

Rules, Regulations and Procedures of Hong Kong Futures Exchange Limited

CHAPTER III
EXCHANGE PARTICIPANTSHIP AND
FUTURES EXCHANGE TRADING RIGHTS

Certificates

311. (b) Where it is proven to the satisfaction of the Exchange that a certificate of Exchange Participantship is defaced, lost or destroyed, a new certificate may be issued on such terms as to evidence and indemnity as the Board thinks fit and on payment of any expenses incurred by the Exchange in enquiring into the circumstances of the defacing, loss or destruction.

CHAPTER IIIA
FUTURES EXCHANGE TRADING RIGHTS

3A09. (b) Where it is proven to the satisfaction of the Exchange that an Exchange Trading Right certificate is defaced, lost or destroyed, a new certificate may be issued on such terms as to evidence and indemnity as the Board thinks fit and on payment of any expenses incurred by the Exchange in enquiring into the circumstances of the defacing, loss or destruction.

Appendix B – FEES

Description	Amount ¹
FTSE/Xinhua China 25 Index Options	House/Client a/c 5.00/Lot MM a/c 1.00/Lot MM in FTSE/Xinhua China 25 Index Futures ² 2.00/Lot
Hang Seng China H-Financials Index Futures	House/Client a/c 5.00/Lot MM a/c 1.00/Lot
Gold Futures	House/Client a/c USD1.30/Lot MM a/c USD1.30/Lot or such lesser amount as the Exchange may from time to time agree with the relevant Exchange Participant
<i>HKATS-related fees</i>	
CLICK or OAPI sub-license fee	1750/month/CLICK or OAPI
Access to the Exchange's testing environment	100/day or part thereof provided that no access fee will be charged for the first 5 business days
Performance of login test or transaction test outside of the Exchange's normal working hours from 9 a.m. to 6 p.m.	1,000/day or part thereof regardless of test results
OAPI certification	2,000/test regardless of test results
Rental of CLICK workstations in SOS centre	1,000/workstation/day or part thereof

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On-behalf-of processing	
(i) bulk deletions involving more than 20 orders	1,000/bulk deletion
(ii) transactions other than bulk deletions	50/transaction
Non-standard combinations	
(i) no. of order entries exceeds 100% but is less than or equal to 150% of the prescribed daily maximum and the aggregate fee payable for the month is more than \$100	0.01/order entry in excess of the prescribed daily maximum
(ii) no. of order entries exceeds 150% but is less than or equal to 500% of the prescribed daily maximum and the aggregate fee payable for the month is more than \$100	0.05/order entry in excess of the prescribed daily maximum
(iii) no. of order entries exceeds 500% of the prescribed daily maximum and the aggregate fee payable for the month is more than \$100	Up to 0.20/order entry in excess of the prescribed daily maximum with the applicable fee in force from time to time being notified by HKFE to Exchange Participants and the Commission
Reprint of reports	5/page, up to a maximum of 1,000/report
Processing of error trades pursuant to HKFE Rule 819B (payable by the Exchange Participant who initiated the claim only)	3,000/claim
Processing of erroneous trades pursuant to HKFE Rule 819C	800/trade, exclusive of trading and clearing fees

Exchange Participants/Trading Right-related fees

Exchange Participants subscription fee	6,000/annum
Futures Exchange Trading Right (other than those issued under the Futures Exchange Scheme, under Rule 3A16A and pursuant to an application made under Rule 3A03A(c))	500,000/Futures Exchange Trading Right or where there is a Tender Process, 500,000 or the price of the selected tender, whichever is the lower
Futures Exchange Trading Right issued pursuant to an application made under Rule 3A03A(c)	25,000/Futures Exchange Trading Right
Futures Exchange Trading Right under Rule 3A16A	10,000
Administration fee for Tender Process	50,000 (Not applicable if no valid tender is received)
Futures Exchange Trading Right register maintenance fee (applicable to non-Exchange Participant holders of Futures Exchange Trading Rights only)	14,000/annum
Exchange Participant register inspection fee	300/inspection
Futures Exchange Trading Right register inspection fee	300/inspection

Other fees

Price reporting broadcasting fee	standard fee:	11,500/month
	back-up fee:	3,000/month
	scale fee (real-time):	
	- without price depth	25/interactive workstation/month
		5/pager/month
	- with 5 levels price depth	75/interactive workstation/month
		5,000/month
	fee if broadcast is on a delay basis of 15 minutes or more:	