User Guide

for

User

of

Bond Connect Company Limited
("E-Filing System")

Version: 1.4
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DOCUMENT OBJECTIVES

This document aims to provide a detailed picture to **Users** of the BCCL E-Filing System on each function of the BCCL E-Filing System. Step by step instructions and respective Screenshots are provided to ensure that users could accomplish tasks with ease and convenience.

TABLE OF CONTENTS

1. INTRODUCTION

The BCCL E-Filing system is a web-based platform designed to provide a means to facilitate and process the submission of applications and supporting documentations through an online portal for the purpose of Bond Connect scheme admission. The E-Filing system enables prospective overseas investors to submit applications and Bond Connect Company Limited (BCCL) to provide admission assistance and guidance during onboarding process.

2. REGISTRATION

An investor needs to have an active User account in order to manage applications in the E-Filing System. The number of users under an entity is not limited.

Steps to register a User account:

1. Open your browser and the E-Filing system homepage:
   https://efiling.chinabondconnect.com/index.html

2. Click "Register as a User" button to register.

3. Enter all the mandatory information together with the BC code you get from your User Admin. Read the "Terms and Conditions" then submit the registration for User Admin to approve.

efiling.chinabondconnect.com says

Registration Submitted.

Please contact your entity user admin for account activation.

Thank you!

OK

4. Once your User Admin have reviewed and approved your application, you will receive a confirmation email.

5. You may now login to manage applications.

3. LOGIN

Steps to login as User:

1. Open your browser and the E-Filing system homepage

2. At the login section, choose user and enter email, password and Captcha to login.
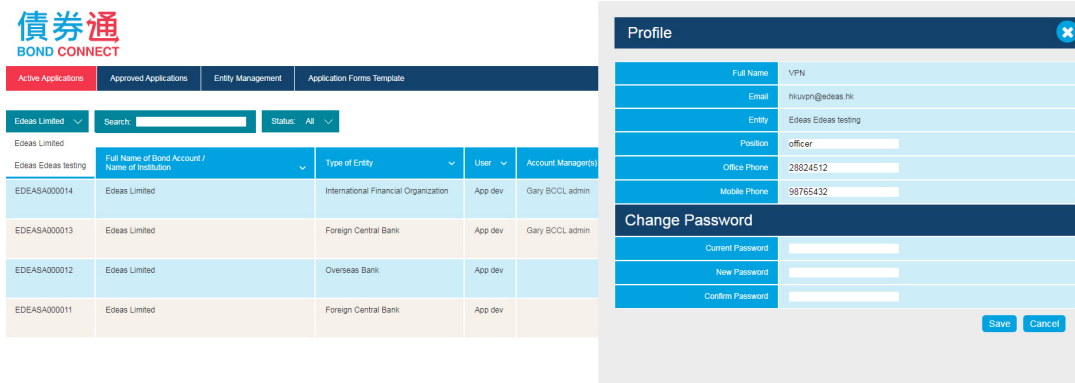
4.   PROFILE AND PASSWORD MANAGEMNET

User can manage his/her profile and change the password.

1. Click [icon] to call out the profile layer.

2. You can edit your Name, Position, Office phone number and Mobile phone number. To change password, type in your current password, your new password and retype the new password.
3. Click the "Save" button to save your changes.

5.   SYSTEM ANNOUNCEMENT

Whenever there is a system announcement, you will see [icon] at the header. Click on it to show the announcement.

6.   APPLICATION FORMS TEMPLATE

User may retrieve application forms template for different types of entities for reference.

1. Go to Application Forms Template section.

2. You will see a list of different forms needed for different entity categories.

3. You can click to download the application forms template in WORD format for reference.

7.   ENTITY MANAGEMENT

User can apply for access to applications under other entities.

1. Go to Entity Management section.

2. Click to show the interface to add another entity.

3. Fill in the "Entity Name" and "BC Code" you get from the new entity admin, then click "Apply".

4. When your access to the other entity has been granted, the entity status will change from "Pending" to "Active".

5. You will then have access to applications under the new entity.

8. SETTINGS

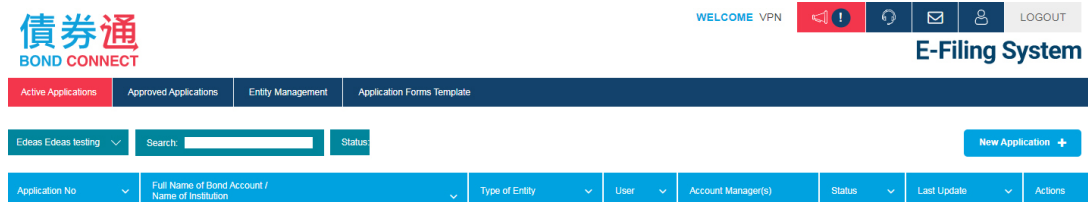User can adjust settings to subscribe/unsubscribe system notification emails.

1. After log in, Go to ⚙ at top right corner.
2. Adjust subscription settings by clicking the switch.

3. Click the "Save" button to save your changes.

9. APPLICATION MANAGEMENT

9.1 Create New Application

User can create new Bond Connect applications.

1. Go to the "Active Applications" tab and click [New Application +].
2. Once a new application has been created, user may follow the steps to fill in the forms. Please click [Save] to save the input.
3. When ready, please click [Submit] to submit the application for BCCL to review.

*After an application has been created, User can leave a question / comment anytime by clicking [icon] to call out the message board. Whenever there is an unread message, the icon will be highlighted in red [icon].

9.2 Manage Existing Applications

User can manage existing Bond Connect Applications under "Active Applications" tab.

9.2.1 Application Workflow (Translation Service Required)

Steps	Status	User Actions Required
1	New Filing	Y
2	BCCL Form Optimization	
3	User Revision	Y
4	BCCL Translation	
5	Translation Review	Y
6	Application Execution	Y

7	PBoC Review	
8	Application Approved	Y

Step 1: New Filing (User actions required)
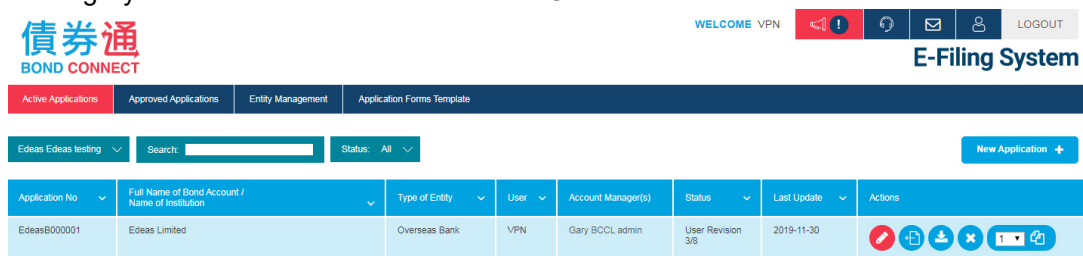
1. User to create and work on the application.

2. Once the forms have been filled out, please click Submit to proceed to the next step.
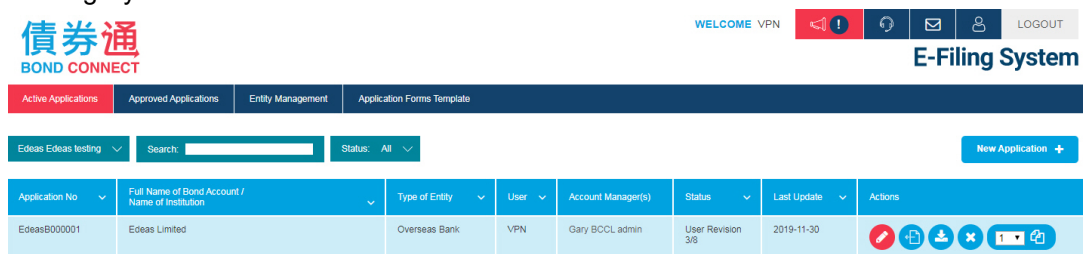
Step 2: Form Optimization (BCCL)
1. The application is under BCCL review.

Step 3: User Revision (User actions required)
1. Once BCCL has provided feedback and comments, the application will go to User Revision. E-Filing System will send a reminder email to User.
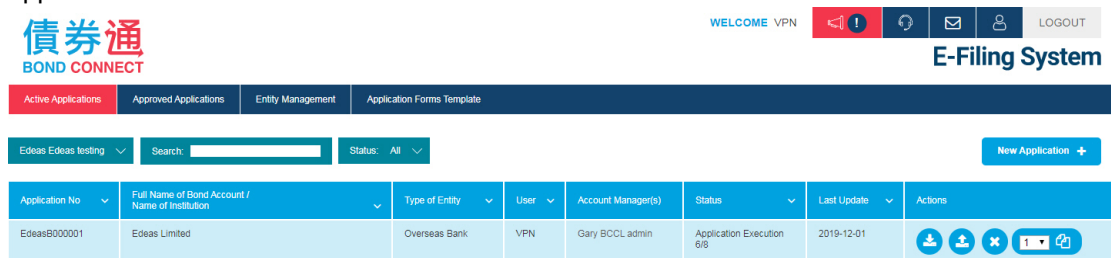

2. Click to check BCCL comments and revise the application.
3. Once finished, click to submit the application.

Step 4: BCCL Translation (BCCL)
1. Once the English contents have been finalized, BCCL will proceed with translation.

Step 5: Translation Review (User actions required)
1. Once BCCL has finished translation, user will have a chance to review the application and make last minute changes. E-Filing System will send a reminder email to User.

2. Click to review and make last minute changes.
3. If you have a question regarding a specific field, click C to leave comments. Please click Save to save the comments. Click to request for additional assistance from BCCL with translation/amendments.
4. Once User has confirmed the contents, Click to proceed to application execution.

Step 6: Application Execution (User actions required)

1. User can arrange for execution of the finalized application forms.

2. Click 🔽 to download the forms in PDF format for sign and chop.

3. Once execution is done, click 🔼 to upload the signed PDFs.

4. Submit the application to proceed to the next step.

Step 7: PBOC Review (BCCL)

Once all signed documents have been uploaded, the application will be submitted for onshore regulators' further review. User will be posted with updates.

Step 8: Approved (User actions required)

1. Once the application has been approved, E-Filing System will send a reminder email to User. Please proceed to "Approved Application" tab to download the official filing notice.

9.2.2 Application Workflow (Own Translation)

Steps	Status	User Actions Required
1	New Filing	Y
2	BCCL Form Optimization	
3	User Revision	Y
4	Application Execution	Y
5	PBoC Review	
6	Application Approved	Y

Step 1: New Filing (User actions required)

1. User to create and work on the application. ✏️

2. Once the forms have been completed, please click **Submit** 💾 to proceed to the next step.

Step 2: Form Optimization (BCCL)
1. The application is under BCCL review.

Step 3: User Revision (User actions required)
1. Once BCCL has provided feedback and comments, the application will go to User Revision. E-Filing System will send a reminder email to User.

2. Click ✏️ to check BCCL comments and revise the application.

Step 4: Application Execution (User actions required)
1. Once the forms have been finalized, the application will go to Application Execution. E-Filing System will send a reminder email to User. User can arrange for signatures for the finalized application forms.
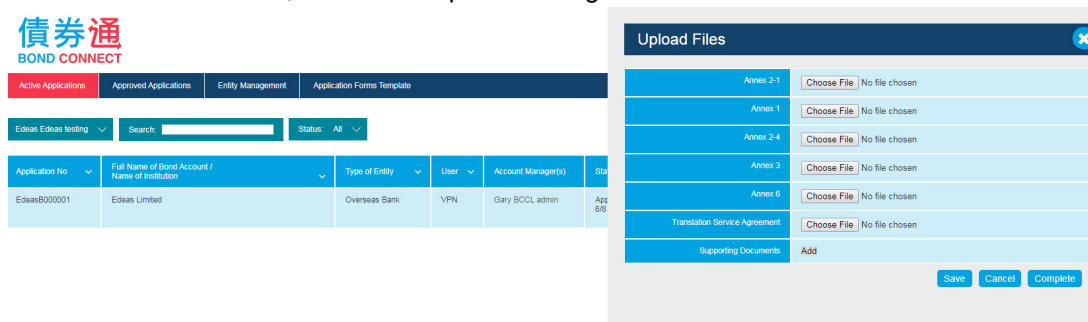
2. Click ⬇️ to download the forms in PDF format for sign and chop.

3. Once execution is done, click ⬆️ to upload the signed PDFs.

4. Submit the application to proceed to the next step.

Step 5: PBOC Review (BCCL)

1. Once all signed documents have been uploaded, the application will be submitted for onshore regulators' further review. User will be posted with updates.

Step 6: Approved (User actions required)

1. Once the application has been approved, E-Filing System will send a reminder email to User. Please proceed to "Approved Application" tab to download the official filing notice.

9.3 Approved Applications

User can download the official filing notices for approved applications, and upload Annex 3 if applicable.

1. Go to "Approved Application" tab.

2. Click to download the "Official Filing Notice" to keep record

3. Click to upload Annex 3 (if applicable).

9.4 Batch Applications

User can create batch applications by duplicating existing ones.

1. Go to "Active Applications" or "Approved Applications" tab.

2. Next to the application to be duplicated, choose the number of copies desire and click to proceed.

3. Batch applications have been created and you will be redirected back to "Active Application" tab.
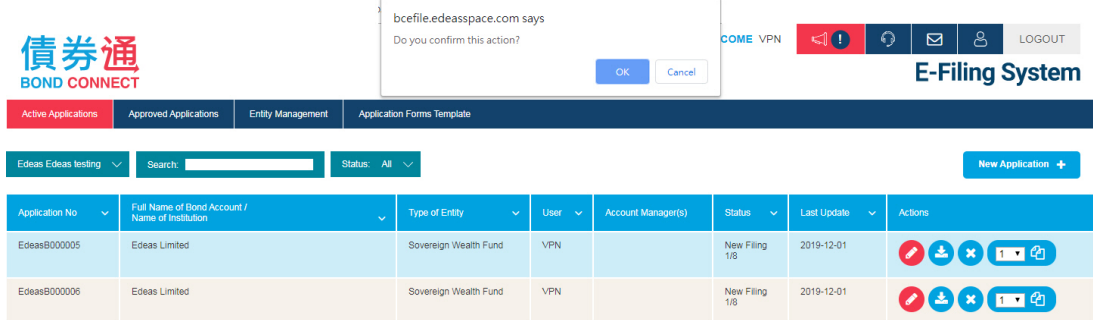
4. Click to start updating the batch applications.

9.5   Cancel Application

User can discard unwanted applications.

1. Go to "Active Applications" tab, and click next to the target.

2. After confirmation, the application will be removed.

9.6   Application Management for Different Entities
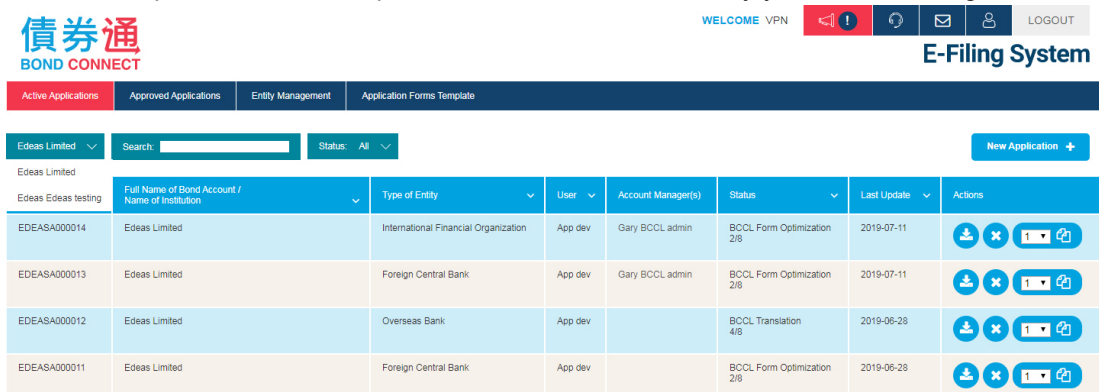
When user has access to more than one entity, he/she can manage applications for all of them.

1. Go to "Active Applications" / "Approved Applications" tab.
2. Click the dropdown list at the top left corner to choose the entity you are accessing.

3. Proceed to manage applications for the chosen entity.