



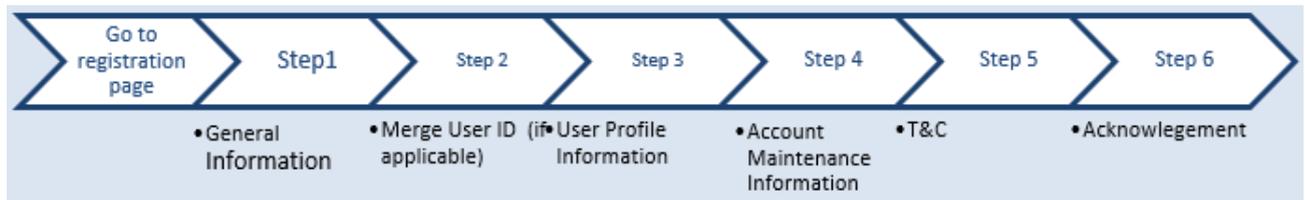
# **Disclosure of Interests Online (DION) System User Guide**

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

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## User Registration



### GO TO REGISTRATION PAGE

Click “☰” on the top left corner (refer to number bubble 1) and choose “Registration” from menu bar. (refer to number bubble 2)



**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”.

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.  <b>Note: Remember your inputted preferred User ID as it will not be shown in subsequent confirmation page or activation email for security reason.</b>
Have you registered before	<ul style="list-style-type: none"> <li>▪ This check box will not be available if you are going to register as listed corporation user.</li> <li>▪ Select “No” if you have not registered before (Step 2 will be skipped automatically if you choose “No”.)</li> <li>▪ 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.</li> </ul>
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.

Data field	Instruction / Data to be inputted
Previous Registered User ID	Provide your previous registered User ID <b>Note: User ID not yet activated is not accepted</b>
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 \*

Previous registered user ID(s): test0001

**Important Note:** The above previous registered user ID(s) will be deactivated once this new user ID is activated.

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**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.

Remark/ example:

Data field		Instruction / Data to be inputted
Name of Individual Substantial Shareholders/ Directors/Chief Executives	Surname (English)	Chan
	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		<a href="mailto:A@A.com">A@A.com</a>
Re-type Email Address		<a href="mailto:A@A.com">A@A.com</a>

Please note the following information will be pre-filled in the DI form(s) downloaded after login.

Name of Corporate Substantial Shareholder/ Director/ Chief Executive *	<input type="text"/>	9
Registered Office *	<input type="text"/>	
Principal Place of Business in Hong Kong *	<input type="text"/>	
Business Registration Number	<input type="text"/>	
Place of Incorporation *	<input type="text"/>	
Certificate of Incorporation Number *	<input type="text"/>	
Contact Person *	<input type="text"/>	
Daytime Telephone Number *	<input type="text"/>	
Email Address *	<input type="text"/>	
Re-type Email Address *	<input type="text"/>	
Exchange on which it is Listed	<input type="text"/>	10
Name of Listed Parent and Exchange on which Parent is Listed	<input type="text"/>	

Personal data collected through the Disclosure of Interests Online System will not be used for direct marketing purposes and will be processed in line with the [HKEX Privacy Policy](#).

Cancel < Back **Next >**

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	<a href="mailto:A@A.com">A@A.com</a>
Re-type Email Address	<a href="mailto:A@A.com">A@A.com</a>
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.

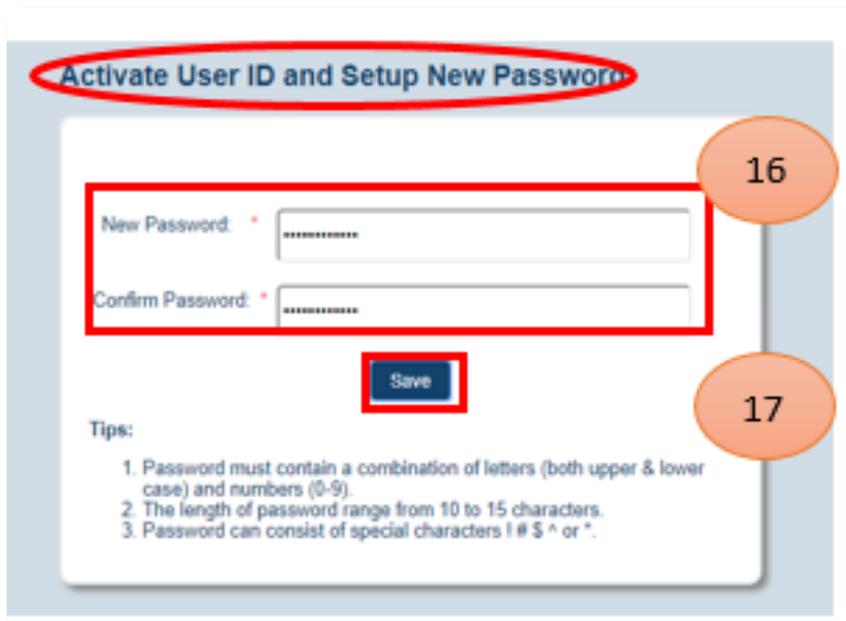
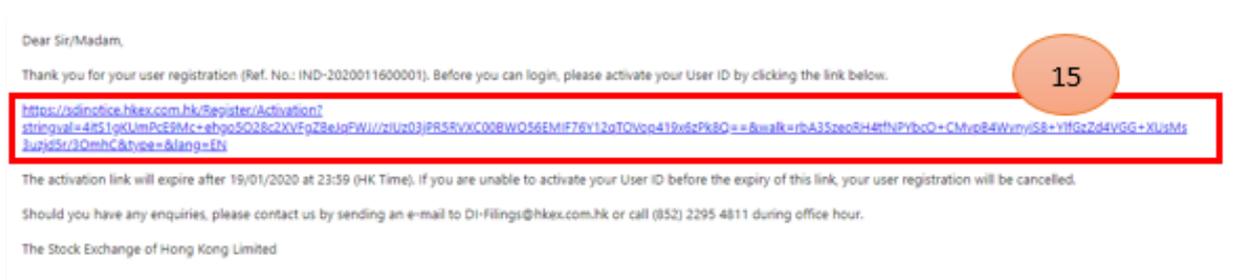
**STEP 5 – READ AND ACCEPT TERMS AND CONDITIONS**

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).

**STEP 6 – ACKNOWLEDGEMENT PAGE**

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.



**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

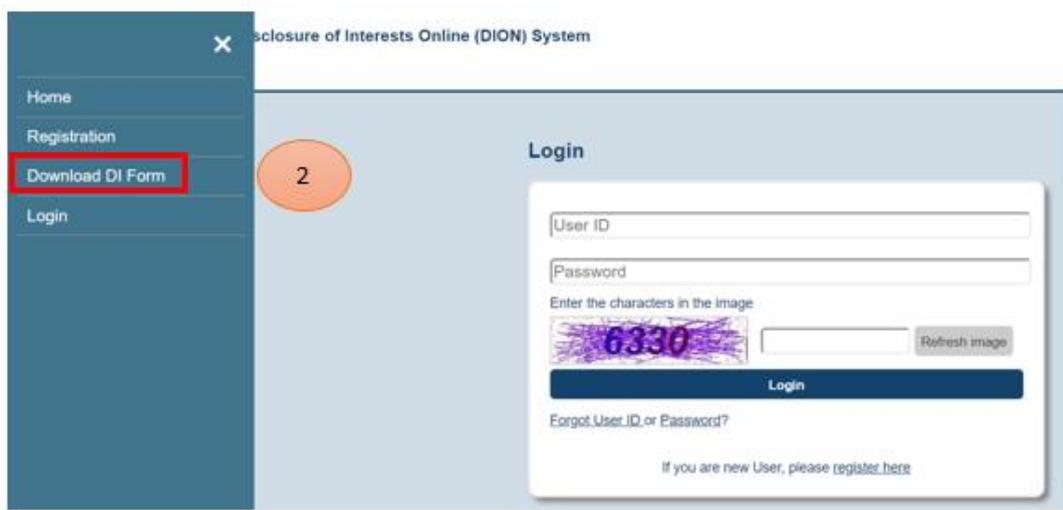
DI Forms are available in Adobe Portable Document format (“PDF”) or in Microsoft Excel format. If you are a Windows user, you may download and file a notice using either format. If you are a Mac, you may only download and file a notice in PDF.

### (i) Download blank DI Forms

Click “☰” on the top left corner (*refer to number bubble 1*) before logging in.



Click "Download DI Form" (*refer to number bubble 2*).



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



**(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*).

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

Form Name	PDF	Excel	Last Updated	Latest Form Version
Form 1 - Individual Substantial Shareholder Notice Directions and instructions for completion of Form 1			10/3/2018	1.1.1
Form 2 - Corporate Substantial Shareholder Notice Directions and instructions for completion of Form 2			10/3/2018	1.1.1
Form 3A - Director/Chief Executive Notice - Interests in Shares of Listed Corporation Directions and instructions for completion of Form 3A			10/3/2018	1.1.1
Form 3B - Director/Chief Executive Notice - Interests in Shares of Associated Corporation Directions and instructions for completion of Form 3B			10/3/2018	1.1.1
Form 3C - Director/Chief Executive Notice - Interests in Debentures of Listed Corporation Directions and instructions for completion of Form 3C			10/3/2018	1.1.1
Form 3D - Director/Chief Executive Notice - Interests in Debentures of Associated Corporation Directions and instructions for completion of Form 3D			10/3/2018	1.1.1
Form 4 - Listed Corporation Notice - Findings of Investigation Report Directions and instructions for completion of Form 4			10/3/2018	1.1.1

## Form Submission

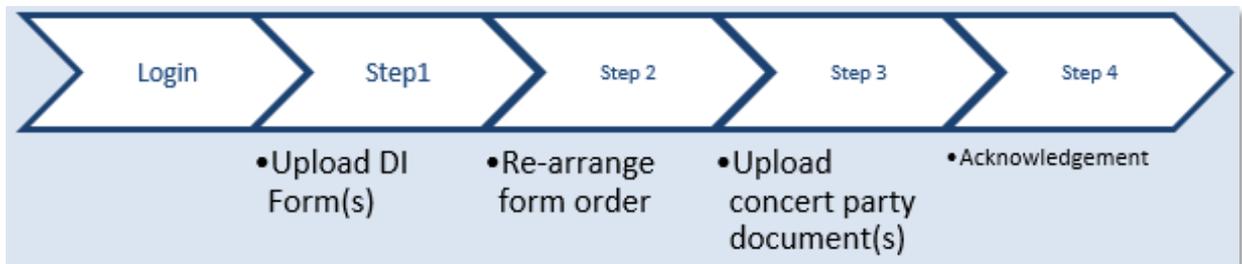
User should log into DION System with the User ID to submit DI Form,.

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).

The screenshot shows the login interface of the HKEX Disclosure of Interests Online (DION) System. The header includes the HKEX logo and the system name. A 'Login' link is located in the top right corner, marked with bubble 1. The main content area is titled 'Login' and contains a form with the following elements: 'User ID' and 'Password' input fields; a CAPTCHA section with the text 'Enter the characters in the image' and a 'Refresh Image' button; a 'Login' button; a link for 'Forgot User ID or Password?'; and a link for 'If you are new User, please register here'. A disclaimer at the bottom states: 'Unauthorised access and use are prohibited. HKEX reserves the right to take actions against offender'. Numbered bubbles indicate: 2. The form fields; 3. The 'Login' button.

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

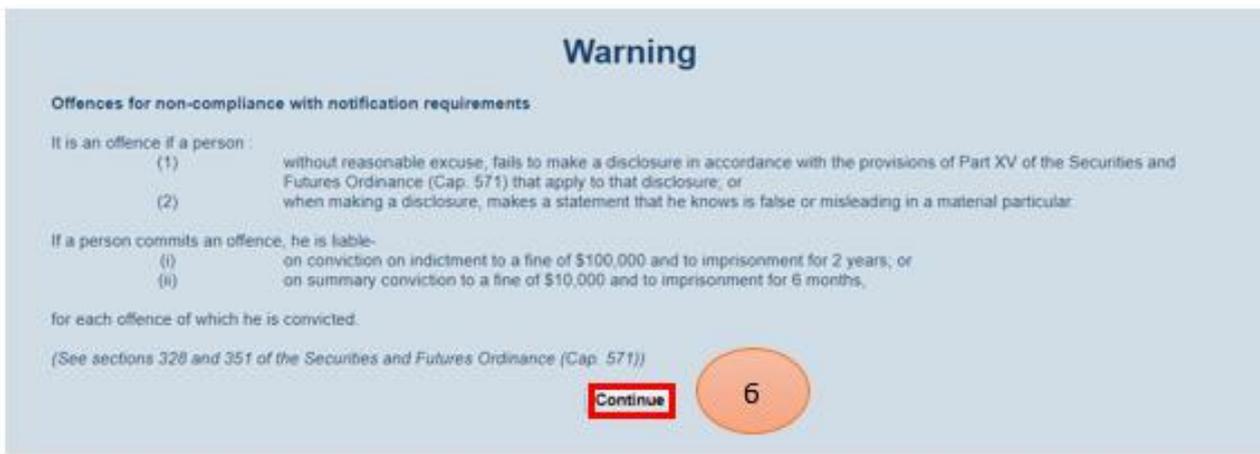
The screenshot shows the home page of the HKEX Disclosure of Interests Online (DION) System. The header includes the HKEX logo and the system name. A 'Login' link is located in the top right corner. The main content area is titled 'Welcome to Disclosure of Interests Online (DION) System' and includes a 'Last login time' field. Numbered bubble 4 indicates the function menu icon in the top left corner.

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)

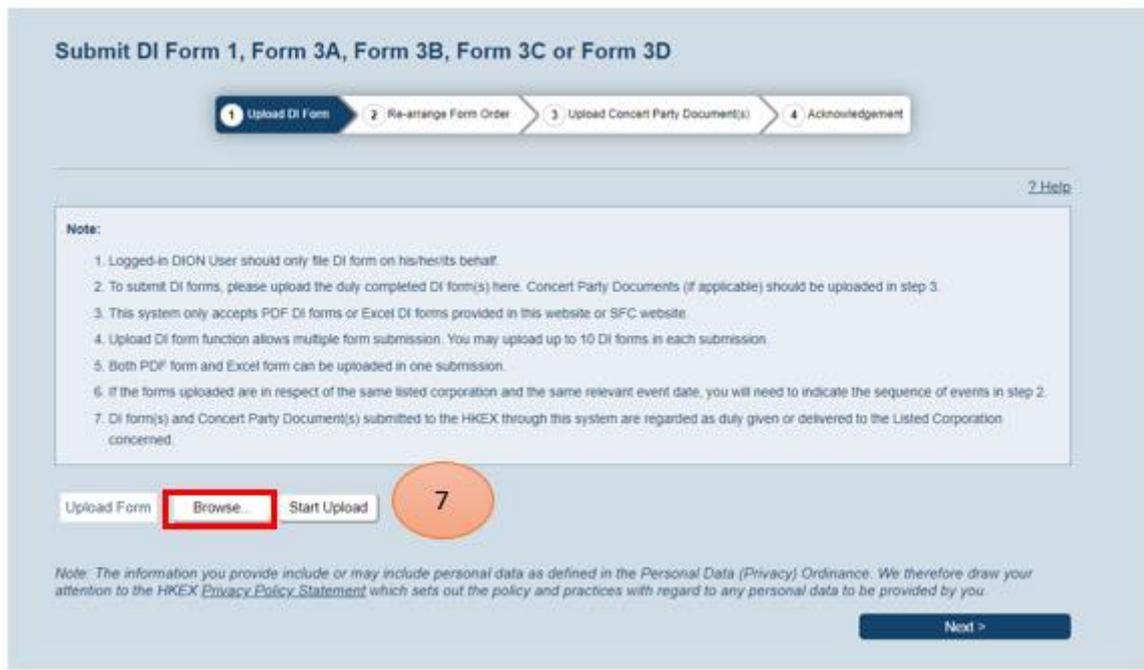


Read the warning message and click "Continue" (refer to number bubble 6).

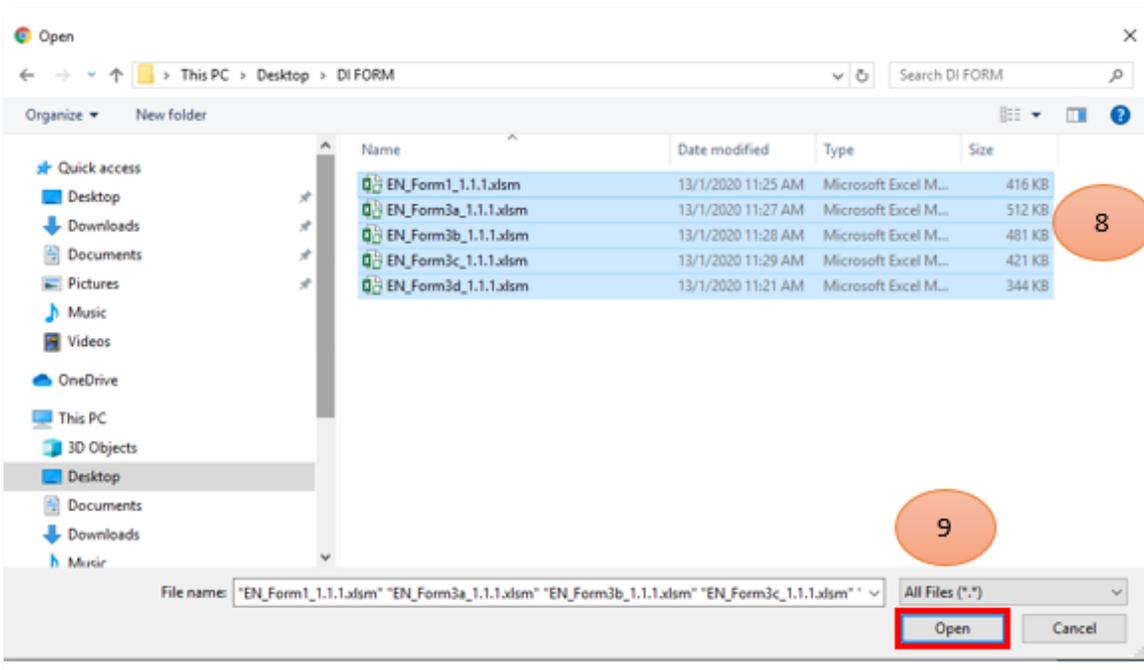


**STEP 1 – UPLOAD DI FORMS**

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



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



Please click "Start Upload" to upload the forms (*refer to number bubble 10*).

**Note:**

1. Logged-in DION User should only file DI form on his/her/its behalf.
2. To submit DI forms, please upload the duly completed DI form(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. You may upload up to 10 DI forms in each submission.
5. Both PDF form and Excel form can be uploaded in one submission.
6. If the forms uploaded are in respect of the same listed corporation 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 HKEX through this system are regarded as duly given or delivered to the Listed Corporation concerned.

Upload Form   **10**

EN_Form1_1.1.1.xlsm	<a href="#">Remove</a>
EN_Form3a_1.1.1.xlsm	<a href="#">Remove</a>
EN_Form3b_1.1.1.xlsm	<a href="#">Remove</a>
EN_Form3c_1.1.1.xlsm	<a href="#">Remove</a>
EN_Form3d_1.1.1.xlsm	<a href="#">Remove</a>

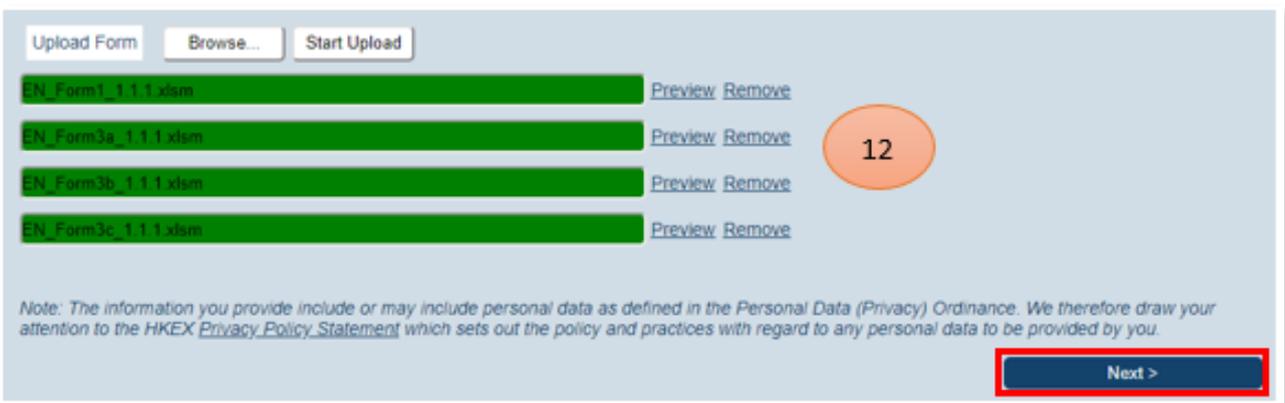
**Note:**

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.

<b>Green</b> upload bar	DI Form has passed all validation and is ready for submission
<b>Yellow</b> 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.
<b>Red</b> 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	<ol style="list-style-type: none"> <li>1. Name of substantial shareholder (English)</li> <li>2. HKID/Passport/PRC Resident Card No.</li> <li>3. Name of substantial shareholder (Chinese)</li> <li>4. email address</li> </ol>
Corporate user	<ol style="list-style-type: none"> <li>1. Name of substantial shareholder</li> <li>2. Place of incorporation</li> <li>3. Certificate of incorporation No</li> <li>4. email address</li> </ol>
Listed corporation user	<ol style="list-style-type: none"> <li>1. Stock code of listed corporation</li> <li>2. email address of individual filing this Form 4</li> </ol>

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*).



## 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, Form 3C or Form 3D**

1 Upload DI Form   2 Re-arrange Form Order   3 Upload Concert Party Document(s)   4 Acknowledgement

[? Help](#)

As some of the forms have the same form type, date of relevant event, name of listed corporation and name of associated corporation (if any), the system has assigned the display sequence based on your submission order on the previous page.

Please select the relevant DI form and use the "Move Up"(i.e. the latest event) and "Move Down"(i.e. the earliest event) buttons to rearrange the sequence of events for each group of forms if necessary.

**Form Type: Form 1**  
**Date of relevant event: 12/01/2020**  
**Listed Corporation: Hong Kong Exchanges and Clearing Ltd.**

EN\_Form1\_1.1.1.xlsm   13   14   ▲ Move Up  
 TC\_Form1\_1.1.1.xlsm   15   ▼ 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).

[? Help](#)

**Note:**

- 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 public when searching the DI pages of the HKEX website. If you wish to keep any personal information in Concert Party Documents private, redact such information before uploading.
- The browse function allows multiple files to be uploaded at the same time.

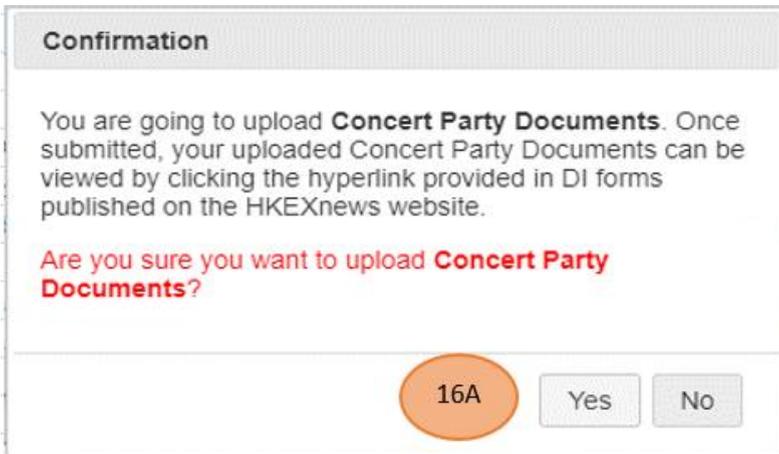
EN\_Form1\_1.1.1.xlsm  
 Choose file(s) **Browse...** Start Upload   16

TC\_Form1\_1.1.1.xlsm  
 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 draw your attention to the [HKEX Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.*

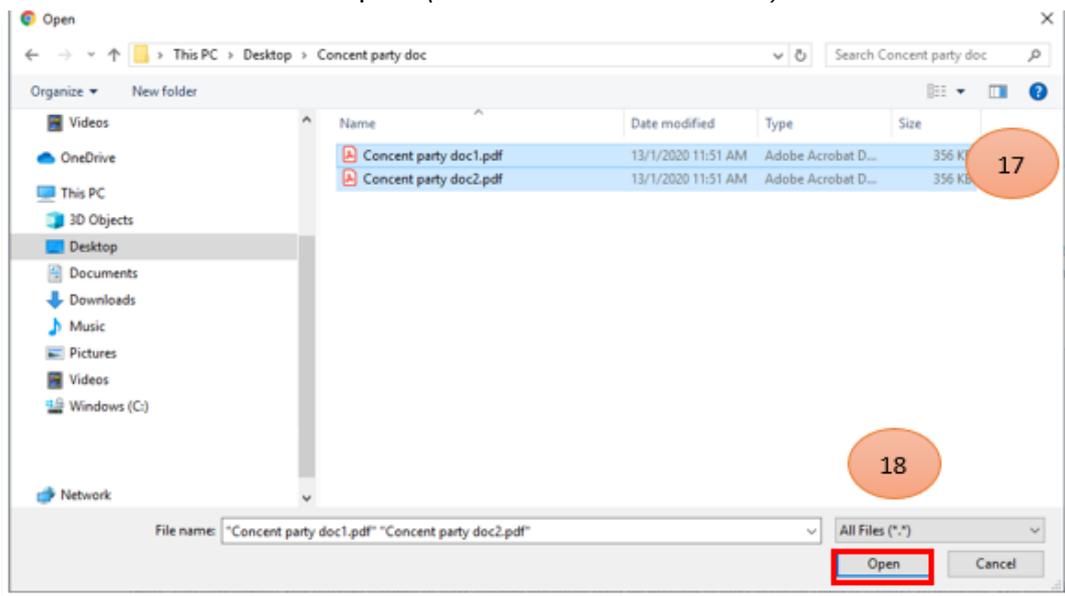
< Back   Submit

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).



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



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

EN\_Form1\_1.1.1.xlsm  
Choose file(s) Browse... Start Upload

Concert party doc1.pdf Preview Remove  
Concert party doc2.pdf Preview Remove

TC\_Form1\_1.1.1.xlsm  
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 draw attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

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< Back Submit

**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.

#### STEP 4 – ACKNOWLEDGEMENT

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

You have completed the DI form(s) submission. You may print/ save/ send this acknowledgement page for future reference.

Date/Time of Filing:	13/01/2020 11:56:25 GMT+08:00
Serial Number/Form Type:	IS20200113E00002(Form 1)
Date of Relevant Event:	12/01/2020
Listed Corporation / Stock Code:	Hong Kong Exchanges and Clearing Ltd.(00388)
Substantial Shareholder/Director/Chief Executive Name:	Chan Tai Man 陳大文
Daytime Tel:	21112111
Email:	aaa@abc.com
DI Form File Name:	EN_Form1_1.1.1.xlsm
Attachment(s):	Concert party doc1.pdf Concert party doc2.pdf
Check Digit:	2BA15AB3D10D9F991E5FAEDC47891723

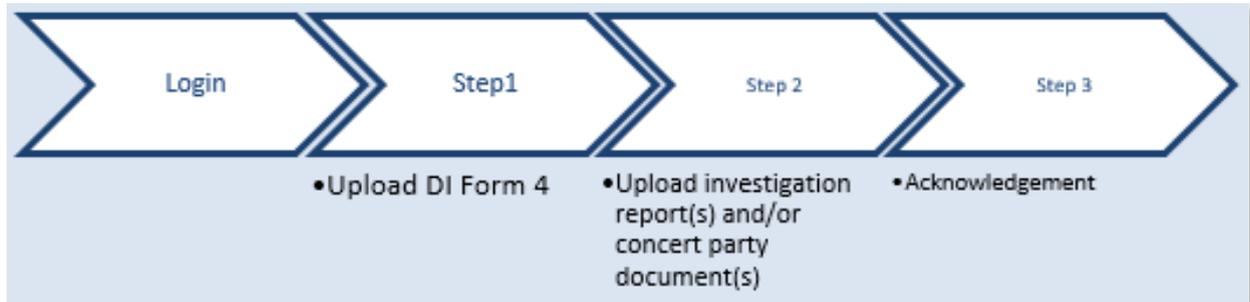
  

Date/Time of Filing:	13/01/2020 11:56:25 GMT+08:00
Serial Number/Form Type:	IS20200113E00001(Form 1)
Date of Relevant Event:	12/01/2020
Listed Corporation / Stock Code:	香港交易及結算所有限公司(00388)
Substantial Shareholder/Director/Chief Executive Name:	Chan Tai Man 陳大文
Daytime Tel:	21112111
Email:	aaa@abc.com
DI Form File Name:	TC_Form1_1.1.1.xlsm
Check Digit:	6704CE65EBB1C8BF2D8868ACD054DD22

Save this page    Send this page to registered email address    Print this page    Back to home

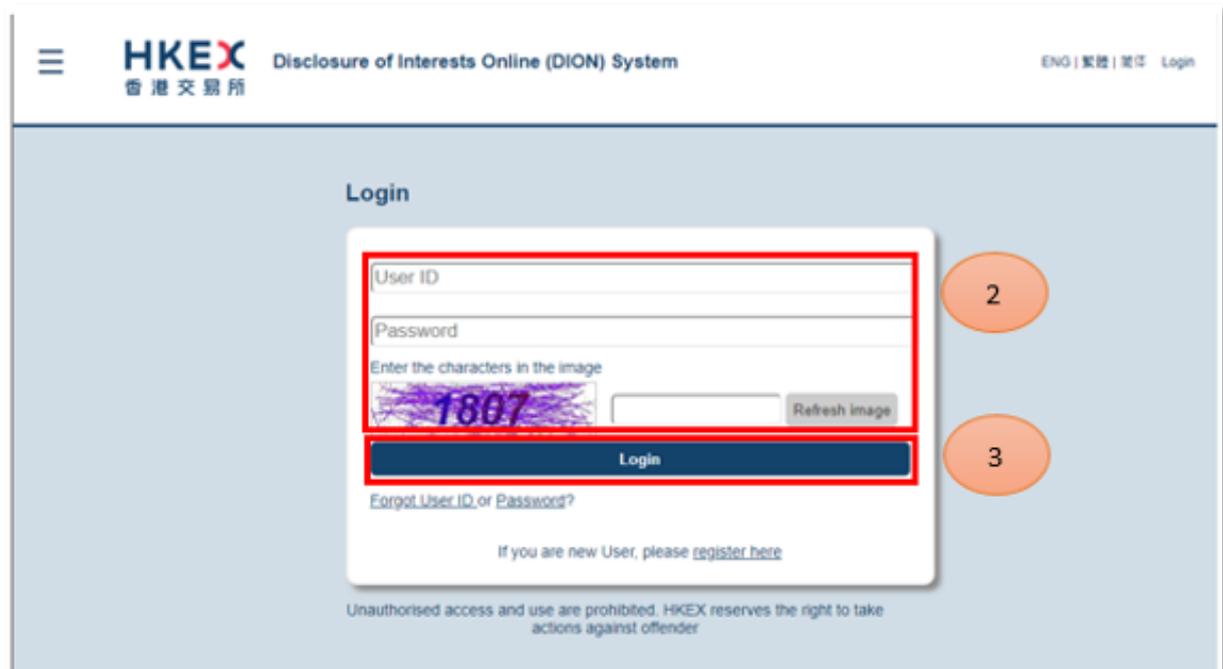
(iii) Submission of DI Forms by Listed Corporation User

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).



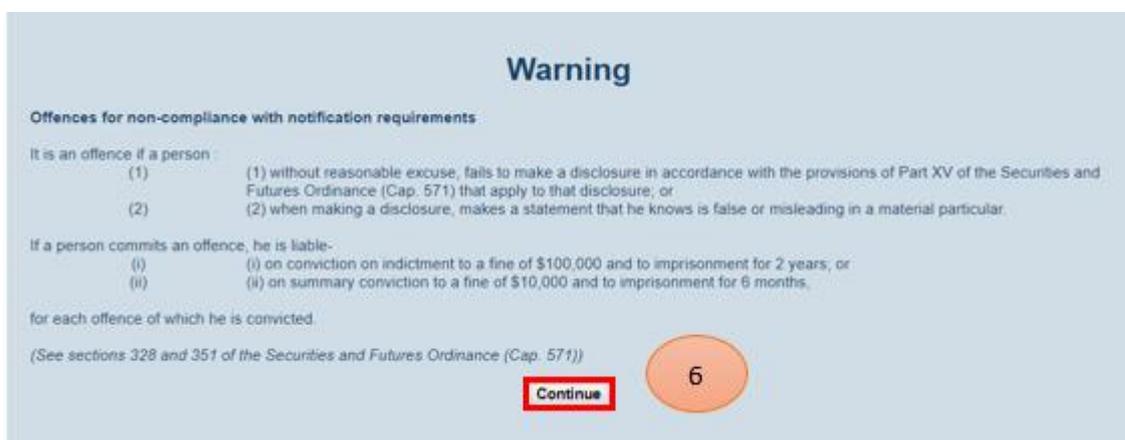
Click "≡" to open the function menu on the top left hand corner (refer to number bubble 4).



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

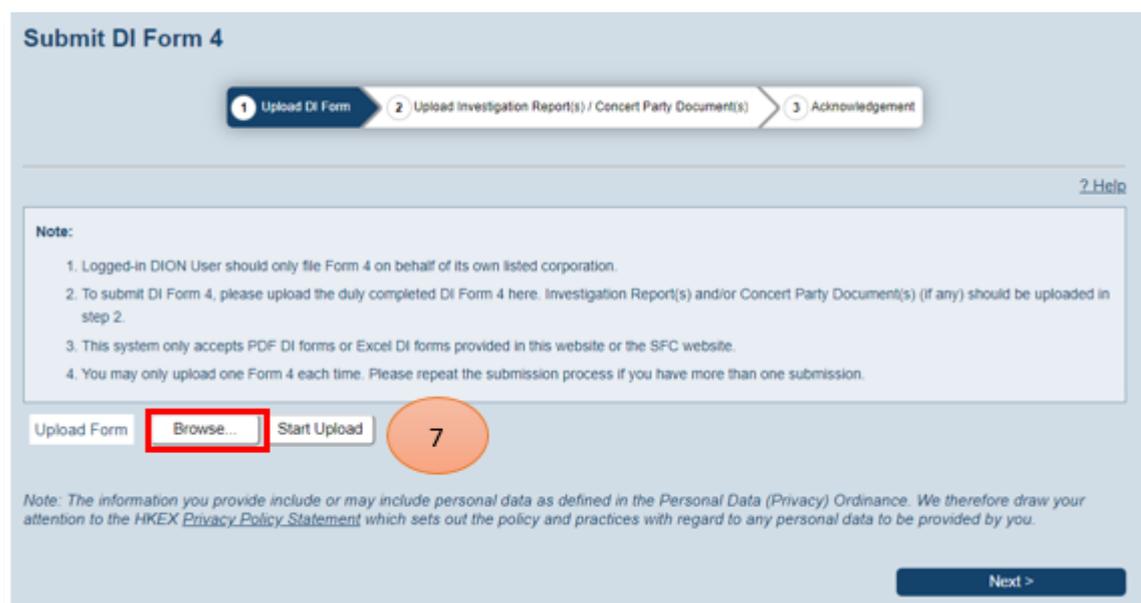


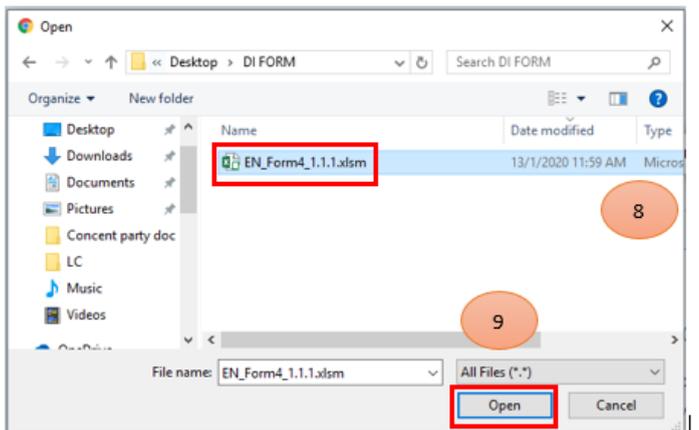
Read the warning message and click "Continue" (refer to number bubble 6).



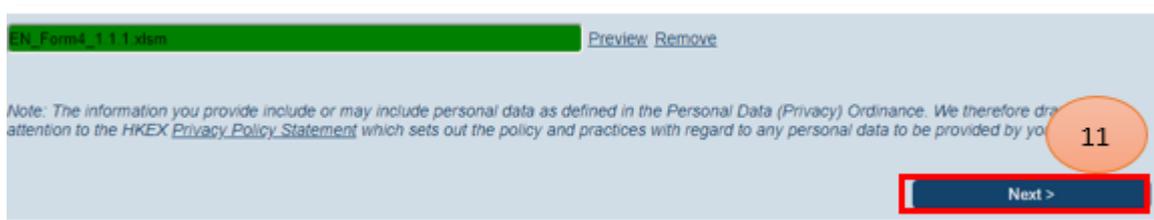
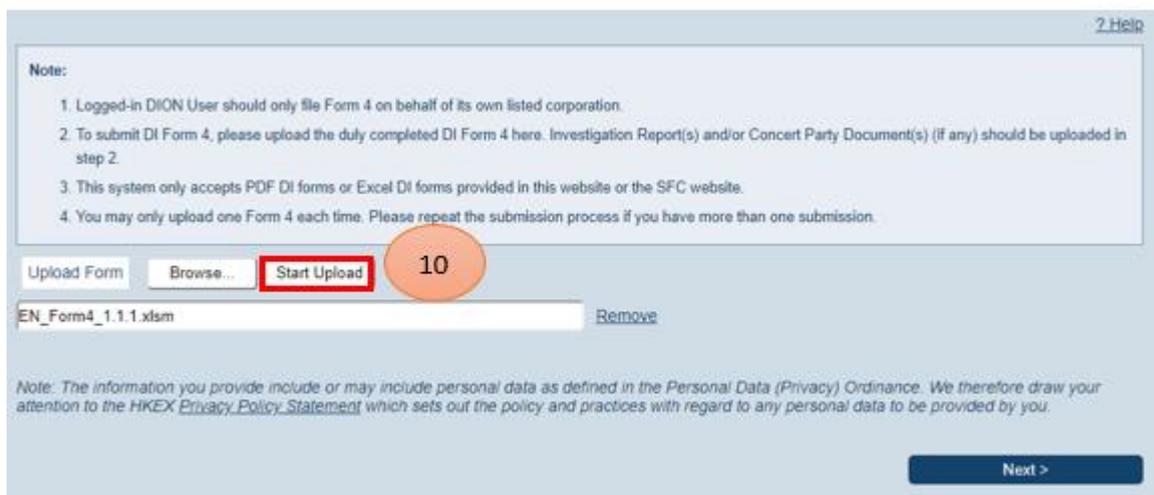
**STEP 1 – UPLOAD DI FORM 4**

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).





Click "Start Upload" (refer to number bubble 10) to upload the form and click "Next" after completion (refer to number bubble 11).

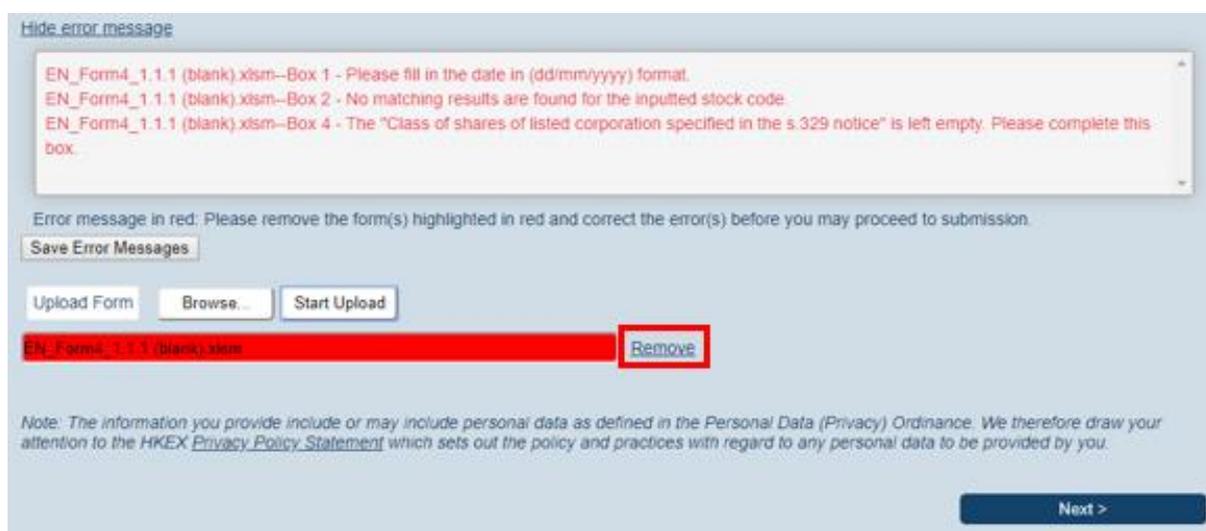


**Note:**  
 During the uploading process, the system will perform online validation. Upload bar will turn green, yellow or red to indicate whether the forms are ready for submission. If upload bar turns red, filer must remove the form, make correction to the form and upload it again. Sometimes errors 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.

<b>Green</b> upload bar	DI Form has passed all validation and is ready for submission
<b>Yellow</b> 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.
<b>Red</b> 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	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 corporation user	1. Stock code of listed corporation 2. email address of individual filing this Form 4

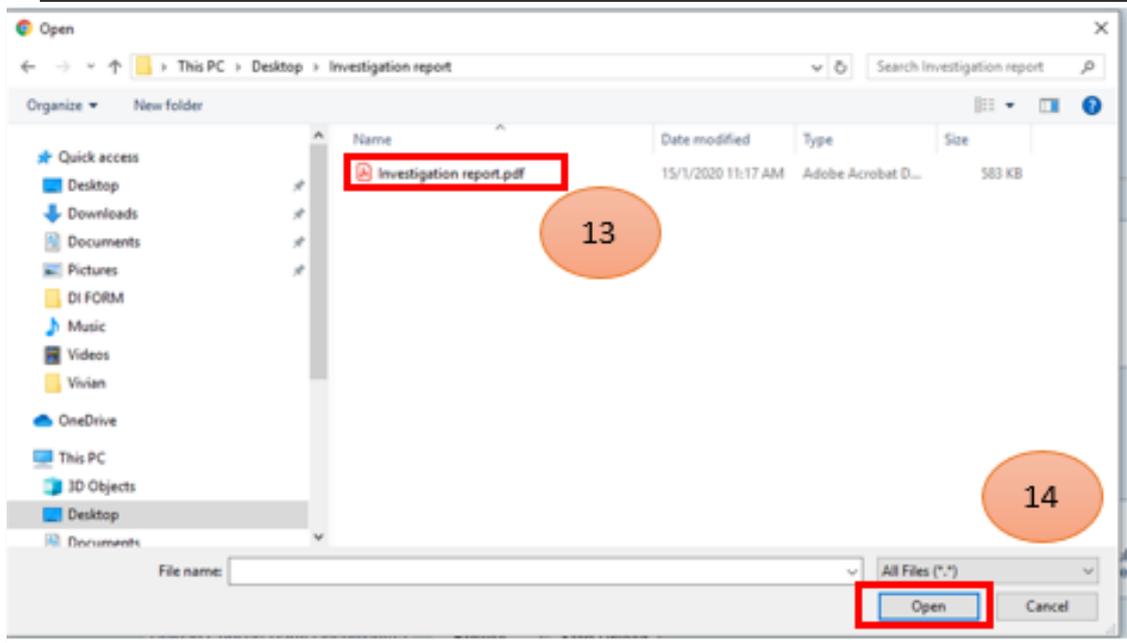
Example of red upload bar:



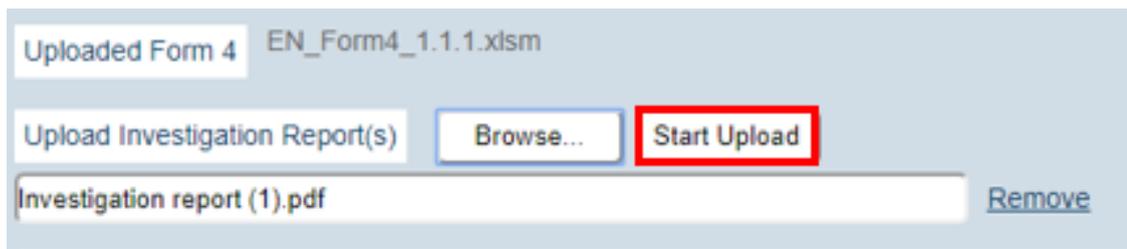
**STEP 2 – UPLOAD INVESTIGATION REPORT(S) AND/OR CONCERT PARTY DOCUMENT(S)**

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).

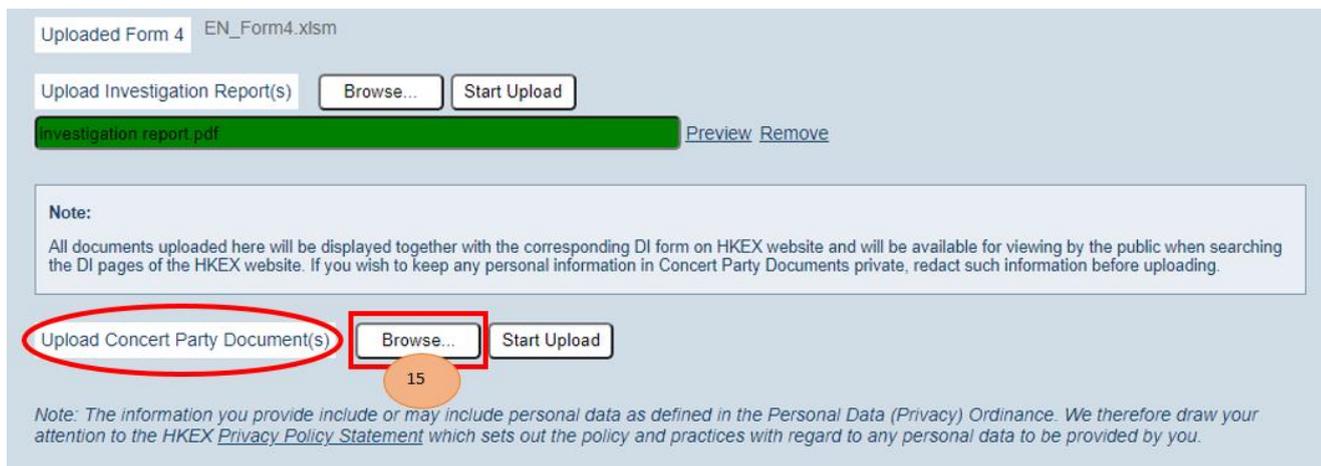




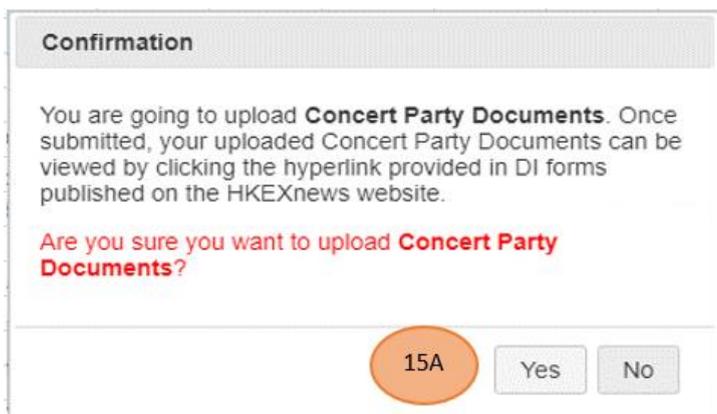
Click "Start Upload" (refer to highlighted box) to upload the investigation report.



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

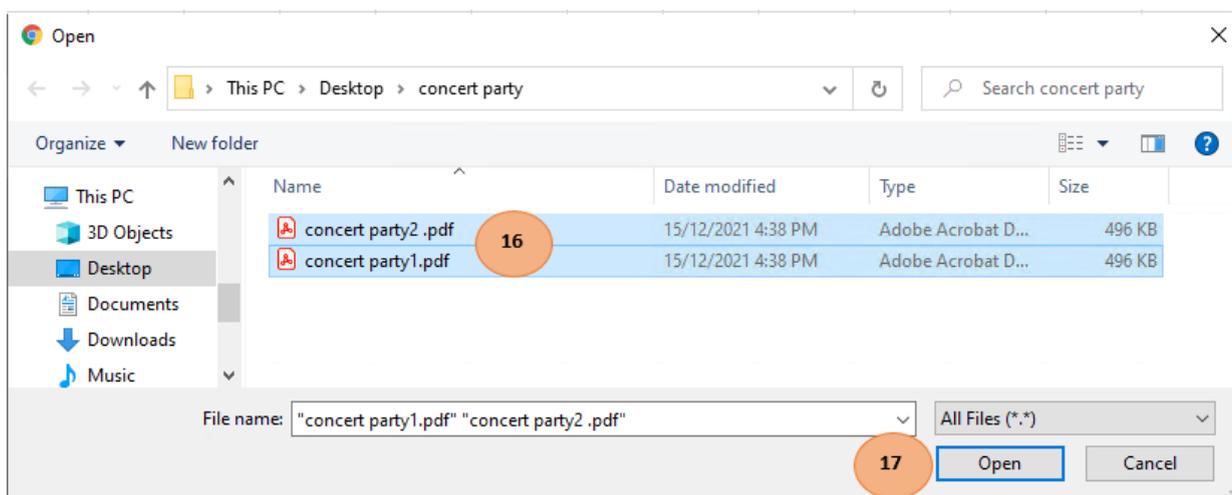


After clicking “Browse”, a confirmation box will be popped up. User may click “Yes” to proceed to file selection page or click “No” to go back to Upload Investigation Report(s) and/or Concert Party Document(s) page (refer to number bubble 15A).



*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).



*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.

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 will not be published on the HKEX website. The public cannot access the documents. The Concert Party Documents can be viewed on HKEX website.

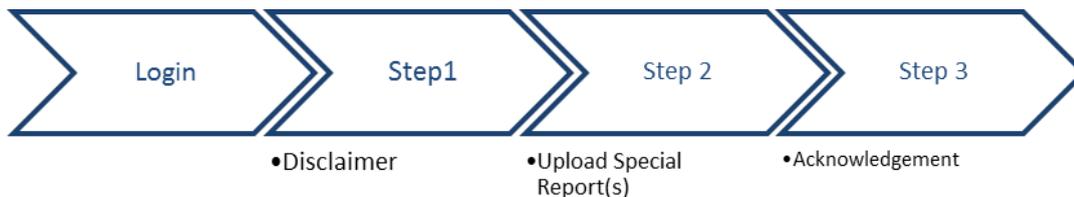
### STEP 3 – ACKNOWLEDGEMENT

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

You have completed the DI Form 4 submission. You may print/ save/ send this acknowledgement page for future reference.

Date/Time of Filing:	15/01/2020 11:28:54 GMT+08:00
Serial Number/Form Type:	IR20200115E00001 (Form 4)
Specified date:	12/01/2020
Listed Corporation / Stock Code:	Hong Kong Exchanges and Clearing Ltd. (00388)
Name of Individual Filing this Form 4:	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:	Investigation report (1).pdf
Concert Party Document(s) File Name:	Concert party doc1.pdf Concert party doc2.pdf
Check Digit:	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).



Click "☰" (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).



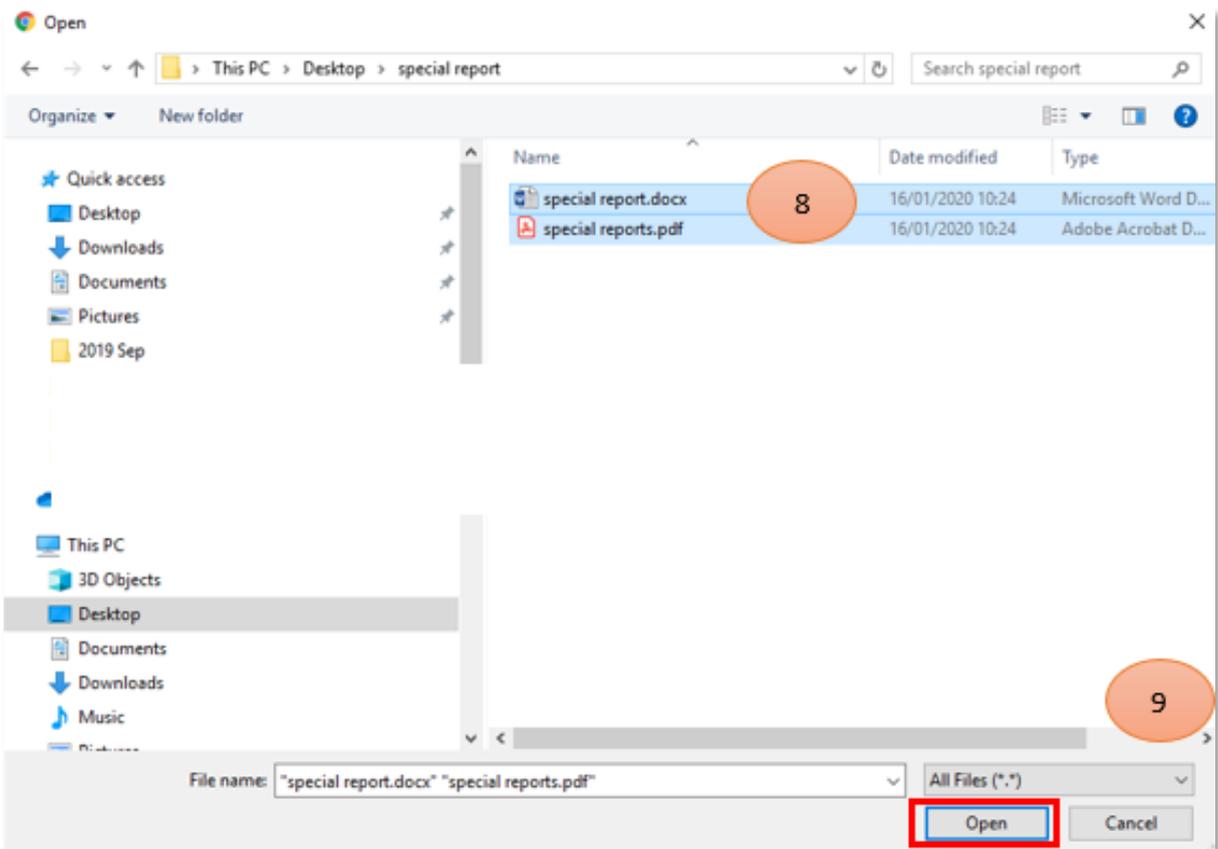
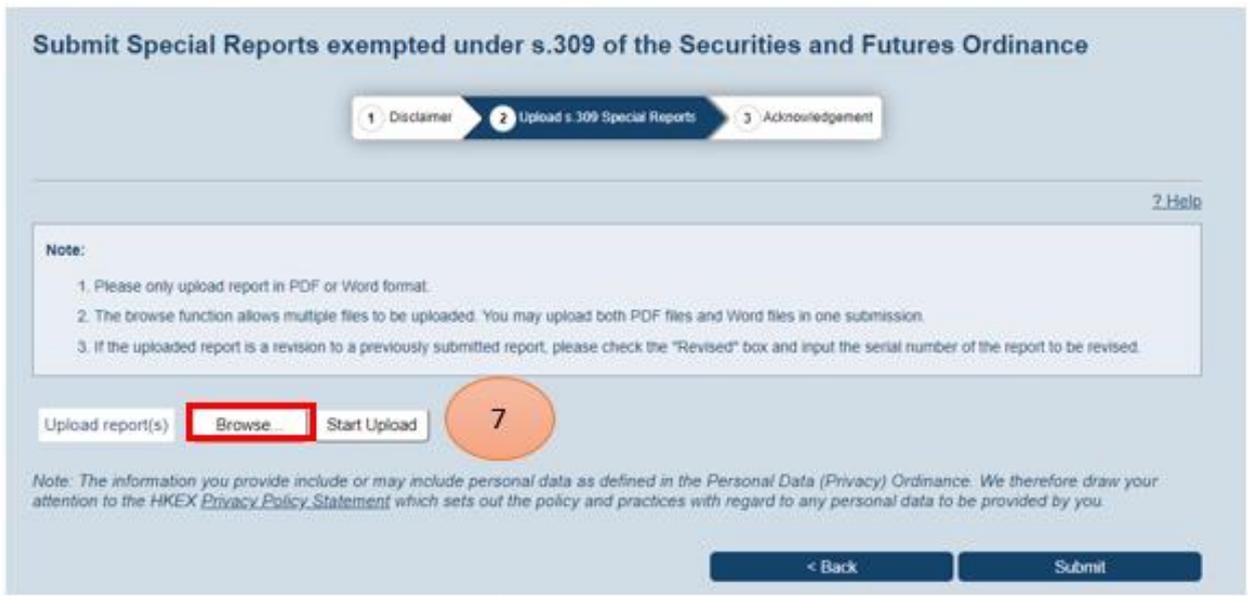
### STEP 1 - DISCLAIMER

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



**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).



**Submit Special Reports exempted under s.309 of the Securities and Futures Ordinance**

1 Disclaimer 2 Upload s.309 Special Reports 3 Acknowledgement

**Note:**

- Please only upload report in PDF or Word format.
- The browse function allows multiple files to be uploaded. You may upload both PDF files and Word files in one submission.
- If the uploaded report is a revision to a previously submitted report, please check the "Revised" box and input the serial number of the report to be revised.

Upload report(s) Browse... Start Upload

special report.docx Preview Remove | Revised: Insert log/serial number of the previous filing

special reports.pdf Preview Remove | Revised: Insert log/serial number of the previous filing

Note: The information you provide include or may include personal data as defined in the Personal Data (Privacy) Ordinance. We therefore draw attention to the HKEX [Privacy Policy Statement](#) which sets out the policy and practices with regard to any personal data to be provided by you.

< Back Submit

**Notes:**

- Support PDF and MS Word format.
- User may upload up to 10 Special Reports in each submission.
- Maximum size of each uploading file is 5MB.
- 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.

You have completed the s.309 special report(s) submission. You may print/ save/ send this acknowledgement page for future reference.

Date/Time of Filing: 16/01/2020 10:32:43 GMT+08:00  
 Serial Number/Form Type: SN20200116E00001 (s.309 Special Report)  
 Listed Corporation / Stock Code: Hong Kong Exchanges and Clearing Ltd. (00388)  
 Contact Person: Chan Tai Man  
 Daytime Tel: 287654321  
 Email: aaa@abc.com  
 Report File Name: special report.docx  
 Check Digit: A1395A1323094952ED752D43B539CC1C

Date/Time of Filing: 16/01/2020 10:32:43 GMT+08:00  
 Serial Number/Form Type: SN20200116E00002 (s.309 Special Report)  
 Listed Corporation / Stock Code: Hong Kong Exchanges and Clearing Ltd. (00388)  
 Contact Person: Chan Tai Man  
 Daytime Tel: 287654321  
 Email: aaa@abc.com  
 Report File Name: special reports.pdf  
 Check Digit: 2EEDADA48B403AD01FE9223229404099

Save this page Send this page to registered email address Print this page Back to home

## 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).

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

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

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

#### Notes:

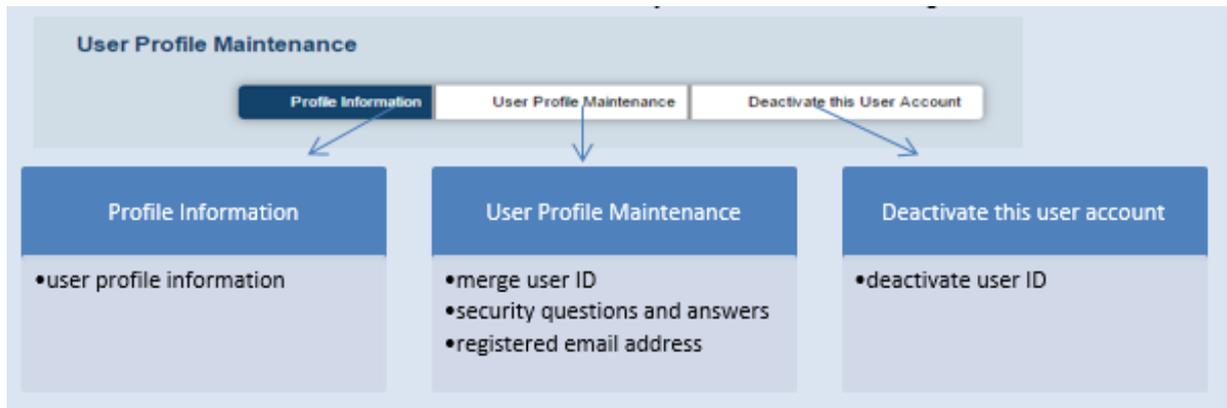
1. Password is case-sensitive.
2. Password should be a combination of letters (both upper & lower case) and numbers (0-9), ranging from 10 to 15 characters. Password can consist of special characters (i.e. ! # \$ ^ \*).
3. Upon successful updating, the system will notify the user that "The password is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

## User Profile Maintenance

After log into DION System, click "≡" (*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*)



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 1<sup>st</sup> 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.



**User Profile Maintenance**

2 Profile Information User Profile Maintenance Deactivate this User Account

\* represents a mandatory field [2 Help](#)

Please note the following information will be pre-filled in the DI form(s) downloaded after login.

Surname (English) Chan  English name is not applicable  
(Printed on HKID Card/Passport)

Other Names (English) Tai Man  
(Printed on HKID Card/Passport)

Name (Chinese) 陳大文  Chinese name is not applicable  
(Printed on HKID Card/Passport/PRC Resident Card)

Chinese Character Code  
(Printed on HKID Card)

HKID Card/Passport/PRC Resident Card No.  HKID Card  Passport  PRC Resident Card  Others  
 A123456(3)

Country of Issue of Passport

Address 1/F ABC Tower, 1 ABC Road, Hong Kong

Daytime Telephone Number 21112111

Email Address aaa@abc.com

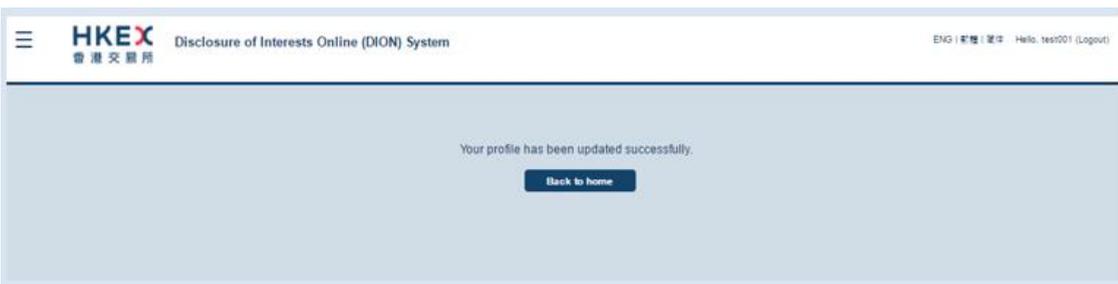
Re-type Email Address aaa@abc.com

3

4

Cancel Save changes

Personal data collected through the Disclosure of Interests Online System will not be used for direct marketing purposes and will be processed in line with the [HKEX Privacy Policy](#).



**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 corporation user	1. Stock code of listed corporation 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 2<sup>nd</sup> 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.

The screenshot displays the "User Profile Maintenance" interface. At the top, there are three tabs: "Profile Information", "User Profile Maintenance" (highlighted with a red box and labeled with bubble 1), and "Deactivate this User Account". Below the tabs, a message states: "You may merge previously registered user ID(s) by editing the list below. Please note that the previous user ID(s) will be deactivated after merging." Underneath this message is a "List of merged User ID(s):" field with a red box and labeled with bubble 4. The main form area is titled "Please provide your previous registered user ID(s) below" and contains four input fields: "Previous Registered User ID", "Registered Email Address of the above User ID", "Security Question", and "Answer". These input fields are grouped together with a red box and labeled with bubble 2. At the bottom of the form are two buttons: "Clear" and "Confirm" (highlighted with a red box and labeled with bubble 3). Below the form is a "Save changes" button (highlighted with a red box and labeled with bubble 5) and a "Cancel" button.

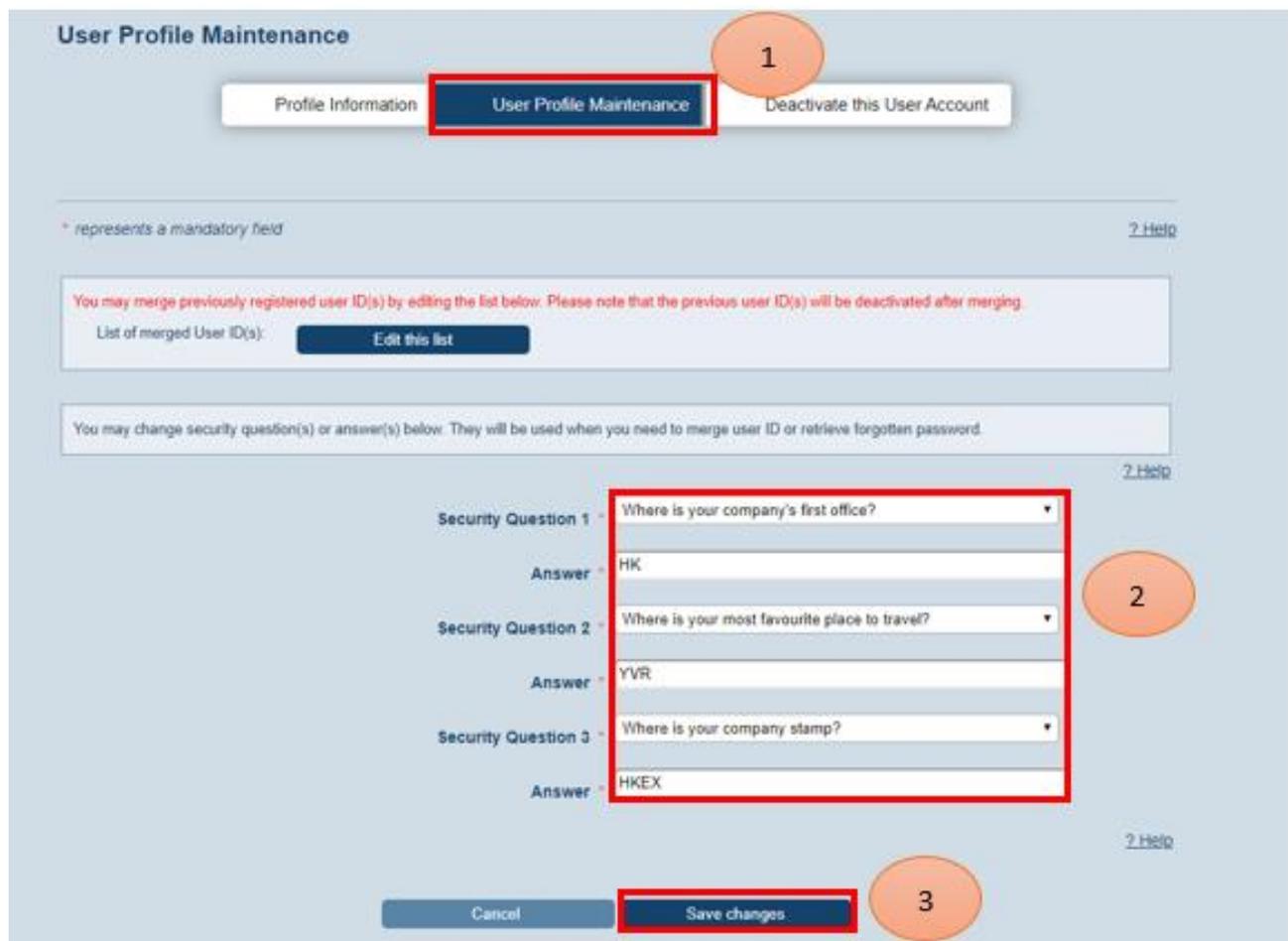
Data field	Instruction / Data to be inputted
Previous registered User ID	Provide your previous registered User ID <b>Note: User ID not yet activated is not accepted</b>
Registered email address of the above User ID	Provide registered email address for the previous registered User ID
Security Question	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 2<sup>nd</sup> 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).

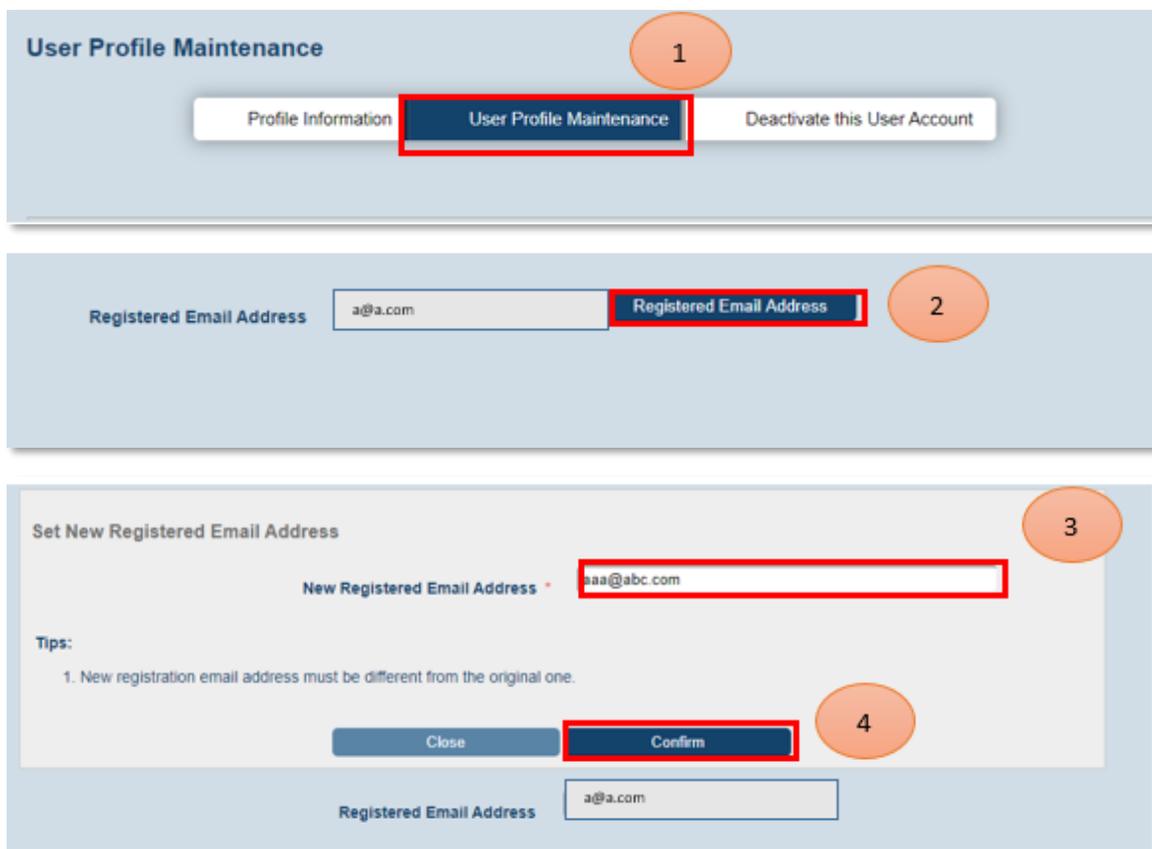


**(iv) Registered email address**

Under "User Profile Maintenance" function, click on the 2<sup>nd</sup> 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).



## (v) Deactivate User ID

Under "User Profile Maintenance" function, click on the 3<sup>rd</sup> 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 ID cannot merge with any other User ID.

The screenshot displays the "User Profile Maintenance" interface. At the top, there are three tabs: "Profile Information", "User Profile Maintenance", and "Deactivate this User Account". The "Deactivate this User Account" tab is highlighted with a red box and labeled with bubble 1. Below the tabs, a warning message states: "Important Note: You will not be able to login this account after you enter the account password below and click 'Deactivate this account' button to confirm the account deactivation." Below the warning, there are two password input fields: "User Account Password" and "Re-type User Account Password", both highlighted with red boxes and labeled with bubble 2. At the bottom, there are two buttons: "Cancel" and "Deactivate this account", with the latter highlighted by a red box and labeled with bubble 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.

HKEX 香港交易所 Disclosure of Interests Online (DION) System

1 ENG | 繁體 | 简体 login

### Login

User ID

Password

Enter the characters in the image

1807 Refresh image

Login

2 Forgot User ID or Password?

If you are new User, please [register here](#)

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

### Retrieve Forgotten User ID

Help

3 Registered Email Address

Enter the characters in the image

3793 Refresh image

4 Forgot User ID or Password?

5 Submit

## 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.

1. 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

## 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 <https://sdinotice.hkex.com.hk/notification> to retrieve DI filing(s) and related document(s) filed for his/her listed corporation.

Enter URL <https://sdinotice.hkex.com.hk/notification> (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:

- 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 [a@Alistedcorp.com](mailto:a@Alistedcorp.com); [b@Alistedcorp.com](mailto:b@Alistedcorp.com)

Input ESS user ID & password

Input your ESS user ID with DION System access permission

Input your ESS user password

Enter the characters in the image

6542 Refresh image

Login

Note: If you need to reset password, unlock user account or update profile of your ESS user account, please execute through E-submission system.

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

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

After logged into DION System, click "☰" 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:**

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.



**Download Copy of DI Forms and Attachments**

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

**Note:**  
Forms and attachments filed within 90 calendar days are available for download.

Listed Corporation:

Serial Number :  Filing date : From : 15 1 2020 To : 15 1 2020

DI Form Type :  Event Date : From : DD MM YYYY To : DD MM YYYY

<input type="checkbox"/> All	Serial Number	Filing date	Name of director / substantial shareholder	Event Date	DI form	DI form Attachment(s)
<input type="checkbox"/>	IS20200115E00008	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325958.xism</a>	
<input type="checkbox"/>	IS20200115E00007	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325957.xism</a>	
<input type="checkbox"/>	IS20200115E00006	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325956.xism</a>	
<input type="checkbox"/>	DA20200115E00005	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325952.xism</a>	
<input type="checkbox"/>	DB20200115E00004	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325953.xism</a>	
<input type="checkbox"/>	DC20200115E00003	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325954.xism</a>	
<input type="checkbox"/>	IS20200115E00002	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325955.xism</a>	

Page 1 of 1 Total Count : 7

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.

**Download Copy of DI Forms and Attachments**

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

**Note:**  
Only DI Forms and attachments filed within 90 calendar days are available for download.

Listed Corporation:

Serial Number :  Filing date : From : 15 1 2020 To : 15 1 2020

DI Form Type :  Event Date : From : DD MM YYYY To : DD MM YYYY

<input type="checkbox"/> All	Serial Number	Filing date	Name of director / substantial shareholder	Event Date	DI form	DI form Attachment(s)
<input type="checkbox"/>	IS20200115E00008	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325958.xism</a>	
<input type="checkbox"/>	IS20200115E00007	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325957.xism</a>	
<input type="checkbox"/>	IS20200115E00006	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325956.xism</a>	
<input type="checkbox"/>	DA20200115E00005	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325952.xism</a>	
<input type="checkbox"/>	DB20200115E00004	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325953.xism</a>	
<input type="checkbox"/>	DC20200115E00003	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325954.xism</a>	
<input type="checkbox"/>	IS20200115E00002	15/01/2020	Chan Tai Man	12/01/2020	<a href="#">F0000000000000325955.xism</a>	

Page 1 of 1 Total Count : 7

-END-