



e-Submission System Quick Reference Guide

For

Publication Related Matters

August 2019

Table of Contents

1	THINGS TO HAVE READY	4
2	LOGGING INTO THE E-SUBMISSION SYSTEM.....	5
2.1	ENTERING USER ID AND USER PASSWORD.....	5
2.2	ACCEPTANCE OF DISCLAIMER PAGE	5
2.3	SELECTION OF FUNCTIONS IN MAIN MENU.....	5
3	SUBMISSION AND APPROVAL OF FILES IN SINGLE SESSION	6
3.1	LOG ONTO THE SYSTEM	6
3.2	ENTRY OF SUBMISSION DETAILS	6
3.3	SUBMISSION PREVIEW	6
3.4	UPLOADING A FILE	6
3.5	APPROVING SUBMISSION.....	6
3.6	ACKNOWLEDGEMENT	6
4	RETRIEVING PREVIOUSLY SAVED SUBMISSION FOR EDITING	7
4.1	LOG ONTO THE SYSTEM	7
4.2	SUBMISSION HISTORY.....	7
4.3	SUBMISSION HISTORY - RETRIEVAL	7
4.4	EDIT SUBMISSION DETAILS.....	7
4.5	SUBMISSION PREVIEW	7
4.6	UPLOADING A FILE	7
4.7	ACKNOWLEDGEMENT	8
5	RETRIEVING PREVIOUSLY SAVED SUBMISSION FOR APPROVAL	9
5.1	LOG ONTO THE SYSTEM	9
5.2	SUBMISSION HISTORY.....	9
5.3	SUBMISSION HISTORY - RETRIEVAL	9
5.4	APPROVING SUBMISSION.....	9
5.5	ACKNOWLEDGEMENT	9
6	CORRECTION OF HEADLINE CATEGORY ON PUBLISHED SUBMISSION IN SINGLE SESSION	10
6.1	LOG ONTO THE SYSTEM	10
6.2	SUBMISSION HISTORY.....	10
6.3	CORRECT OF HEADLINE CATEGORIES OF PUBLISHED SUBMISSION	10
6.4	SUBMISSION PREVIEW	10
6.5	APPROVING HEADLINE CATEGORY CORRECTION.....	10
6.6	SUBMISSION FOR PUBLICATION - ACKNOWLEDGEMENT	10
7	APPROVAL OF HEADLINE CATEGORY CORRECTION ON PUBLISHED SUBMISSION	11
7.1	LOG ONTO THE SYSTEM	11
7.2	SUBMISSION HISTORY.....	11
7.3	SUBMISSION HISTORY - RETRIEVAL	11
7.4	APPROVAL OF HEADLINE CATEGORY CORRECTION OF PUBLISHED SUBMISSION	11
7.5	APPROVAL OF HEADLINE CATEGORY CORRECTION OF PUBLISHED SUBMISSION – ACKNOWLEDGEMENT	11
8	DOWNLOAD DOCUMENT TEMPLATE.....	12
8.1	LOG ONTO THE SYSTEM	12
8.2	DOWNLOAD TEMPLATE	12
9	EDITING COMPANY / USER PROFILE AND CHANGING USER PASSWORD.....	13
9.1	LOG ONTO THE SYSTEM	13

9.2 VIEW COMPANY DETAILS.....13

9.3 UPDATE PROFILE13

9.4 CHANGE YOUR PASSWORD.....13

10 LOGGING OUT OF THE SYSTEM.....14

1 Things to have ready

1. Submitter / Approver User ID and User Password – used to log onto the system itself.
2. Security Passwords (Submission & Approval Password pair) – a list of these passwords will have been issued to you (if you are an issuer) by the Exchange in a sealed envelope.
3. Headline Categories – one or more categories from the Exchange's list of standard headlines.
4. News Title (in English and Chinese).
5. File(s) to be uploaded (the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”). The total file name length must not exceed 100 characters.

2 Logging into the e-Submission System

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

HKEX
香港交易所

e-Submission System

The Stock Exchange of Hong Kong Limited
(A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)

02:38:10 (Tue)
May 05, 2016 Thursday 16:04

User ID:
Password:

[About Registration](#)
[Forgot Password](#)

Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offenders.

Welcome to the e-Submission System.

WHAT'S NEW

With effect from 7 September 2014, the e-Submission system will validate the "Stock Code of Related Issuers" field based on the issuer-maintained "Related Stock Code List". For instructions on how to maintain the "Related Stock Code List", please refer to the Administrator & Security Officer's User Manual.

FOR THE ATTENTION OF USERS OF IE11

In Internet Explorer 11, the "AutoComplete" function of remembering and filling User ID and Password in online forms is set on by default. For protecting your privacy and ensuring proper publication of information submitted through ESS, users MUST turn off the "AutoComplete" function and delete the "AutoComplete" history on a PC by following the steps below.

- Select "Tools" and then click "Internet Options"
- Select "Content" Tag and then click "Settings" under "AutoComplete"
- Turn off "User names and passwords on forms" and click "Delete AutoComplete history"
- Click "OK" to save the change

(Note: The IE version will be displayed on screen after selecting "Help" and then "About Internet Explorer".)

The publication windows for Issuers' announcements are as follows:

- On a normal business day:

[Terms & Conditions](#) [Site Map](#) [Contact Us](#)

2.1 Entering User ID and User Password

- Enter the Logon User ID and User Password. Click LOGIN.

2.2 Acceptance of Disclaimer Page

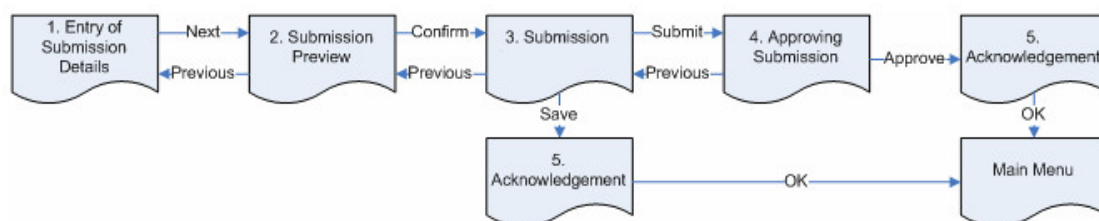
- A Disclaimer page will be displayed. Read the Disclaimer and click ACCEPT and ENTER to continue.

2.3 Selection of Functions in Main Menu

- The Main Page will be displayed with the Main Menu on the top of the page. Select the required function to proceed.

3 Submission and Approval of Files in Single Session

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



3.1 Log onto the system

- a) Refer to Section 2.

3.2 Entry of Submission Details

- a) Select SUBMISSION FOR PUBLICATION from the MAIN MENU bar.
- b) Enter the submission details, including the Submission Security Password (first half of Submission & Approval Password pair), Headlines Categories, News Title(s) etc. on the General Submission form. **Please note that all data you input must be in English, except for the field “Title (Chinese)”**.
- c) Click NEXT.
- d) Review the name(s) of the equity issuer(s) of the corresponding stock code(s) entered into the “Related Stock Code” fields. Click OK to continue the submission or click CANCEL to edit the submission details.

3.3 Submission Preview

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

3.4 Uploading a file

- a) Click BROWSE to select the file to be uploaded. Then click “UPLOAD”. The filename will be displayed in the table “List of Files Pending Approval”. Repeat for all the files to be uploaded.

For dual language submissions the name of the English Language file must start with the letter “e” and the name of the Chinese Language file must start with the letter “c”.

- b) After you have finished uploading the files, you can complete the approval process immediately by clicking SUBMIT to proceed to the Approve Submission page.

Alternatively, you can save the submission (with or without uploading the files) for later editing or approval by clicking SAVE (see “Retrieving Previously Saved Files for Editing” or “Retrieving Previously Saved Files for Approval” below). You will be shown an acknowledgement and a Submission Number will be displayed. **You should note the Submission Number for future reference.** Click OK and you will be taken back to the Main Menu.

3.5 Approving Submission

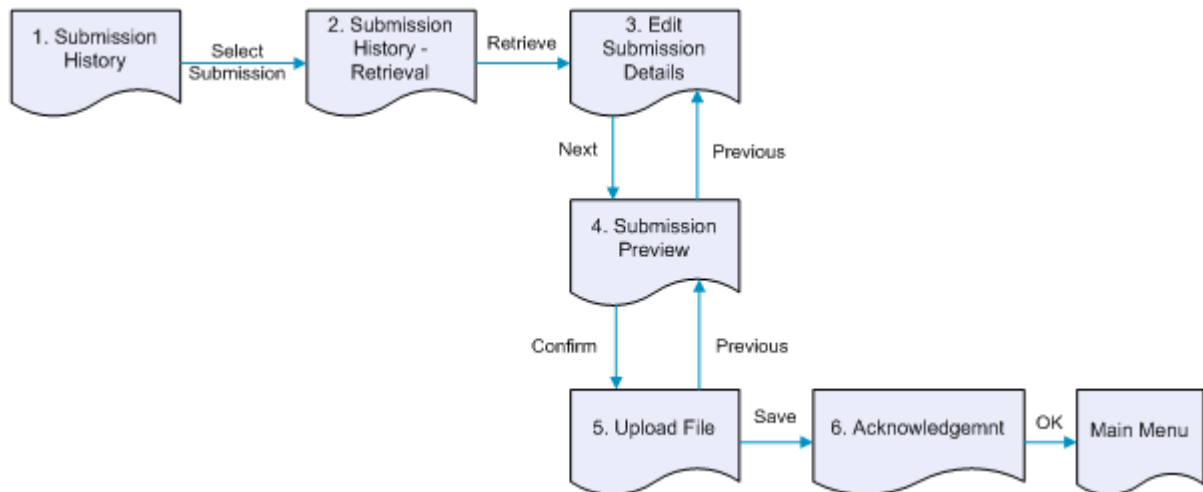
- a) Review the Submission Details.
- b) Enter the Approver User ID and Approval User Password; enter the Approval Security Password (the second half of the Submission & Approval Security Password pair). **Please note that the approver must not be the same person as the submitter.**
- c) Click APPROVE.

3.6 Acknowledgement

- a) If the approval and submission have been successful a Submission Number will be displayed. **You should note the Submission Number for future reference.**
- b) Click OK and you will be taken back to the Main Menu.

4 Retrieving Previously Saved Submission for Editing

The following flow of events assumes that retrieval for editing is performed by the same person who originally made the submission.



4.1 Log onto the system

- a) Refer to Section 2.

4.2 Submission History

- a) Select SUBMISSION MANAGEMENT from the MAIN MENU bar and choose "View Submission History" from the drop down list.
- b) On the Submission History page, search for and select the saved submission by clicking the appropriate Submission Number.

4.3 Submission History - Retrieval

- a) Enter the Submission Security Password (i.e. the Submission Security Password used to upload the files) and click RETRIEVE.

4.4 Edit Submission Details

- a) Edit the submission details as appropriate, including the Headline Categories, News Title(s) etc. **Please note that all data you input must be in English, except for the field "Title (Chinese)"**
- b) Click NEXT.

4.5 Submission Preview

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

4.6 Uploading a file

- a) If you do not want to upload new file(s) or do not need to replace the previously uploaded file(s), click SAVE.
- b) If you need to replace the previously uploaded file(s), click REMOVE beside the uploaded files to be replaced. Repeat for all the files to be replaced.
- c) If you want to upload news files, click BROWSE to select the file to be uploaded. Then click "UPLOAD". The filename will be displayed in the table "List of Files Pending Approval". Repeat for all the files to be uploaded.

For dual language submissions the English Language filename must start with the letter "e" and the Chinese Language filename must start with the letter "c".

- d) After you have finished uploading the files, click SAVE.

4.7 Acknowledgement

- a) If the edit has been successful the original Submission Number will be displayed again.
- b) Click OK and you will be taken back to the Main Menu.

5 Retrieving Previously Saved Submission for Approval



5.1 Log onto the system

- Refer to Section 2. **Please note that you must log onto the system as the approver not as the submitter.**

5.2 Submission History

- Select SUBMISSION MANAGEMENT from the MAIN MENU bar and choose "View Submission History" from the drop down list.
- On the Submission History page, search for and select the saved submission by clicking the appropriate Submission Number.

5.3 Submission History - Retrieval

- Enter the Submission Security Password (i.e. the Submission Security Password used to upload the files) and click RETRIEVE.

5.4 Approving Submission

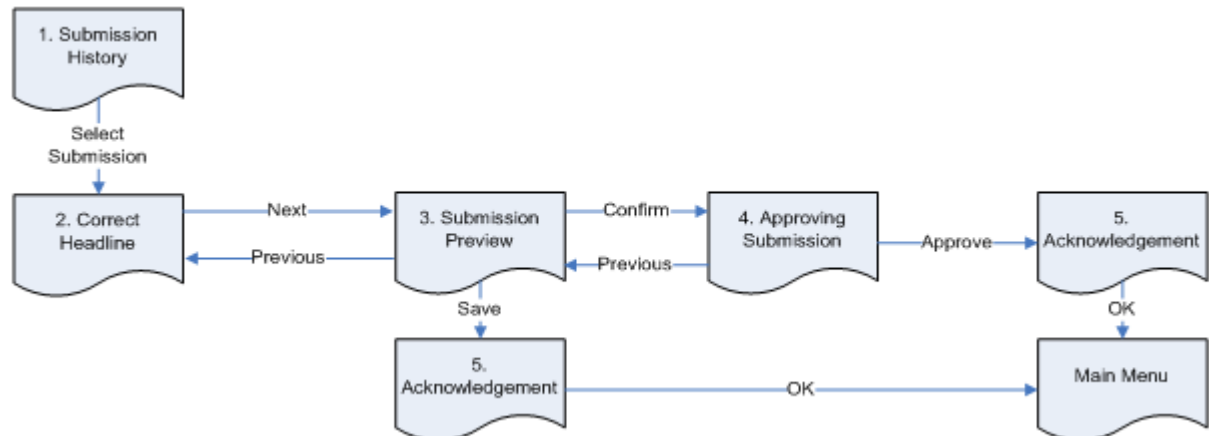
- Review the Submission Details.
- Check all file(s) have been uploaded.
- Enter the Approver User ID and Approver User Password. You must also enter the Approval Security Password (the second half of the Submission & Approval Security Password pair). Click APPROVE.

5.5 Acknowledgement

- If the approval and submission have been successful, the original Submission Number will be displayed again.
- Click OK and you will be taken back to the Main Menu.

6 Correction of Headline Category on Published Submission in Single Session

If the published document is found with incorrect headline(s), you may correct the headline as appropriate. Please note that you may only correct the headline once within 5 calendar days. A new pair of security passwords is required to correct headline(s) on a submission.



6.1 Log onto the system

- a) Refer to Section 2.

6.2 Submission History

- a) Select SUBMISSION MANAGEMENT from the MAIN MENU bar and choose "View Submission History" from the drop down list.
- b) On the Submission History page, search for and select the published submission by clicking the appropriate Submission Number.

6.3 Correct of Headline Categories of Published Submission

- a) Enter a **new** Submission Security Password (the first half of the new Submission & Approval Security Password pair) into the Submission Password field. The new Submission Security Password must be the next unused one in the sequence of Security Password pairs.
- b) Select the appropriate Tier 1 and / or Tier 2 Headline Categories. Ensure the Headline Categories are in the correct order of priority and click NEXT.

6.4 Submission Preview

- a) Review the Headline Categories and News Title(s).
- b) You can complete the approval process immediately by clicking CONFIRM to proceed to the Approval of Headline Category Correction page.

Alternatively, you can save the correction for later approval by clicking SAVE (see "Approval of Headline Category Correction on Published Document" below). You will be shown an acknowledgement. Click OK and you will be taken back to the Main Menu.

6.5 Approving Headline Category Correction

- a) Review the Headline Category Correction Details.
- b) Enter the Approver User ID and Approval User Password; enter a **new** Approval Security Password (the second half of the new Submission & Approval Security Password pair). Click APPROVE.

6.6 Submission For Publication - Acknowledgement

- a) If the approval has been successful the Submission Details including the original Submission Number will be displayed again for future reference.
- b) Click OK and you will be taken back to the Main Menu.

7 Approval of Headline Category Correction on Published Submission



7.1 Log onto the system

- a) Refer to Section 2. **Please note that you must log onto the system as the approver not as the person who made the correction.**

7.2 Submission History

- a) Select SUBMISSION MANAGEMENT from the MAIN MENU bar and choose "View Submission History" from the drop down list.
- b) On the Submission History page, search for and select the appropriate published submission by clicking the appropriate Submission Number.

7.3 Submission History - Retrieval

- a) Enter the Submission Security Password used to make the headline category correction and click RETRIEVE.

7.4 Approval of Headline Category Correction of Published Submission

- a) Review the Headline Category Correction Details.
- b) Enter the Approver User ID and Approver User Password. You must also enter the **new** Approval Security Password (the second half of the new Submission & Approval Security Password pair). Click APPROVE.

7.5 Approval of Headline Category Correction of Published Submission - Acknowledgement

- a) If the approval has been successful, the Submission Details including the original Submission Number will be displayed again for future reference.
- b) Click OK and you will be taken back to the Main Menu.

8 Download Document Template

8.1 Log onto the system

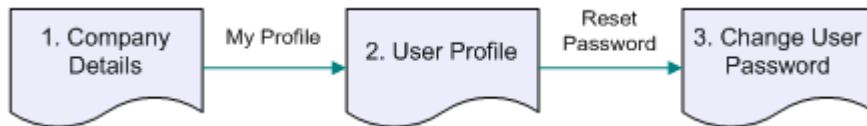
- a) Refer to Section 2.

8.2 Download Template

- a) Select DOWNLOAD DOC TEMPLATE from the main menu. A list of templates for downloading will be displayed.
- b) Choose the appropriate template. At the file link, right click and select SAVE TARGET AS...
- c) Specify the file name and desired folder.
- d) Click SAVE. After the file is downloaded successfully, the Download Complete dialog box appears. The file will be stored in the selected location.
- e) Click CLOSE and you will be taken back to the Main Menu.

Alternatively, you may click on the file link. A new window will be opened to display the file content automatically. Select the SAVE AS option under the FILE menu to save the file to the desired location.

9 Editing Company / User Profile and Changing User Password



9.1 Log onto the system

- a) Refer to Section 2.

9.2 View Company Details

- a) Select ADMIN from MAIN MENU bar. Then select PROFILE ADMIN from the SUB-MENU.
- b) The Company Details page will be displayed. The data on this page will be greyed out. This is because only your company's ESS Administrator can edit your Company Details.

9.3 Update Profile

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

9.4 Change Your Password

- a) On the User Profile page, click CHANGE USER PASSWORD.
- b) Enter your current User Password.
- c) Enter a new User Password and retype to confirm your choice.

Your User Password must consist of 6 to 10 characters (numerals and/or English characters). Your User Password should not be the same as your current User Password or the last three User Passwords you have used before.

- d) Click SAVE. If there are no errors, a message will be displayed informing you that your password has been changed successfully.

10 Logging out of the System

To log out of the system, select LOGOUT in the Main Menu. The e-Submission System Main Page will be displayed. You may close the browser.