

Listed company information dissemination and related trading arrangements in the event of interruption to the ~~HKE~~~~x~~~~HKEX~~ news website service or its information dissemination system (Last Updated on 25 July 2016)

Contingency arrangements for listed companies

I. Introduction

1. This document sets out procedures listed companies intending to publish regulatory documents should follow during disruption to the ~~HKE~~~~x~~~~HKEX~~ news website or to the ~~HKE~~~~x~~~~HKEX~~ information dissemination system. It should be read together with the ~~HKE~~~~x~~~~HKEX~~'s news release published on 20 December 2011.
2. We will first inform the public of any system disruption by news release to the media. We will then circulate the news releases to listed companies by email.

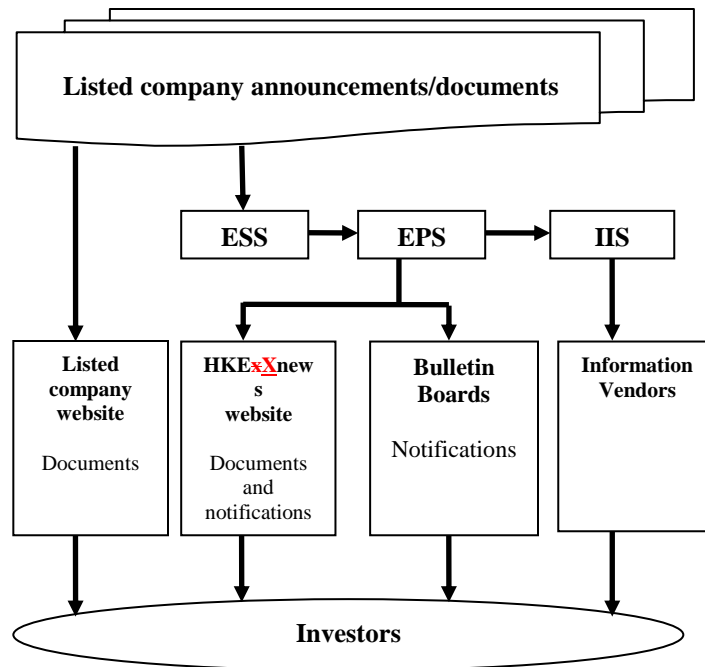
II. ~~HKE~~~~x~~~~HKEX~~ news dissemination systems and disruption implications

(a) General

3. During normal circumstances, a listed company submits a regulatory filing to the Electronic Submission System (ESS). The Electronic Publication System (EPS) publishes the document on the ~~HKE~~~~x~~~~HKEX~~ news website and a notification on the bulletin boards, and sends the data via the Issuer Information Feed System (IIS) to external information services providers. In addition, the listed company also publishes a copy of the same document on its own website.
4. The publication windows outside of trading hours are: between 4:~~30~~~~45~~ p.m. to 11:00 p.m., 6:00 a.m. to 8:30 a.m. and 12:00 noon to ~~12:30~~~~00~~ p.m.⁺ on a normal business day, and between 6:00 p.m. to 8:00 p.m. on a public holiday immediately before a business day.

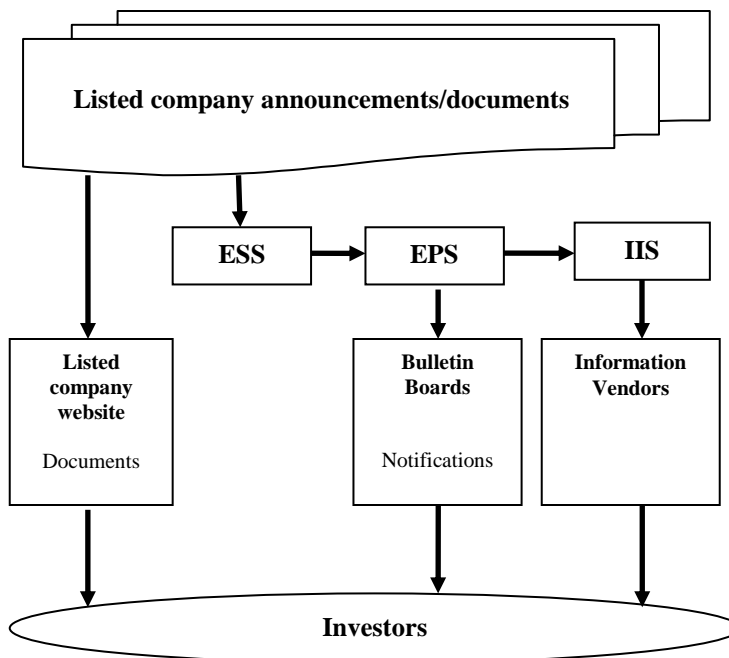
⁺ ~~12.30 p.m. with effect from 5 March 2012~~

5. The following illustrates the information flow.



(b) ~~HKE~~HKEX news website disruption

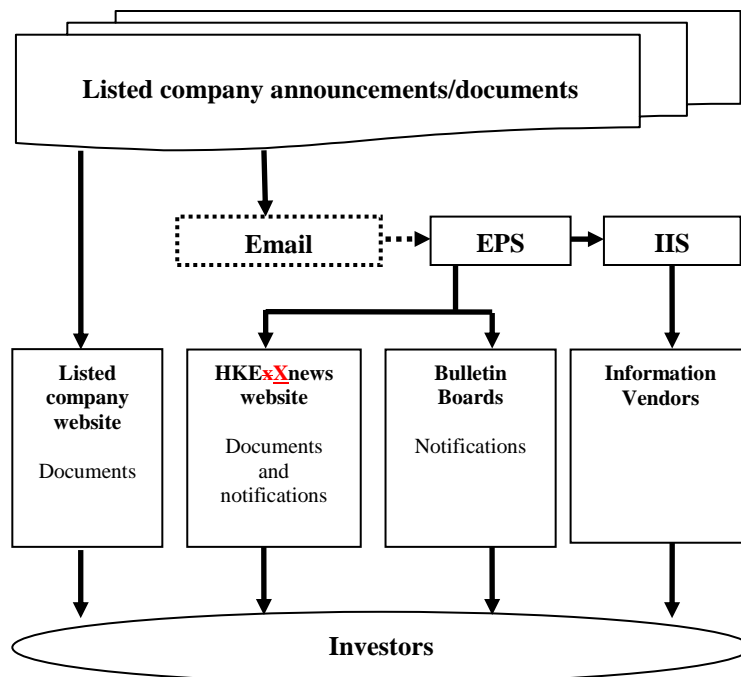
6. If services to the ~~HKE~~HKEX news website are interrupted, we will (i) post notifications of documents published by listed companies on their own websites on the bulletin boards (or the New Board); and (ii) ask investors to visit listed companies' websites to view the documents.
7. While you may continue to submit documents for publication via ESS, you will not receive the message confirming publication of submitted documents.
8. The following illustrates the information flow.



9. You should do the following:
 - (a) Continue to use ESS to submit a document;
 - (b) Follow instructions in paragraphs 22 to 25 for Publication of documents on the listed company's website;
 - (c) Follow instructions in paragraphs 26 to 27 for Posting of notifications on the bulletin boards or New Board;
 - (d) Follow instructions in paragraphs 28 to 30 for Trading suspension and resumption; and
 - (e) Contact our case officer after submission of the document.

(c) *Esubmission (ESS) disruption*

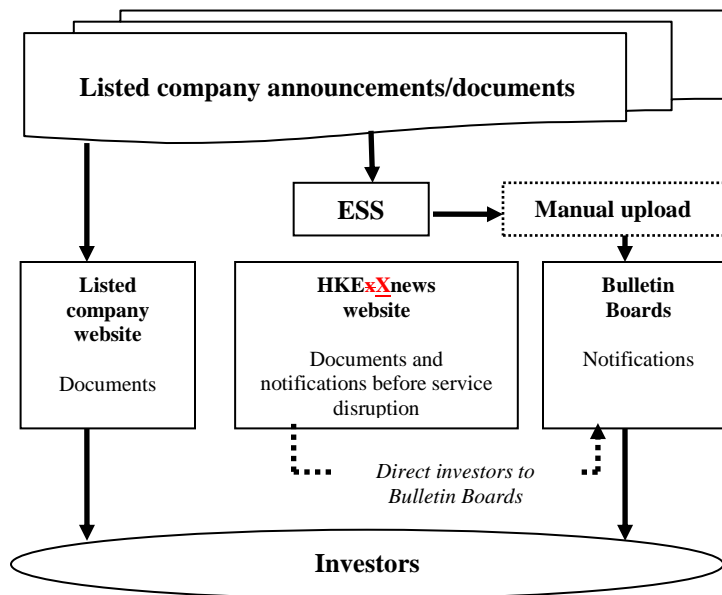
10. If the ESS is disrupted, you should submit documents to us via email for publication on the ~~HKE~~~~X~~news website. The ~~HKE~~~~X~~news website will continue to function and investors can rely on this website for notifications and full texts of the documents.
11. Because the normal submission channel is disrupted, if you delay submission of announcement to us you may be required to suspend trading in your securities until the announcement is published. Under the current suspension policy if a company has price sensitive information and is unable to announce this information to the market, it must suspend trading in its securities until this information is announced.
12. The following illustrates the information flow.



13. You should do the following:
 - (a) Follow instructions in paragraphs 19 to 21 for Document submission;
 - (b) Check publication on the ~~HKE~~~~X~~news website after the email submission, and consider if suspension is required for the next trading session if any price sensitive information announcement is not published before the publication window closes;
 - (c) Publish the documents on your own website in the normal manner. In other words, you should wait and publish the announcement on your website after it is published on the ~~HKE~~~~X~~news website;
 - (d) Follow instructions in paragraphs 28 to 30 for Trading suspension and resumption; and
 - (e) Contact our case officer after submission of the document.

(d) Epublication (EPS) disruption

14. If the EPS is disrupted, we cannot post documents submitted by listed companies on the ~~HKE~~~~X~~news website. We will (i) post notifications of documents published by listed companies on their own websites on the bulletin boards (or the New Board); and (ii) ask investors to visit listed companies' websites to view the documents. In addition, the ~~HKE~~~~X~~news website will continue to carry documents posted before the system disruption.
15. While you may continue to submit documents for publication via ESS, you will not receive the message confirming publication of submitted documents.
16. The following illustrates the information flow.



17. You should do the following:
 - (a) Continue to use ESS to submit a document;
 - (b) Follow instructions in paragraphs 22 to 25 for Publication of documents on the listed company's website;
 - (c) Follow instructions in paragraphs 26 to 27 for Posting of notifications on the bulletin board
 - (d) Follow instructions in paragraphs 28 to 30 for Trading suspension and resumption; and
 - (e) Contact our case officer after submission of the document.

(e) *Multiple system disruption*

18. If more than one of the ~~HKE~~~~HKEX~~ news website, EPS or ESS are disrupted, you should follow instructions applicable to each of the disruptions described above.

III. Contingency Procedures

(a) *Document submission*

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

<i>Compliance & Monitoring Team Number</i>	<i>Email address</i>
Team 1	contingency.cmt1@listing-hkex.com
Team 2	contingency.cmt2@listing-hkex.com
Team 3	contingency.cmt3@listing-hkex.com
Team 4	contingency.cmt4@listing-hkex.com
Team 5	contingency.cmt5@listing-hkex.com
Team 6	contingency.cmt6@listing-hkex.com
Team 7	contingency.cmt7@listing-hkex.com
Team 8	contingency.cmt8@listing-hkex.com
Team 9	contingency.cmt9@listing-hkex.com
Team 10	contingency.cmt10@listing-hkex.com
Team 11	contingency.cmt11@listing-hkex.com
Team 12	contingency.cmt12@listing-hkex.com
Team 13	contingency.cmt13@listing-hkex.com
Team 14	contingency.cmt14@listing-hkex.com
Team 15	contingency.cmt15@listing-hkex.com
Team 16	contingency.cmt16@listing-hkex.com
Team 17	contingency.cmt17@listing-hkex.com
Team 18	contingency.cmt18@listing-hkex.com
Team 19	contingency.cmt19@listing-hkex.com
Team [x]	contingency.cmt[x]@listing-hkex.com

20. You should e-mail both English and Chinese versions of the document and a completed excel spreadsheet (*see Appendix A, a soft copy of which is available at <http://www.hkex.com.hk/eng/rulesreg/listrules/listadmin/documents/ddocpub.xls>*) containing the following information to our e-mail address. You should use this excel spreadsheet so that the information may be auto-collated for publication on the ~~HKE~~~~HKEX~~ news website.

- (a) Tier 1 Headline Categories (in English and Chinese);
- (b) Tier 2 Headline Categories (in English and Chinese);
- (c) Title of Document (as appears in the document and in English and Chinese) (*together with (a) and (b), the **Headlines & Titles***); and
- (d) Name and position of the contact person of the listed company (preferably the authorized representative) and telephone number. This person should be contactable

at all times.

21. If the submitted document is a price sensitive information announcement, our case officers will contact you for authentication before we publish the document.

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

22. If the ~~HKE~~HKEX news website or the EPS is disrupted, you should:
 - (a) first submit the documents to ~~HKE~~HKEX (via ESS or if ESS is disrupted, email); and
 - (b) immediately thereafter, publish the document on your own website, but within the normal publication windows time period.
23. Because of system disruption, ~~HKE~~HKEX publication of the notification may be delayed. It is possible that your document would be posted on your website before we post a notification on the bulletin boards. **The normal practice where documents must be posted on the ~~HKE~~HKEX news website first would not apply.** If the announcement contains price sensitive information and we are unable to post the notification, trading in your securities would need to be suspended.
24. Conversely, if we have published the notification on the bulletin boards but you have not published the price sensitive information announcement (except for results announcement) on your website before the end of the publication window, trading in your securities would also be suspended. During suspension, you may publish the price sensitive information announcement on your website outside the publication window. **This deviates from the normal practice where price sensitive information should not be published during trading hours.**
25. Except for the situation described in paragraph 24, you should only post documents on your own website during the time periods the publication windows are opened as set out the Listing Rules. Only certain types of documents can be posted during trading hours (see Main Board Rule 2.07C(4)(a) or GEM Rule 16.18(3)(a)).

(c) Posting of notifications on the bulletin boards or New Board

26. You should verify your website hyperlink addresses and notifications posted on the bulletin boards or New Board and inform our case officer if the address or information is incorrect.
27. If you have price sensitive information announcements (including results announcements) to publish but your website is not accessible via the published website hyperlink address for any reasons, you should contact our case officer to discuss trading suspension.

(d) Trading suspension and resumption

28. Please refer to the ~~HKE~~~~HKEX~~'s new release published on 20 December 2011 for the suspension policy during the information dissemination system disruption.
29. We will suspend or resume trading in securities based on the information published on your website and on the ~~HKE~~~~HKEX~~news website / bulletin boards. We will endeavor to contact you before the suspension or resumption takes place. A suspension or resumption request is not necessary in these circumstances.
30. In all cases, we will inform the market of the securities to be suspended and resumed through the ~~HKE~~~~HKEX~~news website / bulletin boards before each trading session opens. You should also post this information on your website for the benefit of investors. Appendix B contains suggested wording for suspension and resumption announcements /press releases under the contingency arrangements, a soft copy of which is available at <http://www.hkex.com.hk/eng/rulesreg/listrules/listadmin/documents/susrescon.pdf>.

(e) Contact ~~HKE~~~~HKEX~~ officers

31. Your authorized representative must contact our case officer when:
 - (a) you have submitted any document to ~~HKE~~~~HKEX~~ for publication after system disruption;
 - (b) you have published price-sensitive information announcement on your website after the system disruption;
 - (c) you found problems with your website hyperlink address or information posted on the ~~HKE~~~~HKEX~~news website/ bulletin boards;
 - (d) you encounter a problem posting documents on your website; or
 - (e) you need to discuss trading suspension / resumption arrangement.
32. If the ESS is disrupted, our case officer will contact your authorized representative to confirm the authenticity of documents submitted via e-mail before publication on the ~~HKE~~~~HKEX~~news website / bulletin boards. Please make sure the authorized representatives are contactable at all times to avoid unnecessary delay.
33. You do not need to contact our case officer if you have submitted a document through ESS and the document was published on the ~~HKE~~~~HKEX~~news website before the system disruption.

(f) Reactivation of the ESS

34. After the ESS resumes services, you do not need to re-submit via ESS any documents which were submitted to us by email during the system disruption.

