

CHAPTER 8

PAYMENT OF FEES AND CHARGES

801. Subject to such approvals as may be required under the Ordinance, the Board shall have the power to impose fees and charges in relation to such matters or things and in such amount as the Board may from time to time think fit in addition to any fees and charges specifically required to be paid by or imposed on Participants under these Rules and to require the payment of such fees and charges by Participants or other persons and to prescribe the time and method of payment thereof.
802. Without limitation to the generality of Rule 801 above, the Board may impose fees and charges in respect of:-

<u>Fee Type</u>	<u>Amount (HK\$)</u>
(1) [Repealed]	
(1A) [Repealed]	
(2) monthly subscription:	
(a) holder of Stock Exchange Trading Right;	2,900
(b) Exchange Participant;	2,900
(2A) (a) Stock Exchange Trading Right (other than those issued under the Stock Exchange Scheme and under Rule 3A13A)	500,000 per Stock Exchange Trading Right
(b) Stock Exchange Trading Right under Rule 3A13A.	10,000
(3) [Repealed]	
(4) [Repealed]	
(5) [Repealed]	
(6) [Repealed]	
(7) [Repealed]	
(8) [Repealed]	
(9) [Repealed]	
(10) [Repealed]	
(11) [Repealed]	

(12) [Repealed]

(12A) Trading Fee;

0.00565% of the amount of the consideration for:

(a) each purchase or sale of securities admitted to trading, listed, or approved to be listed on the Exchange (rounded to the nearest cent); and

(b) each “Qualifying Transaction” or “offer for sale” of securities in accordance with the Main Board Listing Rules or the GEM Listing Rules (as the case may be) (rounded to the nearest cent)

(13) [Repealed]

(14) [Repealed]

(15) [Repealed]

(16) [Repealed]

(16A) [Repealed]

(16B) [Repealed]

(16C) [Repealed]

(16D) [Repealed]

(16E) [Repealed]

(16F) [Repealed]

(16G) [Repealed]

- (16H) [Repealed]
- (16I) [Repealed]
- (16J) [Repealed]
- (16K) [Repealed]
- (17) [Repealed]
- (17A) [Repealed]
- (18) [Repealed]
- (19) [Repealed]
- (19A) [Repealed]
- (20) [Repealed]
- (21) [Repealed]
- (22) [Repealed]
- (23) [Repealed]
- (24) [Repealed]
- (25) [Repealed]
- (26) production of Trade File and/or Closing Price File Diskette 20/diskette
for current day;
- (27) [Repealed]
- (28) Broker Transaction Detail Report (request on non- 100/broker number
current trading day);
- (29) [Repealed]
- (30) [Repealed]

802A. Without limitation to the generality of Rule 801 above, the Board may impose fees and charges in relation to the Central Gateway as follows:-

<u>Fee Type</u>	<u>Amount (HK\$)</u>
(1) administration fee for each Central Gateway session, Market Making Central Gateway session and Backup Central Gateway session applied for under Rule 365(1), 364B(3)(c), 365C(2), 364AA(1)(a), 364AA(1)(b), Regulation (15)(b) of the Fourteenth Schedule, Regulation(5)(b) of the Eighteenth Schedule or Regulation (16) of the Nineteenth Schedule	20,000 for each session
(2) an increase in the Central Gateway throughput rate applied for under Rule 365C(1)	50,000 for each standard Central Gateway throttle rate
(3) in addition to any one-time fee specified above, a monthly fee (unless otherwise stated) for:	
(a) the use of a Central Gateway session, Market Making Central Gateway session or Backup Central Gateway session as follows depending on the number of standard Central Gateway throttle rates assigned (including any assigned under the Monthly Throttle Subscription Scheme but excluding any assigned under the Throttle-on-Demand Scheme):	
(i) low capacity - up to 20 standard Central Gateway throttle rates	Central Gateway session: 2,000 for the first session for trading or backup, 7,500 for each additional session Market Making Central Gateway session: 7,500 for each session for trading or backup
(ii) standard capacity - 21 to 60 standard Central Gateway throttle rates	10,000
(iii) high capacity - 61 to 100 standard Central Gateway throttle rates	15,000
- 101 to 150 standard Central Gateway throttle rates	20,000

	- 151 to 200 standard Central Gateway throttle rates	25,000
	- 201 to 250 standard Central Gateway throttle rates	30,000
(b)	Stock Exchange Trading Right(s) assigned to a Central Gateway session under Rule 365(1B)(a) or (b);	480 for each Stock Exchange Trading Right assigned
(c)	an increase in the throughput rate of a message into the System through an existing Central Gateway session or a new Central Gateway session under Rule 364B(1A);	480 for each standard Central Gateway throttle rate
(d)	an increase in the throughput rate of a message into the System through an existing Central Gateway session or a new Central Gateway session under Rule 365(1B)(c);	480 for each standard Central Gateway throttle rate
(e)	an increase in the throughput rate of a message into the System under Rule 365C(1) through an existing Central Gateway session;	960 for each standard Central Gateway throttle rate
(f)	an increase in the throughput rate of a message into the System under Rule 365C(1) through a new Central Gateway session under Rule 365C(2);	960 for each standard Central Gateway throttle rate
(g)	each standard Central Gateway throttle rate assigned to a Market Making Central Gateway session;	480 for each standard Central Gateway throttle rate
(h)	Drop-Copy session or Backup Drop-Copy session;	4,500 for each session, except that there shall be no charge for the first session
(i)	a temporary increase in the throughput rate of a message into the System under the Throttle-on-Demand Scheme in Rule 365D(1), whether through an existing Central Gateway session or a new Central Gateway session under Rule 365C(2);	200 for each standard Central Gateway throttle rate per trading day

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| (j) | the subscription of an increase in the throughput rate of a message into the System under the Monthly Throttle Subscription Scheme in Rule 365E(1), whether through an existing Central Gateway session or a new Central Gateway session under Rule 365C(2); | 2,000 for each standard Central Gateway throttle rate |
| (k) | Kill Switch session or Backup Kill Switch session under Rule 365F(1) | 6,000 for each session |

802B. Without limitation to the generality of Rule 801 above, the Board may impose fees and charges in relation to the China Connect Central Gateway as follows:-

<u>Fee Type</u>	<u>Amount (HK\$)</u>
(1) administration fee for each China Connect Central Gateway session and Backup China Connect Central Gateway session applied for under Rule 1410(1) or Rule 1413(5)	20,000 for each session
(2) an increase in the China Connect Central Gateway throughput rate applied for under Rule 1413	50,000 for each standard China Connect Central Gateway throttle rate
(3) in addition to any one-time fee specified above, a monthly fee for:	
(a) the use of a China Connect Central Gateway session or Backup China Connect Central Gateway session as follows depending on the number of standard China Connect Central Gateway throttle rates assigned (including any assigned under the China Connect Monthly Throttle Subscription Scheme):	
(i) low capacity - up to 20 standard China Connect Central Gateway throttle rates	China Connect Central Gateway session: 2,000 for the first session for trading or backup, 7,500 for each additional session
(ii) standard capacity - 21 to 60 standard China Connect Central Gateway throttle rates	10,000
(iii) high capacity - 61 to 100 standard China Connect Central Gateway throttle rates	15,000

- 101 to 150 standard China Connect Central Gateway throttle rates 20,000
- 151 to 200 standard China Connect Central Gateway throttle rates 25,000
- 201 to 250 standard China Connect Central Gateway throttle rates 30,000

- (b) an increase in the throughput rate of a message into the CSC through a new/an existing China Connect Central Gateway session under Rule 1413; 960 for each standard China Connect Central Gateway throttle rate
- (c) China Connect Drop-Copy session or Backup China Connect Drop-Copy session; 4,500 for each session, except that there shall be no charge for the first session
- (d) the subscription of a single or multiples of a standard China Connect Central Gateway throttle rate under the China Connect Monthly Throttle Subscription Scheme in Rule 1413A 2,000 for each standard China Connect Central Gateway throttle rate

803. The amount of any fees and charges which the Board may impose shall be specified in these Rules and shall be notified to the Participants by means of circulars from the Board to Participants.

804. The amount of any fees and charges imposed by the Board pursuant to these Rules may from time to time be revised by the Board as it shall in its absolute discretion think fit and the Board shall notify such revised fees and charges to Participants by means of circulars.

805. The Board shall also prescribe the time and method of payment of any fees and charges imposed pursuant to these Rules by means of circulars to Participants and all Participants shall comply with the requirements, instructions or directions contained in such circulars including the payment of interest, surcharge, penalty or fine for late payment of such fees and charges. For the avoidance of doubt, the Board may prescribe different requirements, instructions or directions in respect of different categories of Participants.

806. (a) Without prejudice to Rule 805, an Exchange Participant shall pay the Trading Fee to the Exchange in the manner as provided in and subject to the Trading Fee Operation Procedures as prescribed by the Board from time to time.

(b) Without prejudice to Rule 805, a Special Participant shall pay the Trading Fee in the manner as prescribed by the Board from time to time.

807. The Board shall have the power to exempt or waive the payment of any of the fees and charges, in whole or in part, required to be paid under these Rules as the Board may from time to time think fit.