

Rules of the Exchange

CHAPTER 8

PAYMENT OF FEES AND CHARGES

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>
(12) [Repealed] trading tariff;	0.50 payable on each and every purchase or sale transaction
(12A) Trading Fee;	0.005 5 ⁶⁵ % of the amount of the consideration for: <ul style="list-style-type: none"> (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)

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 ~~and the trading tariff~~ in the manner as prescribed by the Board from time to time.

SIXTH SCHEDULE

**SECURITIES BORROWING AND LENDING REGULATIONS
("REGULATIONS")**

- (3) Unless the terms and conditions of these Regulations or the CCASS Rules (as the case may be) are complied with, the borrowing and the lending of securities by an Exchange Participant may be treated as a disposal by the lender and an acquisition by the borrower and the return of borrowed securities as an acquisition by the lender and a disposal by the borrower so that the Transaction Levies, the Investor Compensation Levy and any other prescribed levy, fees and charges (including but not limited to the Trading Fee ~~and trading tariff~~) may be payable in accordance with these Rules, and, if appropriate, the matter will be referred to the Collector. In addition, if the relevant circumstances involve a breach of the Stamp Duty Ordinance, stamp duty may be payable.