

Disclosure of Interests Online (DION) System User Guide

(Released on 21 June 2017 / Last updated on 24 Jan 2022)

Table of Contents

1. User Registration	To register a User ID in DION System for submitting DI Forms/ reports	
2. Download DI	(i) <u>to download DI blank form</u>	
Forms	(ii) to download DI Form which is pre-filled with user profile information	
3. Form Submission	To login DION System and submit DI Forms/reports	
	(i) Individual user – submit Form 1, Form 3A, 3B, 3C or 3D	
	(ii) <u>Corporate user – submit Form 2, Form 3A, 3B, 3C or 3D</u>	
	(iii) Listed Corporate user – submit Form 4 and/or special report	
4. Change Login	To change user password after logging into DION System	
Password		
5. User Profile	To maintain the following User ID information	
maintenance	(i) <u>user profile information</u>	
	(ii) <u>merged User ID(s)</u>	
	(iii) security questions and answers	
	(iv) registered email address	
	(v) <u>deactivate User ID</u>	
6. Forgot User ID	To retrieve User ID(s) registered under a specific registered email	
	address	
7. Forgot Password	To unlock and reset user password if user has forgotten the password	
8. Listed corporation	ESS AP or ESS DI user can login DION System to download DI	
using ESS user	Form(s) and attachment(s) filed through DION System	
account to login	(i) login	
DION System	(ii) download copy of DI Form(s) and attachment(s)	



User Registration

GO TO REGISTRATION PAGE

Click " \equiv " on the top left corner (refer to number bubble 1) and choose "Registration" from menu bar. (refer to number bubble 2)



×	osure of Interests Online (DION) System	
Home Registration Download DI Form	2 Login	
Login	User ID Password Enter the charact	ers in the image Refresh image
	Forgot User ID o	Login Password? If you are new User, please <u>register here</u>

STEP 1 - GENERAL INFORMATION

Read the Tips (refer to number bubble 3) and fill in general information (refer to number bubble 4). Input the characters in the image (refer to number bubble 5). After completion, click "Next".

Online Registration for login User ID of Disclosure of Interests Online System 1 General Information 2 Merge User ID (if applicable) 3 User information 4 Account Maintenance 5 Accept Terms & Conditions 6 Acknowledgement 3 ? Help Tips: 1. User Type If you are an individual substantial shareholder, director or chief executive of a listed corporation, please register as "Individual Substantial Shareholders / Directors / Chief Executives* If you are a corporate substantial shareholder, director or chief executive of a listed corporation, please register as 'Corporate Substantial Shareholders / Directors / Chief Executives* If you are a listed corporation that (i) is required by section 330(1) or 333(1) under Part XV of the SFO (Cap. 571) to notify SEHK of the information received pursuant to s 329 or (ii) is to file special notifications exempted under s 309, please register as "Listed corporations" 2. Each individual/corporation is advised to register one DION user account only. DI flings made with different DION user accounts will be treated as if they were filed by different individuals/corporations. This also determines how the DI search results are being grouped and displayed on HKEX websites. If you have registered before and are going to be registered again, you should select "Yes" and provide your previous registered user ID in Step 2 (next page) to indicate that the specified accounts are referring to the same individual/corporation sents a mandatory field - Please Select -, User Type 4 Preferred User ID Have you registered before? . O Yes O No efresh image Enter the characters in the image 5 Next :

Remark:

Data field	Instruction / Data to be inputted
User Type	Choose the relevant user type
Preferred User ID	The "Preferred User ID" must be alphanumeric (A-Z, a-z & 0-9) and be between 8 and 20 characters long. It should not contain space or special characters. User ID is non-case-sensitive.
	Note: Remember your inputted preferred User ID as it will not be shown in subsequent confirmation page or activation email for security reason.
Have you registered before	 This check box will not be available if you are going to register as listed corporation user.
	 Select "No" if you have not registered before (Step 2 will be skipped automatically if you choose "No".)
	 Select "Yes" if you have another active User ID. You will be brought to Step 2 to merge previous registered User ID with the User ID you are now registering.
Enter the characters in the image	Enter the number as displayed in the image.

STEP 2 - MERGE USER ID(s) (IF APPLICABLE)

If you have chosen "Yes" in Step 1, you will be brought to Step 2 to provide User ID of your previous registered User ID (*refer to number bubble 6*). After completion, click "Confirm" (*refer to number bubble 7*).

Notes:

1. As each individual or corporate user is advised to register for one User ID only, if the user has registered a User account before, the system will ask the user to provide the previous registered User ID in this step for consolidating User IDs.

2. Previous User ID provided here will be deactivated once the new User ID is activated through activation email.

3. After User IDs are being merged, the system will consider the DI notices filed by the merged User IDs will be regarded as being filed by same entity as the new user. This will determine how the DI filings are consolidated under HKEX DI web search.

• General Information • Merge Uner ID (# pepticable) • User Information • Account Maintenance • Accept Terms & Constant • Acknowledgem Individual Substantial Shareholders/Directors/Chief Executives 21 Tipe: Tipe: Merge User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may go back to step 1 functions to see in 20 with you login the user account upon your account activation. • represents a mandatory field User can merge previous registered User ID(s) below Previous Registered User ID(s) below 6 Registered Email Address of the above User ID: • Registered Email Address of the above User ID: • Coordim Option 20 Confirm 7 Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.	Online Registr	ation for login User ID o	of Disclosure of Inter	ests Online System	
Individual Substantial Shareholders/Directors/Chief Executives 21 Tips: Marge User ID function is available under profile maintenance function after user login the user account upon your account activation. * represents a mandatory field User can merge previous registered User ID(s) into this new User ID. Please provide your previous registered user ID(s) below Previous Registered User ID: Registered Email Address of the above User ID: Security Question: Answer * Clear Confern 7 Previous registered user ID(s) will be deactivated once this new user ID is activated.	General Information	2 Merge User ID (if applicable)	User Information 4 Account Mair	tenance 6 Accept Terms & Conv	itions 6 Acknowledgement
Individual Substantial Shareholders/Directors/Chief Executives 22 Typ: Merge User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may to back to step 1 and choose "No" and update "Merge user ID" when you login the user account upon your account activation. * represents a mandatory field User can merge previous registered User ID(s) into this new User ID. Please provide your previous registered user ID(s) below Previous Registered User ID: Registered Email Address of the above User ID: Security Question: Answer * Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.					
Tipe: Marge User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may go back to step 1 and choose "No" and update "Merge user ID" when you login the user account upon your account activation. * represents a mandatory field User can merge previous registered User ID(s) into this new User ID. Please provide your previous registered user ID(s) below Previous Registered User ID: Registered Email Address of the above User ID: Answer * Clear Confirm 7 Previous registered user ID(s) will be deactivated once this new user ID is activated.	Individual Substan	tial Shareholders/Directors/Cl	hief Executives		
Tips: Mege User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may go back to step 1 and choose. No' and update "Merge user ID" when you login the user account upon your account activation. * represents a mandatory field User can merge previous registered User ID(s) into this new User ID. Please provide your previous registered user ID(s) below Previous Registered User ID: Registered Email Address of the above User ID: Security Question: Answer * Clear Confirm Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.					2 Help
* represents a mandatory field User can merge previous registered User ID(s) into this new User ID. Please provide your previous registered user ID(s) below Previous Registered User ID: Registered Email Address of the above User ID: Security Question: Answer * Clear Confirm 7 Previous registered user ID(s) Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.	Tips: Merge User ID function go back to step 1 and cl	is available under profile maintenance fun hoose "No" and update "Merge user ID" w	ction after user login the system. If y hen you login the user account upon	ou do not have enough information your account activation.	to fill in step 2 here, you may
User can merge previous registered User ID(s) Into this new User ID. Please provide your previous registered user ID(s) below Previous Registered User ID: * Registered Email Address of the above User ID: * Security Question: Answer * Clear Confirm Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.	* represents a mandat	lory field			
Please provide your previous registered user ID(s) below Previous Registered User ID: * Registered Email Address of the above User ID: * Security Question: Answer * Clear Confirm 7 Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.	User can merge previo	us registered User ID(s) into this new	User ID.		
Previous Registered User ID: * Registered Email Address of the above User ID: * Security Question: Answer * Clear Confirm 7 Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.	Please provide y	our previous registered user I	D(s) below		
Registered Email Address of the above User ID: * 6 Security Question: Answer * Clear Confirm Previous registered user ID(s): 7		Previous Registe	ered User ID: *		
Security Question: Answer * Clear Confirm 7 Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.		Registered Email Address of the ab	ove User ID: •		6
Answer * Clear Confirm 7 Previous registered user ID(s): Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.		Securi	ty Question:		
Clear Confirm 7 Previous registered user ID(s): 7			Answer *		
Previous registered user ID(s):		Ck	ear Cor	firm	7
Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.		Previous registere	d user ID(s):		
Cancel c Back North	Important Note: The a	bove previous registered user ID(s) wil	I be deactivated once this new use	r ID is activated.	
		Cancel	< Back	Next >	

Data field	Instruction / Data to be inputted
Previous Registered User ID	Provide your previous registered User ID
	Note: User ID not yet activated is not accepted
Registered Email Address of the above User ID	Provide registered email address for the previous registered User ID
Security Question	Upon completion of the above 2 fields, security question will be prompted. Please provide answer to it.
Clear	Click "Clear" if you want to clear the content
Confirm	Click "Confirm" after completion

You will see the previous registered User ID added to the list (refer to the highlighted box). Then click "Next" (refer to number bubble 8).

Online Registration for login User ID of Disclosure of Interests Online System	
1 General Information 2 Merge User ID (if applicable) 3 User Information 4 Account Maintenance 5 Accept Terms & Conditions 6 Acknowledgement	
Individual Substantial Shareholders/Directors/Chief Executives	
2 Help	
Tips:	
Merge User ID function is available under profile maintenance function after user login the system. If you do not have enough information to fill in step 2 here, you may go back to step 1 and choose "No" and update "Merge user ID" when you login the user account upon your account activation.	
* represents a mandatory field	
User can merge previous registered User ID(s) into this new User ID.	
Please provide your previous registered user ID(s) below	
Previous Registered User ID: *	
Registered Email Address of the above User ID: *	
Security Question:	
Answer *	
Clear Confirm	
Previous registered user ID(s): test0001 Remove	
Important Note: The above previous registered user ID(s) will be deactivated once this new user ID is activated.	
Cancel < Back Next > 8	

STEP 3 – PROVIDE USER PROFILE INFORMATION

Fill in the user details (refer to number bubble 9; details for individual/corporate users are presented in different screens). After completion, click "Next" (refer to number bubble 10).

Note: Profile information inputted here will be pre-filled to the DI Forms if user downloads DI Form after logging into DION System. In the future, user may log into DION System to update profile information by using "User Profile Maintenance" function.

Please note the following information will be pre-filled in the DI form(s) download	ed after login.
Sumame (English) (Printed on HKOD Cardi/Passport)	English name is not applicable
Other Names (English) (Printed on H90D Card/Passport)	
(Printed on HKID Card/Passport/PRC Resident Card)	Not applicable
Chinese Character Code (Printed on HRD Card)	Please input without space
HKID Card/Passport/PRC Resident Card No.	HKID Card O Passport O PRC Resident Card O Others
Country of Issue of Passport	
Address	
Daytime Telephone Number	•
Email Address	
Re-type Email Address	
Personal data collected through the Disclosure of Interests Online System the HKEX	will not be used for direct marketing purposes and will be processed in line with (<u>Privacy Policy</u> .
Cancel	< Back Next > 10

Remark/ example:

Data field		Instruction / Data to be inputted
Name of Individual	Surname (English)	Chan
Substantial Shareholders/ Directors/Chief Executives	Other Names (English)	Tai Man
	Name (Chinese)	陳大文 or check the box "Not Applicable" if not applicable
Chinese Character Code		123400005678 (If you check the box "Not Applicable" above, you are not required to input Chinese Character Code)
HKID / Passport / PRC Resident Card		If you are inputting "HKID", please input in the format of A123456(7) If the filer chose "Others", he/she needs to provide details of his/her
Country of Issue of Passport		Applicable if you selected "Passport" above
Address		ABC Tower, ABC Road, Hong Kong
Daytime Telephone number		22221111
Email Address		<u>A@A.com</u>
Re-type Email Address		<u>A@A.com</u>

Name of Corporate Substantial Shareholder/ Director/ Chief Executive					
Registered Office					
Principal Place of Business in Hong Kong					9
Business Registration Number	-				
Place of Incorporation	•				
Certificate of Incorporation Number	•			_	
Contact Person					
Daytime Telephone Number					
Email Address					
Re-type Email Address				_	
Exchange on which it is Listed	Ĩ.				
Name of Listed Parent and Exchange on which Parent is Listed					
rsonal data collected through the Disclosure of Interests Online System	will not be use	d for direct ma	keting purposes a	nd will be process	ed in line with

Remark/ example:

Data field	Instruction / Data to be inputted
Name of Corporate Substantial Shareholder/Corporate Director/Chief Executive	ABC Ltd.
Registered Office	ABC Tower, ABC Road, Hong Kong
Principal Place of Business in Hong Kong	ABC Tower, ABC Road, Hong Kong
Place of Incorporation	Hong Kong
Certificate of Incorporation Number	HK01
Contact Person	Chan Tai Man
Daytime Telephone Number	22221111
Email Address	<u>A@A.com</u>
Re-type Email Address	<u>A@A.com</u>
Exchange on which it is Listed	N/A
Name of Listed Parent and Exchange on which Parent is Listed	N/A

STEP 4 – PROVIDE USER ACCOUNT MAINTENANCE INFORMATION

Select 3 different security questions and provide answers (refer to number bubble 11). Input registered email address or click the check box (refer to number bubble 12) if the registered email address is the same as the email address inputted in "General Information" section. Click "Next" to proceed (refer to number bubble 13).

Note: Security questions and answers will be used when you need to reset your forgotten password or to merge User ID(s).

Registered email address will be used to activate User ID, retrieve forgotten User ID and merge User ID. The system accepts using the same registered email address for different User IDs.

Online Registration for login User ID of Disclosure of Interests Onlin	ne System
(1) General Information 2 Merge User ID (if applicable) 3 User Information 4 Account Maintenance 6	Accept Terms & Conditions 6 Acknowledgement
Individual Substantial Shareholders/Directors/Chief Executives	
* represents a mandatory field	<u>2 Help</u>
Please select 3 different security questions and provide answers to them. They will be used in case you need to merge password.	your registered user ID(s) or to retrieve forgotten
Security Question 1 - Please Select -	•
Answer '	11
Security Question 2	, ,
Answer '	
Answer 1	
Please input the email address to be used for account activation purpose. Upon successful registration, account activate activate this user ID. Besides, this email address will be used for resetting password, retrieving forgother user ID and user ID activate this user ID. Besides to be used for the set of t	on email will be sent to this email address to ser account maintenance purpose.
Registered Email Address (It can be changed under profile maintenance function after you login.)	d in User's information section
Re-type Registered Email Address *	13
Cancel < Back N	ed >

STEP 5 - READ AND ACCEPT TERMS AND CONDITIONS

Read the terms and condition and privacy policy statement. If you agree with the terms and conditions, click "Agree and Proceed" (refer to number bubble 14).

10. Third Party Rights	
No person other than HKEX and the User may enforce 623 of the Laws of Hong Kong).	this Agreement by virtue of the Contracts (Rights of Third Parties) Ordinance (Cap.
11. Governing Law	
These Terms and Conditions shall be governed by and submit to the exclusive jurisdiction of the courts of Ho	d construed in accordance with the laws of Hong Kong. HKEX and the User hereby ong Kong.
In the event of any discrepancy between the Engli	ish and Chinese versions of these Terms and Conditions, the English version shall prevail.
By clicking the "AGREE AND PROCEED" button below, (a) y processing of your personal data in accordance with the <u>Pro</u> Cancel	you accept the Terms & Conditions for using the DION System; and (b) you consent to the rapy Policy Statement

<u>STEP 6 – ACKNOWLEDGEMENT PAGE</u>

You will find a system generated reference number *(refer to the highlighted box)* on the acknowledgement page. You may save or print this page for record.

Note: You need to activate your User ID before logging into DION System. Please check the mailbox of registered email address, read the mail and activate *(refer to number bubble 15 to 17)* the User ID within 3 calendar days through the link provided.

Individual Substantial Shareholders/Directors/Chief Executives Thank you for your registration. An activation email will be sent to your registered email address shortly. Please activate your user ID within 3 calendar days. Reference number:IND-2020011600001 Bave this page Print this page Der Sir/Madem,
Individual Substantial Shareholders/Directors/Chief Executives Thank you for your registration. An activation email will be sent to your registered email address shortly. Please activate your user ID within 3 calendar days. Reference number:IND-2020011600001 Save this page Print this page Back to home Dear Sir/Madam.
Thank you for your registration. An activation email will be sent to your registered email address shortly. Please activate your user ID within 3 calendar days. Reference number:IND-2020011600001 Save this page Print this page Back to home
Save this page Print this page Back to home Dear Sir/Madam, Control of the second seco
Save this page Print this page Back to home Dear Sir/Madam, Image: Comparison of the second sec
Dear Sir/Madam,
Thank you for your user registration (Ref. No.: IND-2020011600001). Before you can login, please activate your User ID by clicking the link below.
https://sdinotice.hkex.com.hk/Begister/Activation? stringval=4h51gKUmPc59Mc+ehgo5028c2XVFg7BeJoFWJ//zIUz03jPR5RVXC008W056EMIF76Y12gT0Vop419x6zPk80==8walk=rbA35zeoRH4tfNPVbc0+CMvp84Wvry/S8+YH5zZd4VGG+XUsMs 3uzjs5r/30mhC8type=8lapg=EN
The activation link will expire after 19/01/2020 at 23:59 (HK Time). If you are unable to activate your User ID before the expiry of this link, your user registration will be cancelled.
Should you have any enquiries, please contact us by sending an e-mail to DI-Filings@hkex.com.hk or call (852) 2295 4811 during office hour.
The Stock Exchange of Hong Kong Limited

		16
New Password: *		9
Confirm Password: *		
	Save	17
Tips:		1/
 Password must case) and numb The length of pa 3. Password can of 	contain a combination of letters (both upper & lower sers (0-9), assword range from 10 to 15 characters, consist of special characters I # \$ ^ or *.	Τ

Note: Your new password must contain a combination of letters (both upper & lower case) and numbers (0-9) and be between 10 and 15 characters long. Password can consist of special characters (i.e. ! # *).

Download DI Form

DI Forms are available in Adobe Portable Document format ("PDF") or in Microsoft Excel format. If you are a Windows user, you may download and file a notice using either format. If you are a Mac, you may only download and file a notice in PDF.

(i) Download blank DI Forms

Click " \equiv " on the top left corner (refer to number bubble 1) before logging in.

B 法交易所 Disclosure of Interests Online (DION) System	1	ENG 繁體 能体 Login
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Click "Download DI Form" (refer to number bubble 2).

Home	
Registration	Login
Download DI Form 2	Login
Login	User ID
	Password
	Enter the characters in the image
	6330 Refresh image
	Login
	Eorgot User ID. or Password?
	If you are new User, please register here

Note: You may download DI Form in a different language *(refer to number bubble 4)* by clicking (ENG | 繁體 | 簡体) *(refer to number bubble 3)* on the top right corner.

雪 港 交 易 所			3	
Download DI Form				71
	PDF	Excel	Last Updated	Latest Form Versi
Form 1 - Individual Substantial Shareholder Notice	7	×	10/03/2018	1.1.1
Directions and instructions for completion of Form 1 (4)	7			
Form 2 - Corporate Substantial Shareholder Notice	7	XI.	10/03/2018	1.1.1
Directions and instructions for completion of Form 2	7			
Form 3A - Director/Chief Executive Notice - Interests in Shares of Listed Corporation	7		10/03/2018	1.1.1
Directions and instructions for completion of Form 3A	7			
Form 3B - Director/Chief Executive Notice - Interests in Shares of Associated Corporation	7		10/03/2018	1.1.1
Directions and instructions for completion of Form 3B	7			
Form 3C - Director/Chief Executive Notice - Interests in Debentures of Listed Corporation	7	N.	10/03/2018	1.1.1
Directions and instructions for completion of Form 3C	7			
Form 3D - Director/Chief Executive Notice - Interests in Debentures of Associated Corporation	7	X1	10/03/2018	1.1.1
Directions and instructions for completion of Form 3D	7			
Form 4 - Listed Corporation Notice - Findings of Investigation Report	見		10/03/2018	1.1.1
			A DECEMBER OF STREET	

(ii) Download Pre-filled DI Form

Log into DION System

Click "Login" on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click "Login" button (refer to number bubble 3).

=	HKEX 音 准 交 扇 颅 Disclosure of Interests Online (DION) System	ENG 繁體 第位 Login
≡	HKEX Disclosure of Interests Online (DION) System 香港交易所	ENG 繁體 開心 Login
	Login User ID Password Enter the characters in the image Refresh image Login Erropt User ID or Password?	3
	If you are new User, please register here Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offender	

Download DI Form

Choose "Download DI Form" from the top left menu bar (refer to the highlighted box).

Note: Forms downloaded after logging into DION System will be pre-filled with logged in user profile information. Also, only form type(s) relevant to the logged in user will be available.

User Type	DI Form type available for downloading after logging in
Individual	Form 1, Form 3A, 3B, 3C, 3D
Corporate	Form 2, Form 3A, 3B, 3C, 3D
Listed Corporation	Form 4

×	sclosure of Interests Online (DION) System				
forme					
Registration					
Jownload DI Form	Download DI Form				
ogin					7.He
		PDF	Excel	Last Updated	Latest Form Version
	Form 1 - Individual Substantial Shareholder Notice	7	0	10/03/2018	1.1.1
	Directions and instructions for completion of Form 1	7			
	Form 2 - Corporate Substantial Shareholder Notice	咒		10/03/2018	1.1.1
	Directions and instructions for completion of Form 2	7			
	Form 3A - Director/Chief Executive Notice - Interests in Shares of Listed Corporation	费	01	10/03/2018	1.1.1
	Directions and instructions for completion of Form 3A	7			
	Form 38 - Director/Chief Executive Notice - Interests in Shares of Associated Corporation	7	01	10/03/2018	1.1.1
	Directions and instructions for completion of Form 38	7			
	Form 3C - Director/Chief Executive Notice - Interests in Debentures of Listed Corporation	7	0	10/03/2018	1.1.1
	Directions and instructions for completion of Form 3C	7			
	Form 3D - Director/Chief Executive Notice - Interests in Debentures of Associated Corporation	*	01	10/03/2018	1.1.1
	Directions and instructions for completion of Form 3D	7			
	Form 4 - Listed Corporation Notice - Findings of Investigation Report	7	01	10/03/2018	1.1.1
	Directored and instructions for completion of Form 4	-			

Form Submission

User should log into DION System with the User ID to submit DI Form,.

Remark:

User Type	Form type available for submission	Maximum no. of DI Forms to be uploaded in each submission	Other documents to be uploaded (if applicable)
Individual user	Form 1, Form 3A, 3B, 3C, 3D	10 DI Forms	Concert party
Corporate user	Form 2, Form 3A, 3B, 3C, 3D	10 DI Forms	Concert party
Listed Corporation user	Form 4	1 DI Form	Investigation report + Concert party document
	Special reports (by listed corporations exempted under s.309 SFO)	10 reports	N/A

Please avoid using symbols or special characters when creating a file name. Unacceptable symbols and special characters include but not limited to the following: '!#\$%^&*+=-[]';,/{}]":<>?.

(i)/ (ii) Submission of DI Forms by Individual/ Corporate User



LOGIN AND GO TO SUBMISSION FUNCTION

Log into DION System by clicking "Login" on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click "Login" button (refer to number bubble 3).

	日KEX 香港交易所	Disclosure of Interests Online (DION) System	隐律 Login
≡	世代日本 香港交易所	Disclosure of Interests Online (DION) System ENG 1818	脱谷 Login
		User ID Pessword Ever the characters in the image Ever the characters in the image 	

Click " \equiv " to open the function menu on the top left hand corner (refer to number bubble 4).



Click

(i) "Submit DI Form 1, Form 3A, Form 3B, Form 3C or Form 3D". – For Individual user *(refer to number bubble 5 – highlighted function)*.

(ii) "Submit DI Form 2, Form 3A, Form 3B, Form 3C or Form 3D". – For Corporate user (refer to number bubble 5 – highlighted function)



Read the warning message and click "Continue" (refer to number bubble 6).

Offences for non-complia	nce with notification requirements
It is an offence if a person : (1) (2)	without reasonable excuse; fails to make a disclosure in accordance with the provisions of Part XV of the Securities and Futures Ordinance (Cap. 571) that apply to that disclosure; or when making a disclosure, makes a statement that he knows is false or misleading in a material particular
If a person commits an offe (i) (ii)	nce, he is liable. on conviction on indictment to a fine of \$100,000 and to imprisonment for 2 years; or on summary conviction to a fine of \$10,000 and to imprisonment for 6 months,
for each offence of which h	e is convicted.
(See sections 328 and 351	of the Securities and Futures Ordinance (Cap. 571)) Continue 6

STEP 1 – UPLOAD DI FORMS

Click "Browse" (refer to number bubble 7) to select the completed DI Forms from your computer folder.

cert Party Documents (if applicable) should be uploaded in step 3.
ebsite or SFC website
p to 10 DI forms in each submission
same relevant event date, you will need to indicate the sequence of events in step 2.
this system are regarded as duly given or delivered to the Listed Corporation

You may select up to 10 DI Forms (refer to number bubble 8) and click "Open" (refer to number bubble 9).

	PC > Desktop > I	JI FORM		V O Search D	FORM	۶
ganize 👻 New folder					800 -	
	^	Name	Date modified	Туре	Size	
Cuick access		BEN_Form1_1.1.1.alsm	13/1/2020 11:25 AM	Microsoft Excel M	416 KB	
Desktop	× .	C EN_Form3a_1.1.1.xlsm	13/1/2020 11:27 AM	Microsoft Excel M	512 KB	
Downloads	*	Children St. 1.1.1. Start	13/1/2020 11:28 AM	Microsoft Excel M	481 KB	ð
Documents	*	DEN_Form3c_1.1.1.xlsm	13/1/2020 11:29 AM	Microsoft Excel M	421 KB	
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Please click "Start Upload" to upload the forms (refer to number bubble 10).

	2 Helt
Note:	
1. Logged-in DION User should only file DI form on his/her/its	s behalf.
2. To submit DI forms, please upload the duly completed DI for	orm(s) here. Concert Party Documents (if applicable) should be uploaded in step 3.
3. This system only accepts PDF DI forms or Excel DI forms	provided in this website or SFC website.
4. Upload DI form function allows multiple form submission. Y	fou may upload up to 10 DI forms in each submission.
5. Both PDF form and Excel form can be uploaded in one sul	bmission.
6. If the forms uploaded are in respect of the same listed corp	poration and the same relevant event date, you will need to indicate the sequence of events in step 2
7. DI form(s) and Concert Party Document(s) submitted to the	e HKEX through this system are regarded as duly given or delivered to the Listed Corporation
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Note:

During the uploading process, the system will perform online validation. Upload bar will turn green, yellow or red to indicate whether the forms are ready for submission. If upload bar turns red, filer must remove the form *(refer to number bubble 11)*, make correction to the form and upload it again. Sometimes errors may be related to inconsistency between logged in user profile and data input in the DI Form. User may need to update either the DI Form or profile information within DION System before the form can be submitted successfully.

Green upload bar	DI Form has passed all validation and is ready for submission
Yellow upload bar	DI Form data and system information do not match while DI Form
	can still be submitted if filer considers amendment is not
	necessary.
Red upload bar	DI Form cannot pass validation and filer is required to remove the
-	form and make revision and upload the file again.

User type	DION System profile details that are required to match the DI Form uploaded
Individual user	 Name of substantial shareholder (English) HKID/Passport/PRC Resident Card No. Name of substantial shareholder (Chinese) email address
Corporate user	 Name of substantial shareholder Place of incorporation Certificate of incorporation No email address
Listed corporation user	 Stock code of listed corporation email address of individual filing this Form 4

User may also preview the form using "Preview" button against each form. When all DI Forms are ready for submission, click "Next" to proceed *(refer to number bubble 12)*.

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Error message	in red. Please re	move the form(s) highlighted	In red and correct the error(s) before you may proceed to submission.
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STEP 2 - RE-ARRANGE FORM ORDER

Note:

This step will be skipped automatically if it is irrelevant to your submitted form(s).

If the system has detected two or more DI Forms of the same type with the same "date of relevant event", user may select the form *(refer to number bubble 13)* and re-arrange the order using the "Move Up" and "Move Down" buttons *(refer to number bubble 14)*. By default, the system will assign the display sequence based on the user's submission order.

When the re-arrangement is completed, the user can click "Next" *(refer to number bubble 15)* to upload the Concert Party Documents.

Submit DI Form 1, Form 3A, Form 3B, F	m Ocder 3 Upload Concert Party Document(s) Acknowledgement
As some of the forms have the same form type, date of relevan has assigned the display sequence based on your submission of	2.Help it event, name of listed corporation and name of associated corporation (if any), the system order on the previous page.
Please select the relevant DI form and use the "Move Up"(i.e. th of events for each group of forms if necessary. Form Type: Form 1 Date of relevant event: 12/01/2020	he latest event) and "Move Down"(i.e. the earliest event) buttons to rearrange the sequence
EN_Form1_1.1.1.xlsm	14 Move Up Move Down
	< Back Next >

STEP 3 - UPLOAD CONCERT PARTY DOCUMENT(S)

Note:

This step will be skipped automatically if it is irrelevant to your submitted form(s) (i.e. if you have uploaded Form 3B, 3C or 3D only)

Click "Browse" *(refer to number bubble 16)* below the DI Form file name which is required to upload concert party document(s).

	<u>? Help</u>
Note:	
1. Please ONLY upload copies of concert party documents (if applicable) here.	
All documents uploaded here will be displayed together with the corresponding DI form on HKEX website and will be available for viewing by the p searching the DI pages of the HKEX website. If you wish to keep any personal information in Concert Party Documents private, redact such inform uploading.	public when nation before
3. The browse function allows multiple files to be uploaded at the same time.	
EN_Form1_1.1.1.xism Choose file(s) Browse Start Upload 16 TC_Form1_1.1.1.xism	
Choose file(s) Browse Start Upload	
Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore attention to the HKEX <u>Privacy Policy Statement</u> which sets out the policy and practices with regard to any personal data to be provided by y Compared Statement	draw your you.

After clicking "Browse", a confirmation box will be popped up. User may click "Yes" to proceed to file selection page or click "No" to go back to Upload Concert Party Document(s) page *(refer to number bubble 16A)*.



Note: The above confirmation box will be introduced from 12 Feb 2022.

If "Yes" is chosen, user can select the concert party document(s) (refer to number bubble 17) to be submitted and then click "Open" (refer to number bubble 18).

rganize 🔻 New folder					i∷ • □	
Videos	^	Name	Date modified	Туре	Size	
OneDrive		Concent party doc1.pdf	13/1/2020 11:51 AM	Adobe Acrobat D	356 K	7
This DC		Concent party doc2.pdf	13/1/2020 11:51 AM	Adobe Acrobat D	356 KB	
3D Objects						
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Documents						
Downloads						
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Network	~					

Click "Start Upload" (refer to number bubble 19) to upload the Concert Party Documents.

iote:	
1. Please ONLY upload copies of concert party documents (if applicable) here.	70
 All documents uploaded here will be displayed together with the correspond searching the DI pages of the HKEX website. If you wish to keep any person uploading. 	ing DI form on HIKEX website and will be available for viewing by the public when val information in Concert Party Documents private, redact such information before
3. The browse function allows multiple files to be uploaded at the same time.	
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EN_Form1_1.1.1.xism Choose file(s) Browse Start Upload	19
EN_Form1_1.1.1.xtsm Choose file(s) Browse Start Upload Concent party doc1.pdf	19 Remove

When ready for submission, click "Submit" to continue (refer to number bubble 20).

Choose file(s)	BrowseStart Upload		
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Concent party doc	2.pdf	Preview Remove	
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Choose file(s)	Browse. Start Upload		
the information you provide it ation to the HKEX <u>Privacy Polic</u>	iciude or may include personal data as defin <u>y Statement</u> which sets out the policy and pri	ed in the Personal Data (Privacy) Ordinance. V actices with regard to any personal data to be p	rovided by you 20
			C

Note:

There will be alert message(s) if the number of concert party documents uploaded does not match the number as stated in the DI Form. You may choose to continue your submission or to make appropriate correction before submission.

<u>STEP 4 – ACKNOWLEDGEMENT</u>

You will find a system generated serial number on the acknowledgement page. You may send, save or print this page for record.



(iii) Submission of DI Forms by Listed Corporation User

Submit Form 4



LOGIN AND GO TO SUBMISSION FUNCTION

Log into DION System by clicking "Login" on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click "Login" button (refer to number bubble 3).

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≡	日KEX 香港交易所	Disclosure of Interests Online (DION) System	ENG 繁體 第位 Login
		Login User ID Password Enter the characters in the image Image Image Enter the characters in the image Image	2
		Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offender	

Click " \equiv " to open the function menu on the top left hand corner (refer to number bubble 4).



Click "Submit DI Form 4" (refer to number bubble 5).

×	sclosure of Interests Online (DION) System
Home	
User Profile Maintenance	Welcome to Disclosure of Interacts Online (DION) Contains
Download DI Form	welcome to Disclosure of Interests Online (DION) System
Submit DI Form 4	5 Last login time: 16/01/2020 10:12:53 GMT+08:00 (Success)
Submit Special Reports exempted under s.309	
Change Password	
User Guide	

Read the warning message and click "Continue" (refer to number bubble 6).

	Warning
Offences for non-compliant	nce with notification requirements
It is an offence if a person (1) (2)	 without reasonable excuse, fails to make a disclosure in accordance with the provisions of Part XV of the Securities and Futures Ordinance (Cap. 571) that apply to that disclosure; or when making a disclosure, makes a statement that he knows is failse or misleading in a material particular.
If a person commits an offer (i) (ii)	 (i) on conviction on indictment to a fine of \$100,000 and to imprisonment for 2 years, or (ii) on summary conviction to a fine of \$10,000 and to imprisonment for 6 months,
for each offence of which he	is convicted.
(See sections 328 and 351	of the Securities and Futures Ordinance (Cap. 571)) Continue 6

STEP 1 – UPLOAD DI FORM 4

Click "Browse" (refer to number bubble 7) to select from file directory DI Form 4 to be submitted (refer to number bubble 8) and click "Open" (refer to number bubble 9).

Submit DI Form 4
2.Het
Note:
1. Logged-in DION User should only file Form 4 on behalf of its own listed corporation.
2. To submit DI Form 4, please upload the duly completed DI Form 4 here. Investigation Report(s) and/or Concert Party Document(s) (if any) should be uploaded in step 2.
3. This system only accepts PDF DI forms or Excel DI forms provided in this website or the SFC website.
4. You may only upload one Form 4 each time. Please repeat the submission process if you have more than one submission.
Upload Form Browse Start Upload 7 Tote: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your tention to the HKEX Privacy Policy Statement which sets out the policy and gractices with regard to any personal data to be provided by you
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Click "Start Upload" (refer to number bubble 10) to upload the form and click "Next" after completion (refer to number bubble 11).

Note: 1. Logged-in DION User should only file Form 4 on behalf of its own listed corporation. 2. To submit DI Form 4, please upload the duly completed DI Form 4 here. Investigation Report(s) and/or Concert Party Document(s) (if any) should be uploaded in step 2. 3. This system only accepts PDF DI forms or Excel DI forms provided in this website or the SFC website. 4. You may only upload one Form 4 each time. Please repeat the submission process if you have more than one submission. Upload Form Browse Start Upload 10 N_Form4_11.1.xism Remove off: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your tention to the HKEX <u>Privacy. Policy. Statement</u> which sets out the policy and practices with regard to any personal data to be provided by you. The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your tention to the HKEX <u>Privacy. Policy. Statement</u> which sets out the policy and practices with regard to any personal data to be provided by you. 11 Next >		2.Help
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Green upload	DI Form has passed all validation and is ready for submission
bar	
Yellow upload	DI Form data and system information do not match while DI Form can
bar	still be submitted if filer considers amendment is not necessary.
Red upload bar	DI Form cannot pass validation and filer is required to remove the
	form and make revision and upload the file again.

User type	DION System profile details that are required to match the DI Form uploaded
Individual user	 Name of substantial shareholder (English) HKID/Passport/PRC Resident Card No. Name of substantial shareholder (Chinese) email address
Corporate user	 Name of substantial shareholder Place of incorporation Certificate of incorporation No email address
Listed corporation user	 Stock code of listed corporation email address of individual filing this Form 4

Example of red upload bar:

Form4_1	 (blank).xism—Box 2 - No matching result (blank).xism—Box 4 - The "Class of shan 	s are found for the inputted stock code es of listed corporation specified in the s.329 notice" is left empty. Please complete this
r message	in red: Please remove the form(s) highlighter	d in red and correct the error(s) before you may proceed to submission.
Error Mess	ages	
ad Form	Browse. Start Upload	
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The inform	ation you provide include or may include per	sonal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw you
Ion to the H	KEX Privacy Policy Statement which sets ou	It the policy and practices with regard to any personal data to be provided by you.

STEP 2 – UPLOAD INVESTIGATION REPORT(S) AND/OR CONCERT PARTY DOCUMENT(S)

Click "Browse" (*refer to number bubble 12*) to select *Investigation Reports* (support PDF format only) from the file directory. Select file (refer to number bubble 13) and then click "Open" (*refer to number bubble 14*).

		12		
Vote:		and a second of		
Il documents uploaded here will be display he DI pages of the HKEX website. If you will be the HKEX website.	ed together with the correspo sh to keep any personal infor	nding DI form on HKEX web nation in Concert Party Doc	site and will be available for view uments private, redact such infor	ng by the public when searching nation before uploading
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Click "Start Upload" (refer to highlighted box) to upload the investigation report.

Upload Investigation Report(s) Br	rowse	Start Upload	
Investigation report (1).pdf	Remove		

Click "Browse" (refer to number bubble 15) to select Concert Party Documents from file directory.

Uploaded Form 4 EN_Form4.xlsm	
Upload Investigation Report(s) Browse	Start Upload
investigation report.pdf	Preview Remove
Note: All documents uploaded here will be displayed tog the DI pages of the HKEX website. If you wish to b	ther with the corresponding DI form on HKEX website and will be available for viewing by the public when searching sep any personal information in Concert Party Documents private, redact such information before uploading.
Upload Concert Party Document(s) Brow	e Start Upload
Note: The information you provide include or m attention to the HKEX <u>Privacy Policy Statemen</u>	iy include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw your which sets out the policy and practices with regard to any personal data to be provided by you.

After clicking "Browse", a confirmation box will be popped up. User may click "Yes" to proceed to file selection page or click "No" to go back to Upload Investigation Report(s) and/or Concert Party Document(s) page (refer to number bubble 15A).

You are going to upload	Concert Party Documents. Once
submitted, your uploade	d Concert Party Documents can be
viewed by clicking the hy	yperlink provided in DI forms
published on the HKEXn	news website.
Are you sure you want to Documents?	o upload Concert Party

Note: The above confirmation box will be introduced from 12 Feb 2022.

If "Yes" is chosen, user can select file (refer to number bubble 16) and then click "Open" (refer to number bubble 17).

💿 Open			1		1 1	×
$\leftrightarrow \rightarrow \uparrow \uparrow$	→ Th	iis PC > Desktop > concert p	party	~	ට 🔎 Search	concert party
Organize 🔻 🛛 Ne	w fold	er				::: • 🔟 ?
💻 This PC	^	Name		Date modified	Туре	Size
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E Desktop		🔒 concert party1.pdf	10	15/12/2021 4:38 PM	Adobe Acrobat D	496 KB
Documents						
👆 Downloads						
👌 Music	~					
	File n	ame: "concert party1.pdf" "co	ncert party2 .pdf"		→ All Files (*.*)	~
					17 Open	Cancel

Note: You may upload up to 10 concert party documents in PDF or MS Word format here

Click "Start Upload" (refer to number bubble 18) to upload the Concert Party Documents and click "Submit" (refer to number bubble 19) after completion.

Upload Concert Party Document(s) Browse Start Upload		
Concent party doc1.pdf		
Concent party doc2.pdf Remove		
Note: The information you provide include or may include personal data as defined in the Pers attention to the HKEX <u>Privacy. Policy Statement</u> which sets out the policy and practices with re	sonal Data (Privacy) Ordinan egard to any personal data to	ce. We therefore draw your be provided by you.
	< Back	Submit
Soncent party doc1 pdf Preview Remov	<u>e</u>	
oncent party doc2 pdf Preview Remov	e	
lote: The information you provide include or may include personal data as defined in the Perso Itention to the HKEX <u>Privacy Policy Statement</u> which sets out the policy and practices with reg	onal Data (Privacy) Ordinanci jard to any personal data to t	e. We therefore dr
	< Back	Submit

Note: There will be alert message(s) if the number of concert party documents uploaded does not match with the number as stated in the DI Form. You may choose to continue your submission or to make appropriate correction before submission.

The investigation reports <u>will not</u> be published on the HKEX website. The public cannot access the documents. The Concert Party Documents <u>can be viewed</u> on HKEX website.

STEP 3 – ACKNOWLEDGEMENT

You will find a system generated serial number on the acknowledgement page. You may send, save or print this page for record.

Date/Time of Filing	15/01/2020 11:28:54 GMT+08:00
Serial Number/Form Type	E IR20200115E00001 (Form 4)
Specified date	12/01/2020
Listed Corporation / Stock Code	E Hong Kong Exchanges and Clearing Ltd. (00388)
Name of Individual Filing this Form 4	E Chan Tai Man
Daytime Tel of Individual Filing this Form 4	287654321
Email of Individual Filing this Form 4	aaa@abc.com
DI Form File Name	EN_Form4_1.1.1.xlsm
Investigation Reports(s) File Name	E Investigation report (1).pdf
Concert Party Document(s) File Name	Concent party doc1.pdf
	Concent party doc2.pdf
Check Digi	C AD30D9B835F7A4B5AEEB2ECF60ABA214



Submit Special Report (For Listed Corporations Exempted under s.309 SFO)

LOGIN AND GO TO SUBMISSION FUNCTION

Log into DION System by clicking "Login" on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click "Login" button (refer to number bubble 3).

	日本を易所	Disclosure of Interests Online (DION) System	ENG 繁體 時件 Login
≡	HKEX 會港交易所	Disclosure of Interests Online (DION) System	ENG (\$2)\$ \$2 12 Login
		User ID Pessword Enter the characters in the image Different the characters in the image	2

Click " \equiv "(*refer to number bubble 4*) to open the function menu on the top left hand corner and select "Submit Special Reports exempted under s.309" (*refer to number bubble 5*).

HKEX Disclosure of	interests Online (DION) System	4	EVELWIN (WILL From handlik) Logari
	Welcome to Disclo	sure of Interests Online (D	ION) System
×	sclosure of Interests Onlin	ne (DION) System	
Home			
User Profile Maintenance	10/-1-	Discharge	
Download DI Form	vveid	ome to Disclosure	or interests Unline (DION) System
Submit DI Form 4	Last login	time: 16/01/2020 10:12:53 GMT+08:00	(Success)
Submit Special Reports exempted under s.309	5		
Change Password			
User Guide			

STEP 1 - DISCLAIMER

Click the check box to confirm the Listed Corporation User has been granted an exemption and then click "Next" (refer to number bubble 6).

Doctaimer 2 Uptoad s 309 Special Reports 3 Acknowledgement	
2	2.Help
tote: gooed-in DLUser should only file Special Report(s) exempted under s 309 of the Securities and Futures Ordinance on behalf of its own issed corporation	

STEP 2 – UPLOAD s.309 SPECIAL REPORTS

Click "Browse" (refer to number bubble 7) to select from file directory the special report(s) (refer to number bubble 8) to be submitted and click "Open" (refer to number bubble 9). Click "Start Upload" to upload the report(s). After the report(s) has/have been uploaded, please click "Submit" (refer to number bubble 10).

	Constraint Constraint		1		
	1 Disclamer 2	Ipecad s 309 Special Reports 3 Ac	knownedgement		
					2.Help
te:					1
1 Please only upload report in PDF (a Word format				
2. The browse function allows multipl	e files to be uploaded. You m	way upload both PDF files and Word file	es in one submiss	ion.	
3. If the uploaded report is a revision	to a previously submitted rep	ort, please check the "Revised" box a	ind input the serial	number of the report to	be revised.
sload report(s) Browse	Start Unicad 7				
and reputingly					
e The information you provide inclu	de or may include person	al data as defined in the Personal	Data (Privacy) C	volinance. We therefor	e draw your
ntion to the HKEX Privacy Policy St	atement which sets out the	e policy and practices with regard	to any personal	data to be provided by	you
					discussion of the second
			100 million 1		
			< Back	s	ubmit
Open					
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Organize 👻 New folder					BE - 🔲 (
	^	Name		Date modified	Tune
🖈 Quick access		Ivame		Date modified	type
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Downloads	*	special reports.pdf		16/01/2020 10:24	Adobe Acrobat
Documents	*				
E Pictures	*				
2019 Sep					
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This BC					
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This PC 3 3D Objects Desktop					
This PC 3D Objects Desktop Documents					
This PC 3D Objects Desktop Documents Downloads					9
This PC JD Objects Desktop Documents Downloads Music		4			9
This PC 3D Objects Desktop Documents Downloads Music Richard	~	¢			9

Submit Special Reports exempted	2 Upmad s 309 Special Reports 3 Address/edgement
	2 Help
Note:	
1. Please only upload report in PDF or Word format.	
The browse function allows multiple files to be upload	led. You may upload both PDF files and Word files in one submission.
If the uploaded report is a revision to a previously sub	imitted report, please check the "Revised" box and input the serial number of the report to be revised.
Upload report(s) Browse Start Upload	
decial heport dock	Preview Remove Revised insert logiserial number of the previous tiling
pecial reports pdf	Preview Remove C Revised Iman togramit number of the previous ting
lote: The information you provide include or may includ ttention to the HKEX <u>Privacy Policy Statement</u> which se	e personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw ets out the policy and practices with regard to any personal data to be provided by you.
	< Back Submit

Notes:

- 1. Support PDF and MS Word format.
- 2. User may upload up to 10 Special Reports in each submission.
- 3. Maximum size of each uploading file is 5MB.
- 4. If the uploaded report is a revision to a previously submitted report, please check the "Revised" box against the report and input the serial number of the report to be revised.

STEP 3 - ACKNOWLEDGEMENT

You will find a system generated serial number on the acknowledgement page. You may send, save or print this page for record.



Change Login Password

Log into DION System by clicking "Login" on the top right corner (refer to number bubble 1). Input login details (refer to number bubble 2) and click "Login" button (refer to number bubble 3).

E	HKEX 香港交易所	Disclosure of Interests Online (DION) System	ENG 繁雜 能体 Login
≡	日KEX 香港交易所	Disclosure of Interests Online (DION) System	ENG (繁體) 1813 Legin
		User ID Password Enter the characters in the image Define the characters Define the characters<	2

Click " \equiv " (refer to number bubble 4) to open the function menu on the top left hand corner.



Click "Change Password" (refer to number bubble 5).

×	sclosure of Interests Online (DION) System
Home	
User Profile Maintenance	Welcome to Disclosure of Interacts Online (DION) System
Download DI Form	welcome to Disclosure of Interests Online (DION) System
Submit DI Form 1, Form 3A, Form 3B, Form 3C or Form 3D Change Password User Guide	Last login time: 16/01/2020 10:38:50 GMT+08:00 (Fail)

Input current password, new password and confirm new password fields *(refer to number bubble 6)*. Click "Submit" to confirm *(refer to number bubble 7)*.

≡	HKEX Disc 香港文務州	Iclosure of Interests Online (DION) System	(NG) (108) 1975 Hole, test0011 (J. speed)
		Current Password Continn New Password Continn New Password Subrat	

Notes:

- 1. Password is case-sensitive.
- 2. Password should be a combination of letters (both upper & lower case) and numbers (0-9), ranging from 10 to 15 characters. Password can consist of special characters (i.e. ! # \$ ^ *).
- 3. Upon successful updating, the system will notify the user that "The password is changed."

User Profile Maintenance

After log into DION System, click " \equiv " (refer to number bubble 1) to open the function menu on the top left corner and then click "User Profile Maintenance" (refer to number bubble 2)

E HKEX Disclosure of Int	erests Online (DION) System	1	DNI/EE/RT Hole inditti Jopen
	Welcome to Discl	OSUTE OF Interests Online (DION) System
K Home User Profile Maintenance Download DI Form Submit DI Form 1, Form 3A, Form 3B, Form 3C or Form 3D Change Password User Guide	2 2 Last	Dolline (DION) System elcome to Disclosure login time: 16/01/2020 10.38:50 GMT+08:00 (of Interests Online (DION) System

Under "User Profile Maintenance" function, user may maintain the following User ID information under the following 3 tabs.



Notes:

- 1. To update the respective information, user is required to select the tab right after entering the "User Profile Maintenance" functions.
- 2. Remember to save change/ confirm at each tab before the information maintained with the system can be updated.
- 3. Facilities in the same tab cannot be updated simultaneously. E.g. User cannot update registered email address and merge User ID in a single process. User is required to update registered email address and merge User ID in two updating processes.
- 4. An email notification will be sent to the registered email address when user profile has been updated (i.e. update of profile information, list of merged user ID(s), security question(s)/ answer(s) or registered email address).

(i) Update profile information

Under "User Profile Maintenance" function *(refer to number bubble 1)*, click on the 1st tab "Profile Information" *(refer to number bubble 2)*. Then update the profile information *(refer to number bubble 3)*. After completion, click "Save Changes" button *(refer to number bubble 4)* to confirm the updates.



		and the state of the	
2 Profile Information User Profile N	laintenance De	eactivate this User Account	
represents a mandatory neid			<u>7 He</u>
Please note the following information will be pre-filled in the DI form(s) downloade	ed after login.		
Surname (English)	Chan	English name	is not applicable
Other Names (English)	Tai Man		
(Printed on H90D Card/Passport)	· 陳十文	Chinese nam	e is not annlicable
(Printed on HKID Card/Passport/PRC Resident Card)	14772	Chinese hand	e is not applicable
Chinese Character Code (Printed on HKID Card)			
HKID Card/Passoort/PRC Resident Card No.	HKID Card Pass A123456/3)	port OPRC Resident Card OC	Others
	(`
Country of Issue of Passport			/
Address	1/F ABC Tower, 1 ABC Kong	Road, Hong	
Daytime Telephone Number	21112111		
Email Address	aaa@abc.com		
Re-type Email Address	aaa@abc.com		
ersonal data collected through the Disclosure of Interests Online System the HKEX	wir not be used for direct <u>Privacy Policy</u> .	marketing purposes and will be p	processed in line with
Cancel	Save changes	4	

Ξ	世代の変	Disclosure of Interests Online (DION) System	ENG(新聞)開始 Hello, test001 (Logout)
		Your profile has been updated successfully.	
		Back to home	

Notes:

1. After user has successfully updated the profile information, the corresponding updates will be reflected in the newly downloaded pre-filled DI Forms.

2. Certain key profile information stated in the DI Form must match the DION System record. You are advised to keep the profile information up-to-date.

User type	DION System profile details that are required to match the DI Form uploaded
Individual user	1. Name of substantial shareholder (English)
	2. HKID/Passport/PRC Resident Card No.
	3. Name of substantial shareholder (Chinese)
	4. email address
Corporate user	1. Name of substantial shareholder
	2. Place of incorporation
	3. Certificate of incorporation No
	4. email address
Listed	1. Stock code of listed corporation
corporation user	2. email address of individual filing this Form 4

(ii) Merge User ID (only available for individual and corporate user)

Under "User Profile Maintenance" function, click on the 2nd tab "User Profile Maintenance" (refer to number bubble 1). Then input the previous registered User ID to be merged with current User ID (refer to number bubble 2). After completion, click "Confirm" button (refer to number bubble 3). The previous registered User ID will be updated in the "List of merged User ID(s)" (refer to number bubble 4). Upon completion, click "Save Changes" button (refer to number bubble 5) to confirm the update.

Notes:

1. After you click "Save Changes", the previous registered User ID will be deactivated automatically.

2. Users can merge one or more User ID(s).

3. After User IDs are being merged, the DI notices filed by the merged User IDs will be regarded as being filed by same entity as the current user. This will determine how the DI filings are consolidated under HKEX DI web search.



Data field	Instruction / Data to be inputted		
Previous registered User ID	Provide your previous registered User ID		
	Note: User ID not yet activated is not accepted		
Registered email address of the above User ID	Provide registered email address for the previous registered User ID		
Security Question	Upon completion of the above 2 fields, security question will be prompted. Please provide answer to it.		
Close	Click "Close" if you want to cancel the update		
Confirm	Click "Confirm" after completion		

(iii) Security questions and answers maintenance

Under "User Profile Maintenance" function, click on the 2nd tab "User Profile Maintenance" (refer to number bubble 1). Then modify/update the security questions and answers (refer to number bubble 2). Click "Save Changes" button (refer to number bubble 3) to confirm the update.

Note:

Security questions and answers will be used when you need to reset your forgotten password or to merge User ID(s).

	intenance		(1)	
(Profile Information	User Profile M	aintenance Deactivate this User	Account
epresents a mandato	ny field			2 Hel
fou may merge previous	sly registered user ID(s) by editing	the list below. Please n	ote that the previous user ID(s) will be deactivate	id after merging .
List of merged User I	D(s) Edit this list			
ou may chance served	v masteris) or answeris' holow '	They will be used when	you need to memo user ID or retrieve forwaters r	nassaord
an only only of the second	A desired of a summer of party.	The second second	1	2.880
			And a second	
	Si	ecurity Question 1	Where is your company's first office?	•
	54	ecurity Question 1	Where is your company's first office? HK	
	Si Si	ecurity Question 1 * Answer * ecurity Question 2 *	Where is your company's first office? HK Where is your most favourite place to travel	, 2
	54 54	ecunity Question 1 * Answer * ecurity Question 2 * Answer *	Where is your company's first office? HK Where is your most favourite place to travel YVR	, , ,
	54 54 54	ecurity Question 1 * Answer * ecurity Question 2 * Answer * ecurity Question 3 *	Where is your company's first office? HK Where is your most favourite place to travel YVR Where is your company stamp?	, 2
	54 54 54	ecurity Question 1 * Answer * ecurity Question 2 * Answer * ecurity Question 3 *	Where is your company's first office? HK Where is your most favourite place to travel YVR Where is your company stamp? HKEX	, 2
	54 54 54	ecurity Question 1 * Answer * ecurity Question 2 * Answer * ecurity Question 3 *	Where is your company's first office? HK Where is your most favourite place to travel YVR Where is your company stamp? HKEX	, 2 2

(iv) Registered email address

Under "User Profile Maintenance" function, click on the 2nd tab "User Profile Maintenance" (refer to number bubble 1). Then click on the "Set Registered Email address" button (refer to number bubble 2). Enter the new registered email address (refer to number bubble 3) and click "Confirm" (refer to number bubble 4).

Notes:

1. Registered email address will be used to activate User ID, retrieve forgotten User ID and merge User ID. The system accepts using the same registered email address for different User IDs.

2. When the registered email address has been changed, the system will send a notification email to the original registered email address to alert user.

3. The system will continue to show the original registered email address until the new registered email address becomes effective (i.e. after the new registered email address has been verified).

User Profile Mai	intenance		1
	Profile Information	User Profile Maintenanc	Deactivate this User Account
Registered Em	ail Address a@a.com	Res	tegistered Email Address
Set New Registered I	Email Address	mail Address - baa@abc.c	c.com
Tips: 1. New registration er	nail address must be different fr	rom the original one.	Confirm
	Registered E	imail Address	

(v) Deactivate User ID

Under "User Profile Maintenance" function, click on the 3rd tab "Deactivate this User Account" *(refer to number bubble 1).* Input user account passwords *(refer to number bubble 2)* and click "Deactivate this account" *(refer to number bubble 3).*

Notes:

1. A dialog box will be prompted to ask you to reconfirm if you are going to deactivate this User ID. Choose "Yes" if you are going to deactivate this User ID.

2. Once user has confirmed the deactivation, user will be logged out immediately and cannot log into DION System any more by using the deactivated User ID. There is no way to restore the deactivated User ID.

3. Deactivated User II	cannot merge with	any other User ID.
------------------------	-------------------	--------------------

≡	* # X BR	Disclosure of Interests Online (DIO	M) System	0101 (808) 807 (mills, ber0001 (Legent)
		,	User Profile Maintenance Profile Information User Profile Information Deactivate this User Account	
			* represents a mandatory feat 2,380a	
			Ingesteel' Units "Nor will not be able to high this assured allor you write the assured passessed below and click "Deachaster No. assured" butter to confirm the assured deachaster.	
			User Account Password 1 Re-type User Account Password 1	/
			Court Dealers for source 3)

Retrieve Forgotten User ID

If User ID was forgotten, user can retrieve the User ID by providing the registered email address used for that User ID. The system will send all User ID(s) registered under that registered email address.

- 1. Click "Login" on the top right corner (*refer to number bubble 1*) and then click the link "Forgot User ID" (*refer to number bubble 2*). Fill in the registered email address (*refer to number bubble 3*) of the forgotten User ID. Then, input the characters in the image (*refer to number bubble 4*) and click "Submit" (*refer to number bubble 5*).
- 2. The system will send an email to the registered email address. All User IDs registered under this registered email address will be listed in the email.

Ξ	HKEX 香港交易所	terests Online (DION) System
	Login	
	User	ID
	Pass	word
		1807 Refresh image
	Entry Form	Login User ID or Password?
		If you are new User, please register here
	Unauthor	sed access and use are prohibited. HKEX reserves the right to take actions against offender



Forgotten Password

If you have forgotten your User password or if your User ID has been locked after 5 consecutive unsuccessful login attempts, user can reset and unlock User ID after providing User ID, registered email address and answer to the security question. If correct information is provided, the system will send an email to the registered email address with a link to reset user password.

- Click "Login" on the top right corner (refer to number bubble 1) and then click the link "Password" (refer to number bubble 2). Fill in the User ID and registered email address (refer to number bubble 3). Input the characters in the image (refer to number bubble 4) and click "Next" (refer to number bubble 5). A security question will be posted. You need to provide the answer (refer to number bubble 6) and click "Submit" (refer to number bubble 7).
- 2. The system will send an email to the registered email address. User may use the reset password link provided in the email to reset and unlock the user account.
- 3. Password can only be changed once a day

	Login			
	User ID]	
	Password			
	Enter the characters in	the image		
	1001	Login	Herresh mage	
2	Eorgot User ID or Pass	words		
\sim	if you	are new User, please p	ogister here	





Listed corporation using E-Submission System (ESS) user account to login DION System

(i) Login

The DION System will notify the listed corporations by email upon receipt of DI notices through DION System. The email notification will be sent to ESS users' (AP with DION System access rights/ ESS DI user) email address. Such user should log into DION System by using his/her ESS User ID and password through the link <u>https://sdinotice.hkex.com.hk/notification</u> to retrieve DI filing(s) and related document(s) filed for his/her listed corporation.

Enter URL <u>https://sdinotice.hkex.com.hk/notification</u> (refer to number bubble 1). Click "Login" on the top right corner (refer to number bubble 2) and enter the ESS User ID and password (refer to number bubble 3). Then, input the characters in the image (refer to number bubble 4) and click "Login" (refer to number bubble 5).

Notes:

1. All ESS users should maintain their account information through ESS website. (https://www1.esubmission.hkex.com.hk/public/login.aspx)

To ensure the notification email can be delivered in an accurate and timely manner to the listed corporation, the AP/DI ESS user should always keep his/her profile information up-to-date in ESS.
 It is possible to set more than one email address for each ESS AP/ DI user account. Please input semi-colon between emails in format of <u>a@Alistedcorp.com</u>; <u>b@Alistedcorp.com</u>



(ii) Download copy of DI Form(s) and attachment(s)

After logged into DION System, click " \equiv " to open the function menu on the top left corner (refer to number bubble 1). Select "Download Copy of DI Forms and Attachments" (refer to number bubble 2). User will see DI Forms filed on current date. User may define search criteria (refer to number bubble 3) and click "Search" (refer to number bubble 4) to narrow down the display of DI Form(s) and attachment(s).

Notes:

User Guid

1. Only DI Forms and related documents filed within 90 calendar days are available for downloading.

2. User may use batch download function to download selected DI Forms and related documents in zip file.

3. By default, user will see all DI Form(s) filed on current date.



Last login time: 2020-01-08 10:05:17 (HKT) (Success)

3	ms and attachments fi	iled within 90 ca	lendar days are available for download.			
Listed C	orporation: Please s	elect		•		
Serial N	umber :		Filing date : From : 15	1 [2020	To : [15	1 2020 4
DI Form	Type : Please s	elect	Event Date : From : DD	MM YYYY	(To : [DD	MM YYYY Search
	Serial Number	Filing date	Name of director / substantial shareholder	Event Date	DI form	DI form Attachment(s)
	IS20200115E00008	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	i958 xism
	IS20200115E00007	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	i957.xlsm
	IS20200115E00006	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	i956.xlsm
	DA20200115E00005	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	i952.xlsm
	DB20200115E00004	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	953.xlsm
	DC20200115E00003	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	i954.xlsm
	IS20200115E00002	15/01/2020	Chan Tai Man	12/01/2020	F00000000000325	955.xlsm
					Download select	ed forms and attachments

To download DI Form(s) and attachment(s), please select the forms or click check box of "All" to the left of serial number (refer to number bubble 1) and then click "Download selected forms and attachments" (refer to number bubble 2).

Note:

User may also click on the link under "DI Form"/ "DI Form Attachment(s)" column to download the specific DI Forms/attachments.

Note:						
Only DI	Forms and attachments fi	led within 90 ca	iendar days are available for download.			
Listed Corporation: Please select				•		
erial N	lumber :		Filing date : From : 15	1 2020	To : 15 1	2020
1	e : Please se	elect	Event Date : From : DD	MM YYYY	To : [DD [MM	YYYYY Search
All	Serial Number	Filing date	Name of director / substantial shareholder	Event Date	DI form	DI form Attachment(s)
	IS20200115E00008	15/01/2020	Chan Tai Man	12/01/2020	F000000000000325958 xism	1
	IS20200115E00007	15/01/2020	Chan Tai Man	12/01/2020	F000000000000325957.xlsm	1
	IS20200115E00006	15/01/2020	Chan Tai Man	12/01/2020	F000000000000325956.xism	1
	DA20200115E00005	15/01/2020	Chan Tai Man	12/01/2020	F000000000000325952.xlsm	1
	DB20200115E00004	15/01/2020	Chan Tai Man	12/01/2020	F000000000000325953.xlsm	1
	DC20200115E00003	15/01/2020	Chan Tai Man	12/01/2020	F000000000000325954.xlsm	
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-END-