s)” field for making a joint announcement with another listed issuer. This also applies to making a general announcement in relation to other related listed securities by an equity or ETF issuer.

The e-Submission System will not process the submission if the stock code entered into the “Stock Code of Related Issuer(s)” field does not match with those in the “Related Stock Code List”. Issuers have to correct the code either in the “Stock Code of Related Issuer(s)” field or to update the “Related Stock Code List”, where appropriate. If you are an agent acting on behalf of issuers, you should first check the stock code you are supplying is correct. If it is a correct stock code, you should contact the issuer immediately for the issuer’s e-Submission Administrator to update the “Related Stock Code List” accordingly.

If the “Stock Code of Related Issuer(s)” field is not so completed, each issuer of the joint announcement must submit the document for publication separately.

It is the issuer’s responsibility to ensure that details inputted into the e-Submission System for publication on the HKEXnews website are complete and accurate. Although updates to the

“Related Stock Code List” will become effective immediately when the list is successfully saved in the e-Submission System, issuers should have proper procedures to allow its e-Submission Administrator to update the “Related Stock Code List” in a timely manner.

50. What happens if I enter a stock code into the “Stock Code of Related Issuer(s)” field in error?

Prior to approval and publication of the announcement, you can correct the mistake yourself by logging back into the e-Submission System and navigating to the “Submission Details” page. You can then amend the “Stock Code of Related Issuer(s)” field as necessary. To assist you in entering a correct stock code, the e-Submission System will display names of equity issuers in a pop-up window for stock codes entered into the “Stock Code of Related Issuer(s)” field.

If the submission has already been approved and published, you should immediately contact the Publication Related Matter hotline (+852 2840 3460). HKEX will take appropriate action to ensure that the error is corrected as soon as possible. This may be achieved by cancelling the announcement made in error and requiring the issuer to submit a replacement announcement.

The cancelled announcement will appear as “Cancelled and Re-issued” under the name of both the issuer and all related issuers.

At the same time as this cancellation takes place the issuer should submit for publication a corrected version of the submission through the e-Submission System. The issuer should prefix the English and Chinese titles of this submission with the word “(Re-issued)” (including brackets).

Please note that the Exchange considers publication of erroneous or misleading information a serious matter. An issuer that publishes such information may become the subject of disciplinary action under the Listing Rules.

## SECURITY PASSWORDS

### 51. When will I receive security passwords for the e-Submission System?

After successful registration, issuers of only equity stock will be issued with a single batch of 50 security passwords pairs. Structured product issuers will be issued with a greater number of batches /security passwords pairs to reflect the high volume of announcements made by these issuers.

Each batch of security passwords will have a validity period at the end of which the passwords will expire. HKEX will automatically send out the next batch to issuers at least 2 weeks before the expiry date.

However, HKEX will not monitor an issuer's usage of security passwords and will not automatically send an issuer additional security passwords when all passwords on an existing batch are about to be used up. Where an issuer requires more security passwords prior to the expiry date of the current batch, it is the responsibility of the issuer to request an additional batch from HKEX in good time before you expect all the security passwords in a batch to be used.

### 52. Can an issuer of only equity stock request more than one batch of security passwords or more passwords per batch?

Under normal circumstances HKEX will not issue more than one batch of security passwords to an issuer of only equity stock.

In exceptional circumstances HKEX may issue more than one batch of security passwords to an issuer of only equity stocks. However, an issuer would have to send a written explanation to HKEX as to why it requires additional batches. HKEX will consider the merit of such a request on a case by case basis.

### 53. I have lost my security passwords, what should I do?

If an issuer loses (or loses control of) its security passwords HKEX should be contacted immediately via the Publication Related Matter hotline (+852 2840 3460). After confirming the situation with the issuer's Authorised Person HKEX will cancel the batch of security passwords that have been lost. This means that all unused security passwords in that batch will no longer be valid for submissions made through the e-Submission System. The issuer should then, as soon as possible, complete and submit to Primary Market Information, Listing Department by fax (+852 2523 1254) a prescribed cancellation request form which is available for download on the e-Submission website via the "Download Document Template" function.

The issuer must then follow the respective procedures for requesting issue of a new batch of security passwords.

54. What should I do if I am running out of security passwords?

You should make a request to Primary Market Information, Listing Department for issuing of a new batch of security passwords by one of the following ways:-

- Submit a written request by fax to +852 2523 1254 and follow up with a call to the Publication Related Matter hotline (+852 2840 3460) to make sure your request has been received; or
- Submit an online request through the ADMIN function of the e-Submission System by the Security Officer. Upon successful submission, a confirmation email will be sent to the Authorised Person(s) and the Security Officer.

Under normal circumstances, a new batch of security passwords will be sent to the Authorised Person of the requested issuer by registered mail within 2 working days. Upon receipt of a new batch of security passwords the Authorised Person must complete and return acknowledgment of receipt by fax to +852 2523 1254. Primary Market Information Team will then activate the new batch of security passwords and will notify the Authorised Person accordingly by way of email.

If an issuer requires security passwords urgently the Authorised Person of that issuer can collect a new batch from HKEX in person. An Authorised Person may nominate an agent to collect a batch of security passwords on his/her behalf. However, the Authorised Person must first write to HKEX to confirm that the agent is authorised to do so.

55. Can I get a security password for immediate use (e.g. over the phone or via e-mail)?

No. It is not possible to give out security passwords over the phone or via e-mail for immediate use. Security passwords will be mailed to the Authorised Person at a company. If an issuer requires security passwords urgently the Authorised Person of that issuer can collect a new batch from HKEX in person upon prior appointment, at HKEX office from Mondays to Fridays (except public holidays). An Authorised Person may nominate an agent to collect a batch of security passwords on his/her behalf. However, the Authorised Person must first write to HKEX to confirm that the agent is authorised to do so. The Authorised Person must acknowledge receipt of the security passwords by returning the acknowledgement letter by fax to HKEX. Upon receipt of this fax, HKEX will activate the security passwords for use. Authorised Person will be notified by email once the security passwords have been activated.

The purpose of this method is to ensure that the security passwords are received only by a person who has been authorised by an issuer to receive those passwords.

56. Why were security password pairs chosen as a method to authenticate persons making and approving submissions on the e-Submission System?

Access to the e-Submission System is restricted to a user with a valid User ID and a valid User Password. Security password pairs were introduced in order to provide a second level of authentication in addition to access control.

The introduction of security password pairs provides a second level of authentication in that only users who have possession of those security passwords can make a submission. Delivery of security passwords to an Authorised Person is safeguarded by ensuring that these passwords are not activated by HKEX until written acknowledgement of receipt is received from the Authorised Person. Security passwords can be invalidated by HKEX if control of the security passwords by the Authorised Person is lost.

Pairs of security passwords were chosen to enable an issuer to segregate the role of submitter and approver. Segregating these duties provides an additional level of internal control for the issuer.

57. Why is any person from the same issuer able to use the submission security password to access a submission?

Any person from an issuer with a valid User Id and User Password can access submissions of a colleague from the same issuer by using the correct submission security password. That person will be able to access the submission even if he/she did not create the submission.

The submission security password is designed to be an important method of access control. Consequently, an issuer should be very careful as to who has access to security passwords. An issuer should make these passwords available only to those persons who need access to submissions for publication according to its own internal control procedures.

Please note that issuers will not be able to access the submissions of other issuers even with a correct submission security password.

58. Why is my submission security password (the first half of the security password pair) / approval security password (the second half of a security password pair) not working?

There may be a number of reasons why your security password is not working. Please try the following (in order):

- Please ensure that you are entering the security password exactly as it is printed. Security passwords are case sensitive.
  - Please ensure that the security passwords you are using have been activated. Security passwords must be activated by HKEX before they can be used.
  - Please ensure that the security passwords you are using have not been cancelled or expired.
- For **submission security password**
- Please ensure that you are using the next unused submission security password in sequence. A submission security password may have been used for uploading and saving a document but not yet approved. Please check with your colleagues whether this is the case.
- For **approval security password**
- Please ensure that you are using the approval security password that corresponds with the submission security password that has been used to make the submission.

59. If I have saved a submission using a submission security password (the first half of a security password pair) but not approved the submission, can the next submission security password in sequence be used for further submissions?

Yes. You can use the next submission security password in sequence even though previous submissions may not yet be approved.

You can prepare many submissions on the e-Submission System without having to approve them. All these submissions will be given a "Pending Approval" status when saved. These submissions can then be approved, in any order, using the approval security password that matches the submission security password of the submission.



## SUBMISSION OF JOINT ANNOUNCEMENTS

60. If an issuer wishes to make an announcement with another issuer, do both issuers have to publish the announcement via the e-Submission System?

If both issuers belong to the same board (e.g. both are Main Board issuers or both are GEM Board issuers) then only one of the issuers needs to submit the announcement for publication. The issuer that makes the announcement (Issuer A) shall input the stock code of the other issuer (Issuer B) as a “Stock Code of Related Issuer(s)” when the submission details are entered into ESS (see question 44). In submitting the announcement on behalf of Issuer B, Issuer A must receive consent, preferably in writing, from Issuer B. Evidence supporting this consent must be made available to the HKEX upon request.

However, if the “Stock Code of Related Issuer(s)” field is not so completed or the two issuers belong to separate boards (i.e. one is a Main Board issuer and the other is a GEM issuer), each issuer must separately submit the document for publication.

If a non-listed company has published an announcement regarding a listed issuer on the HKEX website and inputs the listed issuer’s stock code as a “Stock Code of Related Issuer(s)”, the listed issuer is not required to publish the same announcement. However, the non-listed company may be required to receive consent from the listed issuer before using its stock code. If a non-listed company has failed to use the stock code of the issuer, the listed issuer may be required to publish an announcement informing the market of the information published by the non-listed company.

A listed issuer who is in any doubt as to the steps it should take should consult its case officer within the Listing Department.

## SUBMISSION OF LARGE FILES

61. Owing to the large size of annual report, it may be required to split into smaller sections for ease of access. Can I submit a full version of my annual report instead of the split annual report?

Main Board and GEM issuers can submit a single file (with bookmarks<sup>1</sup>) if the full version is less than 10MB<sup>2</sup> and 20MB<sup>2</sup> respectively. Otherwise, the issuer will be required to split any file that exceeds the upper limit into separate files, each containing logical sub-section within the specified limit, and upload all files in one submission. In the same submission, an issuer will also need to upload an Excel file as an index for the split files. For details, please refer to Appendix D of the User Manual for Publication Related Matters. This User Manual can be accessed via the link shown at the bottom of all e-Submission System website pages.

In addition to the split files, the issuer must submit a soft copy of the large file<sup>1</sup> full version (i.e. in one file) on a CD by mailing to the address below or by physical delivery to the collection box located at the address below as soon as possible after the split files have been submitted for publication through the e-Submission System:

Primary Market Information,  
Listing Department,  
Hong Kong Exchanges & Clearing Limited,  
11/F, Two Exchange Square,  
8 Connaught Place,  
Central,  
Hong Kong

(Please clearly write the words “Full Version [Document Name] for Publication” on the envelope for identification purposes.)

An issuer does not need to submit a soft copy of the large file full version on a CD to HKEX if the full version is below the upper limit and it has been submitted via the e-Submission System.

Note: <sup>1</sup> Large file full versions contained in a single file must include bookmarks to enable readers to navigate easily between chapters of the annual report. Guidelines on how to create bookmarks within a document (in PDF format) are set out in Appendix H of the User Manual for Publication-Related Matters.

Note: <sup>2</sup> Please note that files should not be submitted in a compressed format (e.g. as a “zip” file).

All of the above arrangements also apply to listing documents. For details, please refer to Appendix E of the User Manual for Publication Related Matters.

*1RWH 8SGDWHG RQ 2FWREHU*

62. If I upload multiple files and there is an interruption before all files have been uploaded, can I upload the remaining files in a subsequent submission?

No. Unfortunately, if the submission has not been saved before the interruption, the files that have been uploaded will not have been saved. Consequently, the issuer will have to upload all the files again as the previously uploaded files will not have been retained in the e-Submission System.

63. If I split a large document into separate files and upload each split file as a separate submission, will the split files be automatically amalgamated and published as one document on the HKEX website?

No, in this circumstance each submission will result in the publication of each separate split file separately on the HKEX website and will not result in the publication of a consolidated document. An issuer must upload all split files in one submission only and include with them an Excel index file. In this way the split files will all be published as a consolidated document on the HKEX website.

For instructions on how to upload separate sections of Annual Reports and Listing Documents in one submission please refer to Appendices D and E of the User Manual for Publication Related Matters. This User Manual can be accessed via the link at the bottom of all e-Submission System website pages.

## SUBMISSION OF MULTIPLE FILES

64. Can I make a submission that includes more than one English file and/or more than one Chinese file at the same time?

Yes. However this will result in more than one publication entry appearing on the HKEX website. These publication entries will look exactly the same. Consequently, a visitor to the HKEX website will not know which entry contains the file they wish to view.

We recommend that multiple files are submitted only if you wish to split up an Annual Report or Listing Document because it is too large to be submitted in one file (see question 61).

## SUBMISSIONS - GENERAL

65. Can the same person submit and approve the same document for publication?

No. Two separate persons (with different user IDs) are required. One person must login to the e-Submission System and submit a document and the other person must approve that submission.

However, a person who is the submitter of a particular document can assume the role of approver on a different subsequent submission (and vice versa).

HKEX has designed the e-Submission System to provide for the segregation of the role of submitter and approver. This is a basic internal control measure and also a standard feature of equivalent submission systems used in leading international markets.

An issuer must decide which of its employees should perform the role of submitter and which should perform the role of approver in line with the issuer's own internal control procedures.

66. If, as an issuer, I am submitting a document for publication do I need to complete the "Stock Code of Issuer" field?

No. The "Stock Code of Issuer" field should only be completed if you are submitting a document for publication as an agent acting on behalf of an issuer.

67. Is there any limitation on the length of the English and Chinese titles?

Yes. The maximum number of characters permitted is 500 and 250 for the English and Chinese news titles respectively.

68. Why does it take so long to upload my files?

Under normal circumstances, it should take less than 1 minute to upload a document of 10.0 megabytes in size onto the e-Submission System if you use an Internet connection with a 1 MB upload speed\* as recommended below. However, the amount of Internet traffic there is at the time when you connect to the e-Submission System and any of a number of other factors such as those mentioned below may affect performance.

There are a number of reasons why your document may take a longer time to upload. You should bear in mind the following:

- **Size of document:** The size of a document will affect the amount of time it will take to upload.

- **System Requirements:** It is advised to follow the system requirements stated below for uploading files via the e-Submission System:
  - Internet browser: Microsoft Internet Explorer 8, 9, 10 and 11 (e-Submission System cannot be accessed with any other Internet browser but these versions.)
  - Supported Chinese Character Set: Big5
  - Internet connection: Broadband (with upload connection speed of 1MB or above)

You may refer to the e-Submission User Manual for Publication Related Matters which can be accessed via the link shown at the bottom of all e-Submission website pages for the system requirements listed above. Please consult your IT Department for advice. For Operating System information please refer to Microsoft's website at: <http://windows.microsoft.com/en-US/windows/home>

- **Internet connection speed:** We recommend that you use a broadband connection to upload documents via the e-Submission System. The time it takes for you to upload a document will depend upon the upload speed (in megabytes per second) of your Internet connection and Internet traffic condition at the time of file upload. Please consult your IT Department or Internet service provider to find out the upload speed of your Internet connection and how it can be improved.

\* Please note that the upload speed of your Internet connection is different (and usually much lower) than the download speed of your Internet connection.

69. Can I save a submission for later approval?

Yes. Once you have inputted the submission details (with or without uploading document files), you can save the submission for later approval.

70. Can I amend a document that has been uploaded but not yet approved?

Yes. Although it is not possible for you to edit the uploaded document while it held in the e-Submission System, an uploaded document can be removed and replaced with an amended version of the document. This function is not available if a submission has already been approved.

71. How can I know if my documents have been submitted successfully?

After your submission has been approved successfully on the e-Submission System, the e-Submission System will display an acknowledgement page in which you can find a Submission Number for future reference. You can print this Acknowledgement page by clicking the "Print-Friendly" button on the page.

72. Is it possible to successfully submit a document via the e-Submission System only for it to be subsequently rejected prior to its publication on the HKEX website?

HKEX systems should not, for technical reasons, reject a submission prior to its release on the HKEX website if it has been successfully approved on the e-Submission System. However, if such an exception occurs HKEX will immediately contact the relevant issuer by telephone and may ask the issuer to re-submit the document after it rectifies the reason for its rejection.

Please note that a submission will not be rejected due to its textual content. HKEX will not vet announcements, notices or documents submitted via the e-Submission System prior to their publication. If an announcement requires pre-vetting by the Listing Department, an issuer must not submit that announcement for publication until clearance has been obtained.

73. How can I retrieve a past submission?

The e-Submission System is not designed to be a repository of submissions. However, the past 60 days of saved submissions and 30 days of approved submissions are displayed and accessible under the "View Submission History" option.

## SUBMISSIONS BY AN AGENT

74. Can an agent (e.g. legal adviser, financial adviser or printer) of an issuer submit documents for publication via the e-Submission System?

Yes. An agent can submit documents via the e-Submission System on behalf of an issuer for publication on the HKEX website. However, the agent must be a registered e-Submission System user.

The security passwords that must be used for submission of documents for publication via the e-Submission System will be issued by HKEX to issuers only. Therefore, an issuer must provide submission security passwords (the first half of the security password pair) to its agent in order for that agent to submit documents via e-Submission System. However, the issuer must at all times ensure that it has control over the use of its security passwords.

We would generally expect an issuer to approve a submission using its approval security password (the second half of the security password pair), even if the submission was made by an agent on the issuer's behalf.

In very limited and tightly controlled circumstances and depending on the nature of the contents of the document, an issuer may wish to provide both the submission and approval security password to an agent. This will enable the agent to make a submission and also approve it on the issuer's behalf. We accept that, in some circumstances, approval by an agent in this way may be the only pragmatic course of action.

75. As an agent submitting a document on behalf of a non-listed company (such as a Derivative Warrants issuer or one that needs to make a Takeovers Code announcement), what "Stock Code of Issuer" should I use?

HKEX will create a "Company Code" for companies that are not listed companies. This "Company Code" will be unique to a company. The "Company Code" will be issued by HKEX to a non-listed company upon registration along with usernames and passwords for its registered users.

An agent acting on behalf of the non-listed company should input this "Company Code" as the "Stock Code of Issuer" when making submissions via the e-Submission System. However, if a non-listed company is making a submission on its own behalf, it does not need to input a "Company Code" when making a submission for publication.

76. Does an agent need to maintain a "Related Stock Code List" for issuers that it represents?

No. As soon as the agent inputs the stock code of the issuer that it represents into the "Stock Code of Issuer" field, the e-Submission System will validate the related stock codes (if any) against the "Related Stock Code List" maintained by the represented issuer. If the stock codes entered into the "Stock Code of Issuer" field failed the related stock code validation, you should



first check the stock code you are supplying is correct. If it is a correct stock code, you should contact the issuer immediately for the issuer's e-Submission Administrator to update the "Related Stock Code List" accordingly.

## SUBMISSIONS BY NON-LISTED COMPANIES

77. If a company that is not listed in Hong Kong needs to make a regulatory announcement, for example, pursuant to the Takeovers Code, how can it submit the announcement via the e-Submission System?

The non-listed company should contact HKEX to obtain authorisation to become an e-Submission System registered company. The company must register as an e-Submission System user by completing the relevant application forms and following the procedures set out under the "About Registration" link shown on the left hand side of the e-Submission Welcome Page. The company must at all times comply with the relevant Terms and Conditions which are also available via the "About Registration" link. As the registration process will take at least a few days, such non-listed companies should apply for registration as soon as possible.

When the non-listed company is making an announcement under the Takeovers Code in relation to a listed company, the non-listed company must input that listed issuer's (target company) stock code into the "Stock Code of Related Issuer(s)" field in its submission to the e-Submission System. The non-listed company must obtain the target company's prior consent, preferably in writing, before submitting the announcement and inputting the target company's stock code into the "Stock Code of Related Issuer(s)" field. Listing Department may request for evidence supporting this consent.

If the target company fails to grant its consent the target company may be required to publish an announcement informing the market of the information published by the non-listed company. This will ensure that the announcement appears under the name of the listed issuer on the HKEX website.

In the case of non-listed offerors publishing documents under the Takeovers Code, HKEX will cancel the registration and security passwords when the relevant transaction is completed.

An issuer (that is not already listed in Hong Kong) of a listed debt product, or a derivative product must also register as an e-Submission System user and HKEX will issue appropriate passwords that will enable the issuer to submit documents electronically for publication on the HKEX website.

78. A non-listed company does not have a stock code. How can a non-listed company submit an announcement without a stock code?

Instead of a stock code, HKEX will create a unique "Company Code" for every non-listed company. We will issue this "Company Code" to the non-listed company upon its registration along with usernames and passwords for its registered users.

A non-listed company will not be required to input its "Company Code" into the e-Submission System if it submits an announcement for publication on its own behalf.

79. Can a non-listed company authorise an agent to submit and publish its announcement on its behalf?

Yes (see also question 75).

80. Will the target company be able to access an announcement submitted by a non-listed company prior to publication?

No. Prior to publication the non-listed company's announcement will only be accessible on the e-Submission System to the non-listed company and its agent, if an agent has made the submission for publication on the non-listed company's behalf.

## SUBMISSIONS BY STRUCTURED PRODUCT ISSUERS

81. When making a submission as (or on behalf of) a structured product, debt or CBBC/ELI issuer, do I need to enter a related stock code?

Yes. If you are a structured product, debt or CBBC/ELI issuer you must enter the stock code of at least one of your listed debt or structured products into the “Stock Code of Related Issuer(s)” field of the e-Submission System. If you do not enter a stock code into this field your submission will not be published under your issuer’s name on the HKEX website (see also question 44).

82. When making a submission, do I need to enter a related stock code for each individual derivative warrant/CBBC/ELI held by that issuer?

It will depend on the contents of your submission.

If the submission relates to all the products issued by the respective issuer, you should leave the field “Stock Code of Related Issuer” blank and simply add the issuer’s name at the beginning of the submission details title field (English and/or Chinese as appropriate).

However, if the submission relates to only one or some of the products, you are required to enter the stock code of each relevant product in the “Stock Code of Related Issuer” field. Please note that you can only enter up to 10 stock codes.

83. I represent a company that issues different types of listed structured products (e.g. Derivative Warrants and CBBC). Can I use the same Publication Related Matter user ID to submit documents relating to all types of stock held by the issuer?

No. An issuer of different types of listed structured products will be given two separate e-Submission System company accounts by HKEX. One company account will be for the purpose of making submissions that relate to the issuer’s Derivative Warrants and the second will be for the purpose of making submissions that relate to the issuer’s CBBCs and/or other stock type.

For issuers of Derivative Warrants, HKEX will create a “Company Code” that ends with an “S”. For issuers of CBBCs or other stock types, HKEX will create a “Company Code” that ends with a “Z”. The “Company Code” will be issued by HKEX to a structured product issuer along with user IDs and user passwords for its registered users.

An issuer should ensure that it uses a Publication Related Matter user ID that pertains to the appropriate structured product when logging into the e-Submission System.

When an issuer of different types of structured products is represented by an agent, the agent should enter the appropriate “Company Code” in the “Stock Code of Issuer” field within the e-Submission System.

## SUBMISSIONS MADE IN ERROR

### 84. I have made a mistake in my submission. What should I do?

If the document has been submitted but not yet been approved then you can correct your mistake yourself. You can amend the details of the submission (such as the headline categories and title) and, if necessary, remove an incorrectly submitted document and submit a correct version instead.

If your submission has been approved you can still amend the headlines of the submission within five calendar days of its publication.

If your submission has been approved (and therefore published on the HKEX website) and you need to correct something other than headline categories, you should contact immediately the Publication Related Matter hotline (+852 2840 3460).

If HKEX agrees that the publication should be cancelled and replaced, HKEX will prefix the published incorrect publication with the word "Cancelled and Re-issued". The contents of this publication will still be viewable on the HKEX website. HKEX will process such a correction without delay.

At the same time as this cancellation takes place the issuer should submit for publication a corrected version of the document through the e-Submission System. The issuer should prefix the English and Chinese titles of this submission with the word "(Revised)" (including brackets).

Please note that the Exchange considers publication of erroneous or misleading information a serious matter. An issuer that publishes such information may become the subject of disciplinary action under the Listing Rules.

*(Note: Updated on 26 October 2016)*

### 85. What is the procedure for replacing a published copy of a document with a revised version?

The issuer should make a written request to the Listing Department of HKEX to cancel the published document explaining the reason for the amendments and submit a revised copy through the e-Submission System. The cancelled document will remain available on the HKEX website to be viewed but HKEX will clearly mark this publication as having been "Cancelled and Re-issued". The issuer should include the word "Revised" in the free-text Title field (English and Chinese) when submitting the revised copy via the e-Submission System.

The cancellation of the published documents should happen only under rare circumstances, for example, where the soft copy posted on the HKEX websites is not the same version as the hard copy of the document delivered to shareholders.

TECHNICAL EQUIPMENT, CONFIGURATION & ONLINE SECURITY
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86. What configurations does an issuer need to be able to submit a document for publication?

We recommend the following configurations for accessing e-Submission System.

**Monitor:**

- Screen resolution of 1024 by 768 pixels

**Internet browser:**

- Microsoft Internet Explorer 8, 9, 10 and 11 (the e-Submission System cannot be accessed with any other Internet browser but these versions.)

**Chinese character set:**

- Supported Chinese Character Set: Big5

**Internet connection speed:**

- Broadband Internet connection (with upload speed of 1MB or above)

87. What should I do to minimise the risk of online fraud?

You should keep your user ID, user password and security passwords confidential and should not disclose them to any unauthorised third parties. HKEX will never ask users for such information by email, phone or in person.

You have to ensure that you are connected to a valid ESS website before keying in user ID and user password. Users should access their accounts by keying in the website address at the address bar of the browser, or bookmark the website and use that function to access their user accounts (see question 2). In addition, please note that HKEX will never ask users to access the ESS website by clicking hyperlinks in an email.

88. What should I do if I have received a suspicious email regarding ESS?

If you have received a suspicious email that contains an embedded hyperlink for accessing to the ESS, please report immediately to the Publication Related Matter hotline (+ 852 2840 3460).

TELEPHONE HOTLINE
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89. What is the Publication Related Matter Hotline Number?

The Publication Related Matter Hotline number is: +852 2840 3460. To assist us in improving our service to you, telephone calls may be recorded. If this is a concern, you should establish whether the call is being recorded at the start of the relevant call.

90. What are the Publication Related Matter hotline operating hours?

The hotline has the same operating hours as the e-Submission System, that is:

- 6.00 a.m. to 11.00 p.m. on Mondays to Fridays (business days only); and
- 6.00 p.m. to 8.00 p.m. on any non-business day immediately preceding a business day.

However, the Publication Related Matter hotline will close 15 minutes after a Typhoon Signal No. 8 is hoisted.

*(Note: Updated on 6 July 2017)*

91. What happens if all the lines on the Publication Related Matter hotline are busy?

We would ask that if you have an enquiry that you first consult these Operational FAQs to ascertain whether the answer you require is contained here. If you cannot find an answer in these FAQs we ask that you also refer to the quick reference guide and user manuals for assistance.

If the answer you require cannot be found in any of the above documentation, please call our Publication Related Matter hotline (+852 2840 3460). If all operators of the Publication Related Matter hotline are busy your call will be diverted to voicemail. We will reply to all voicemail messages as soon as possible.

*(Note: Updated in April 2016)*

92. Does the hotline provide IT technical support?

No. The hotline provides support on matters relating to the e-Submission System only. It does not provide support on matters arising from computer problems which an issuer may experience. The issuer will need to make its own arrangements in this regard.

## TIMING OF PUBLICATION

### 93. What are the publication windows?

A publication window is a period of the day when documents submitted through the e-Submission System are published immediately on the HKEX website. Subject to certain limited types of announcements that can be published at all times during the operational hours of the e-Submission System, the current publication windows applicable to the Announcements and Notices Tier 1 Headline Category are as follows:

On a normal business day:

- 6.00 a.m. to 8.30 a.m.
- 12.00 noon to 12.30 p.m.
- 4.30 p.m. to 11.00 p.m.

On the eves of Christmas, New Year and Lunar New Year when there is no afternoon session:

- 6.00 a.m. to 8.30 a.m.
- 12.30 p.m. to 11.00 p.m.

On a non-business day preceding a business day:

- 6.00 p.m. to 8.00 p.m.

The above times are submission deadlines for publication. A submission will be successful if approved at any time (up to and including the 59th second) prior to the deadline.

In order to enable HKEX to perform maintenance work on its systems, submissions for publication cannot be made via the e-Submission System at times other than its operational hours (see question 3).

Other documents, such as circulars and annual reports can be submitted during the operational hours of the e-Submission System and they will be published directly on the HKEX website. For these documents, we would recommend submission during trading hours so as to avoid the peak publication period.

*(Note: Updated on 25 July 2016)*

### 94. Which categories of announcements and notices can be published during trading hours (including lunchtime)?

All notices and documents which are not announcements (e.g. Annual Reports, Listing Documents, Circulars, Exchange Traded Fund NAV statements etc) can be published both during and outside of trading hours.

The following categories of announcements can be published during trading hours as well as outside trading hours:



- trading halt or suspension announcements;
- announcements that relate to clarification of news reports or unusual price/turnover movements (classified as “standard” or “super”); and
- overseas regulatory announcements;

All types of announcements can be published between 12.00 noon and 12.30 p.m. on a normal business day as well as outside trading hours.

95. Can any documents other than announcements be published during trading hours?

Yes. Documents other than announcements (e.g. annual reports, listing documents, circulars and Exchange Traded Fund NAV statements) can be submitted and published on the HKEX website during trading hours. Only announcements (with certain exceptions as set out in the Listing Rules) submitted for publication on the HKEX website cannot be published during trading hours.

To avoid peak publication times, which we anticipate to be between 4.30 p.m. to 11 p.m., we would recommend that documents that are not time critical (such as annual reports and circulars) be submitted via ESS for publication during trading hours.

*(Note: Updated on 25 July 2016)*

96. Are there special publication periods for the submission of annual reports or circulars for publication on the website?

No. There are special publication windows only for announcements. Documents such as annual reports and circulars can be submitted for publication at all times during the operational hours of e-Submission System; this includes trading hours.

HKEX would recommend the submission of documents other than announcements for publication on the website during trading hours rather than the peak evening publication window (i.e. between 4.30 p.m. and 11 p.m.) when announcements would tend to be published.

*(Note: Updated on 25 July 2016)*

97. Do I have to wait for an appropriate publication window before I can submit an announcement via the e-Submission System?

No. If an issuer submits an announcement for publication outside the appropriate publication windows, the announcement will be withheld from publication by the e-Submission System and will not be published until the next designated publication window. The issuer should not publish the announcement on its own website until it has been published on the HKEX website.

98. Can I place a document, notice or announcement under “embargo” for automatic release at a later time?

No. An “embargo” facility allows an issuer to set an exact date and time for the publication of an announcement, notice or document it has submitted. That announcement, notice or document would then be held for publication until the embargo date and time was reached. When the embargo date and time is reached the announcement, notice or document would be published automatically.

An embargo facility is not available in the e-Submission System. The current existence of publication windows makes embargos very difficult to administrate. HKEX may consider offering an embargo facility as we move towards a regime where all announcements and notices can be published during trading hours.

99. When I submit a document for publication during a straight through period, how long will it take for my submission, once approved, to be displayed on HKEX Website?

Once the submission has been approved and the approval confirmation is displayed on the e-Submission System, a submitted document of average file size (i.e. approximately 500KB) should be published on the HKEX website in approximately 1 minute during a “straight through period”. During peak periods or in the case of larger documents, publication may take longer.

After submitting information for publication via the e-Submission System, it is best practice for an issuer to always ensure that a submission has actually been published.

100. How can I know if my documents have been published on the HKEX website successfully?

After your documents have been published on the HKEX website, the e-Submission System will send an e-mail notification to the primary authorised person of the issuer, the submitter and the approver of the document. This email notification contains hyperlinks which, if clicked on, will take you directly to the English and Chinese documents (if both language versions are submitted at the same time) as published on the Latest Listed Company Information section of the HKEXnews website or the Latest Company Announcement section of GEM website, as appropriate. Likewise, a similar email notification will be sent to the primary authorised person of the issuer, the submitter and the approver when an amendment to headline categories has been made and published on the HKEX website.

Alternatively, you can check on the HKEX website whether your documents have been published.

101. Why has my submission of an announcement not yet been published on the HKEX website?

The most common reason for your submission of an announcement not being published on the HKEX website is because it was not submitted during one of the designated publication windows. In such cases, your announcement will be published during the next straight through period.

The e-Submission System will publish approved submissions on a batch basis. The batched process of publication is scheduled to run once every minute. To ensure that there is even

dissemination of information, before an issuer publishes a document on its own website, it is best practice for that issuer to first ensure that a submission via the e-Submission System has been published.