



e-Submission System
Quick Reference Guide
For
Listing Related Matters

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1 Things to have ready

1. Your User ID, User Password and Security Token for generating the One-Time Passcode – for logging into the system.
2. Files and/or a completed e-Form for submission to Exchange's Listing Division. The filename should be written in alphanumeric characters and the length of the filename (including file extension) must not exceed 200 characters.

2 First-time login to e-Submission System

Before you logon to the ESS website, you should download the software token application “SafeNet MobilePASS+” on your mobile device from App Store or Google Play. You will set up your security token when you login to the e-Submission System (ESS).

2.1 User Activation via Software Token (MobilePASS+)

- a) Go to the e-Submission System website <https://www1.esubmission.hkex.com.hk>. On the login page, input your User ID. The User Activation page will be displayed.

User Activation Page (Software Token)

The screenshot shows the 'e-Submission System' user activation page. At the top left is the HKEX logo. The page title is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. A note indicates that an asterisk (*) denotes mandatory fields. The form includes the following fields and buttons:

- User ID:** A text input field with 'ESSUserID' as a placeholder.
- User Registered Email Address:** A text input field with 'User Registered Email Address' as a placeholder.
- New Password:** A text input field with 'New Password' as a placeholder. Below it, a note states: '(User password is case-sensitive, a combination of letters (both upper & lower case) and number (0-9) and between 8 and 15 characters.)'
- Confirm New Password:** A text input field with 'Confirm New Password' as a placeholder.
- One-Time Password:** A text input field with 'ONE-TIME PASSWORD' as a placeholder. To its right is a 'Request' button and a link 'Example >>'.

At the bottom of the form are 'Next' and 'Cancel' buttons. The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

- b) Fill in your Registered Email Address.
- c) Set up your User Password¹ by entering a new password and re-enter the new password.
- d) Click REQUEST to obtain a One-Time Password. The One-Time Password will be sent to your registered mobile phone number via SMS.
- e) Input One-Time Password. Click NEXT. A system generated QR Code will be displayed.

¹ User password is case-sensitive, between 8 to 15 characters long and a combination of letters (both upper & lower case) and number (0-9).

Set up the security token with system generated QR Code

The screenshot shows the user activation interface. At the top left is the HKEX logo. The main heading is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. Below this, there is a 'User ID' field containing 'ESSUserID'. A note indicates that an asterisk denotes mandatory fields. The instructions state: 'Launch the mobile app "SafeNet MobilePASS+" in your mobile device and scan the QR Code below.' A large QR code is centered on the page. Below the QR code, a message states: 'The QR Code will expire after 20/02/2021 at 12:33 (HK Time). You will then be redirected to the e-Submission System automatically to restart the user activation.' There is a 'One-Time Passcode (OTP)' field with an 'Example >>' link. Below this is a prompt: 'Enter the Passcode from your token'. At the bottom of the form are 'Activate' and 'Cancel' buttons. The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

- f) Scan the QR Code² by using your mobile app “SafeNet MobilePASS+”.
- g) Follow the on-screens instructions to set up the security.
- h) Input the One-Time Password generated from your security token. Click ACTIVATE to complete the user activation.
- i) If your user account has been activated successfully, the acknowledgement page will be displayed

Acknowledgement Page

The screenshot shows the acknowledgement page. At the top left is the HKEX logo. The main heading is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. Below this, there is a 'Welcome to the e-Submission System' message. The main message states: 'You have successfully activated your user account. You will be redirected to e-Submission System automatically in 5 seconds or click [HERE](#) directly.' The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

² The QR Code will expire after 10 minutes. You will then be redirected to the ESS homepage automatically to restart the user activation.

3 Logging into the e-Submission System

You must login the ESS for submission to Listing Division of HKEX or user profile maintenance. Open the web browser and enter the web address: <https://www1.esubmission.hkex.com.hk>. The following login page will be displayed:

Login Page

3.1 Entering User ID, User Password and One-Time Passcode

- a) Enter the User ID, User Password and the One-Time Passcode (OTP) generated from the assigned Security Token.
- b) Click LOGIN.

Notes:

- If you have forgotten your User ID, you may click “Forgot User ID” at the login page. Fill in your User Name, Registered Email Address, Company Code, the characters in the image and click SUBMIT. The system will send an email to the registered email address listing all User IDs matched with the provided information.
- If you have forgotten your User Password, you may click “Forgot User Password” at the login page. Fill in your User ID, Registered Email Address, the characters in the image and click SUBMIT. The system will send an email to the registered email address. You should click the link in the email to reset your password.

3.2 Acceptance of Disclaimer

- a) Read the Disclaimer carefully.
- a) Click ACCEPT AND CONTINUE to enter the ESS Main page.

3.3 Selection of Functions in Main Menu

- a) The User Home page will be displayed with the **Blue Main Menu** on the top of the page. Select the required function to proceed.

4 Login with SMS Password

Login with SMS Password is a **back-up** channel for users to access the ESS when user cannot retrieve OTP from the assigned security token. Users can click “Login with SMS Password” at the login page to request a One-Time Password by providing User ID and User Password. The One-Time Password will be sent through SMS to user’s registered mobile number

4.1 Submit Request for Login with SMS Password

- Enter the User ID, User Password and the characters in the image.
- Click SUBMIT.

Login with SMS Password – Login page

The screenshot shows the 'e-Submission System' login page. At the top left is the HKEX logo (香港交易所) and the date '11/04/2019 11:36'. The main heading is 'e-Submission System' with the subtitle 'The Stock Exchange of Hong Kong Limited (A wholly-owned subsidiary of Hong Kong Exchanges and Clearing Limited)'. A green success message states 'Your request has been submitted successfully.' Below this, the section is titled 'Login with SMS Password'. A note indicates that an asterisk denotes mandatory fields. The instructions read: 'Please enter the One-Time Password sent to your mobile phone (last 4 digits "0768").' There is a text input field for the 'One-Time Password' and 'Login' and 'Cancel' buttons. At the bottom, there is a link: 'Please click [HERE](#) if you did not receive the One-Time Password or if the One-Time Password has expired.' The footer contains links for 'Terms & Conditions', 'Site Map', 'Contact Us', and 'Privacy Policy'.

4.2 Login with SMS Password

- One-Time Password will be sent to the registered mobile phone number via SMS.
- Input One-Time Password.
- Click LOGIN.

4.3 Acceptance of Disclaimer

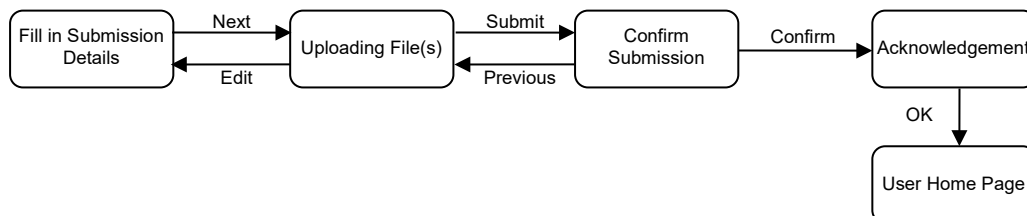
- Read the Disclaimer carefully.
- Click ACCEPT AND CONTINUE to enter the ESS Main page.

4.4 Selection of Functions in Main Menu

- The User Home page will be displayed with the **Blue Main Menu** on the top of the page. Select the required function to proceed.

5 Document Submission

You can submit documents (except e-Forms and non-publication) to Exchange's Listing Division by using this **Document Submission** function.



5.1 Fill in Submission Details

- Choose **Submission for Listing Related Matter** from **Document Submission**.
- Listing Related Matter Document Submission page will be displayed.
- Select Case Type.
 - If case type is Existing Case Number (for document with case number), enter the Existing Case Number.
 - If case type is New Case / Non Case (for document without case number), enter the Subject Company Code.
- Click NEXT.

5.2 Uploading File(s)

- Click CHOOSE FILES to select files to upload. The filename of the uploaded document will be displayed under "List of File(s) Uploaded".
- Choose the Document Type and input remark (if necessary).
- Repeat step a) to b) above until all files are uploaded.
- If you would like to receive submission confirmation email after document submission, click the checkbox of Receive Submission Confirmation Email.
- Click SUBMIT.

Note:

- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the file content, click on the filename. The file will be opened with relevant application (e.g. Adobe). To remove the file, click Remove next to the file.

5.3 Confirm Submission

- Review Submission Information.
- Click CONFIRM.

5.4 Acknowledgement

- If the approval has been successful, an acknowledgement page will be displayed.
- Click OK to return to the User Home Page.

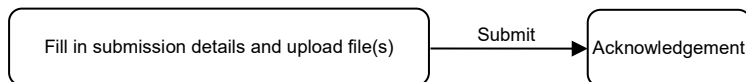
6 View Document Submission Log

6.1 View Document Submission Log

- a) Choose **Listing Related Matter Submission Log** from **Listing Related Matter Document**.
- b) The Submission History for the last 365 days will be listed by default. Submission history list is in descending order by submission date/time.
- c) You can use different criteria to filter the submission history. Specify the criteria (e.g. Case Number, Subject Company Code or Submission Date Range) and click RETRIEVE. Search results matched with the criteria will be listed.

7 e-Form Submission

You can submit e-Forms (non-publication) to the Exchange's Listing Division by using this **e-Form Submission** function.



7.1 Fill in submission details and upload file(s)

- a) Choose **e-Form** Submission from **e-Form**.
- b) e-Form Submission page will be displayed.
- c) Select an e-Form Document type.
- d) Select a Case Type³.
 - If case type is New Case / Non Case (for e-Form without case number), enter the Subject Company Code.
 - If case type is Existing Case Number (for e-Form with case number), enter the Existing Case Number.
- e) Click CHOOSE FILES to select files to upload. The filename of the uploaded document will be displayed under "List of File(s) Uploaded".
- f) Select Previous Related Submission and input Remark (if necessary).
- g) Repeat step e) to f) until all files are uploaded (if necessary).
- h) Click SUBMIT.

Notes:

- You can only submit one e-Form for each submission. If you have uploaded more than one file, please indicate it by clicking the radio button.
- For each uploaded file, you can preview the content or remove it if it is not the file that you want to submit. To preview the content of e-Form, you should save the file in your computer and open it with Adobe Reader. To remove the file, click REMOVE next to the file.

7.2 Acknowledgement

- a) If the submission has been successful, an acknowledgement page will be displayed. You may download the read-only e-Form and click PRINT to print this page for record.
- b) Click OK to return to the User Home Page.

³ Case Type is not applicable for the e-Form related to Debt Securities.

8 View e-Form Submission Log

8.1 View e-Form Submission Log

- a) Choose **e-Form Submission Log** from **e-Form**.
- b) The Submission History for the last 3 months will be listed by default. Submission history list is in descending order by submission date/time.
- c) You can use different criteria to filter the submission history. Specify the criteria (e.g. Case Number, Subject Company Code or Submission Date Range) and click RETRIEVE. Search results matched with the criteria will be listed.

Note:

- The Listing Related Matter user can only view and download his/her own submitted e-Forms in read-only format.

9 Download Template

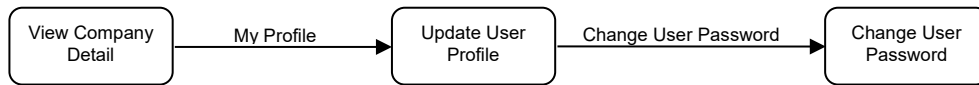
9.1 Download Document Template

- a) Choose **Download Document Template** from **Download Template**.
- b) Choose Transaction Category and click SELECT. A list of corresponding templates in ascending order of template name will be displayed.
- c) Click the appropriate template to download.
- d) The Download Complete dialog box will be displayed. Click SAVE to save the file to the desired location. Alternatively, click OPEN to open the file with the relevant applications (e.g. Microsoft Word/Excel).

9.2 Download E-Form Template

- a) Choose **Download E-Form Template** from **Download Template**.
- b) Select E-Form Categories and E-Form Document Types.
- c) Click SELECT. A list of corresponding E-Form templates in ascending order of template name will be displayed.
- d) Click the appropriate template to download.
- e) The Download Complete dialog box will be displayed. Click SAVE to save the file to the desired location. You should open the template with Adobe Reader for viewing and editing.

10 View Company Profile / Update User Profile / Change User Password



10.1 Update User 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.

10.2 Change User Password

- a) On the User Profile page, click CHANGE USER PASSWORD.
- b) Input your current password.
- c) Type in a new password and re-enter the new password.
- d) Click SAVE. A message will be displayed if your password has been changed successfully.