



## Indicative Fee Schedule – 25<sup>th</sup> April 2016

Haitong International Securities Company Limited – L/S strategy

### 1. GPP Prime Account

#### **Equity Financing:**

Margin Lending debit interest: 1 week LIBOR (or equivalent) 125 BPS

Credit interest: 1 week LIBOR (or equivalent) -50 BPS

#### **Stock Borrow:**

General Collateral names: Japan 65 BPS, US 65 BPS, HK 75 BPS

Hard to borrow names: case by case basis

#### **Equities - Electronic Trading (DMA & ALGOS):** (excluding local taxes)

Market	DMA Execution	Market	DMA Execution
Austria	8 BPS	Australia	7 BPS
Belgium	15 BPS	Hong Kong	5 BPS
Czech Republic	30 BPS	Indonesia	30 BPS
Denmark	8 BPS	Japan	5 BPS
Finland	15 BPS	Malaysia	30 BPS
France	8 BPS	Singapore	9 BPS
Germany	8 BPS	Thailand	30 BPS
Greece	15 BPS	Taiwan	12 BPS
Israel	30 BPS	South Korea	12 BPS
Italy	8 BPS		
Netherlands	8 BPS	Canada	1.5 CPS
Norway	15 BPS	US Listed	1.0 CPS
Poland	15 BPS	NASDAQ	1.0 CPS
Portugal	15 BPS		
South Africa	15 BPS		
Spain	8 BPS		
Sweden	8 BPS		
Switzerland	8 BPS		
Turkey	30 BPS		
UK (Equity or CFD*)	5 BPS		

Other markets are available on request

Trading Connectivity via EMSX

\*please confirm SWAP/CFD account is set up before trading UK equities

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**Equities – Voice Trading:** (excluding local taxes)

Market	Voice Execution
HK/JP/AUS	15 BPS

Other markets are available on request

**Equity Swaps – Asia Market Access** (excluding local taxes)

Market	Voice Execution
Korea	25 BPS
Taiwan	20 BPS
China B	40 BPS
China A QFII	30 BPS
China Connect	30 BPS

Ticket Fee of \$150 per swap trade

China/Taiwan/Korea Swap USD Funding Cost: L+150bp

**Futures/Options(LT) – Electronic Trading:**

Exchange	Contract	Ccy	External Fees*	Execution Fees	Clearing Fees	Full Service DMA
CFE	Volatility Index Futures	USD	1.40	0.15	0.60	2.15
eCBOT	Fed Funds Futures	USD	0.97	0.15	0.60	1.72
eCBOT	Interest Rate Futures	USD	0.66	0.15	0.60	1.41
eCBOT	Index Futures	USD	1.02	0.15	0.60	1.77
eCBOT	mini Index Futures	USD	1.17	0.15	0.60	1.92
eCBOT	Agricultural Commodity Futures	USD	1.96	0.15	0.60	2.71
CME	Eurodollar Futures	USD	1.26	0.15	0.60	2.01
CME	Eurodollar Options	USD	0.90	0.15	0.60	1.65
CME	Index Futures	USD	2.41	0.15	0.60	3.16
CME	mini Index Futures	USD	1.17	0.15	0.60	1.92
CME	mini Index Options	USD	0.56	0.15	0.60	1.31
CME	Nikkei 225 Futures – JPY Based	JPY	211	15	55	281
CME	Nikkei 225 Futures - USD Based	USD	2.11	0.15	0.60	2.86
CME	FX Futures (USD)	USD	1.61	0.15	0.60	2.36
CME	FX Options (USD)	USD	1.61	0.15	0.60	2.36
CME	Commodity Index Futures	USD	2.31	0.15	0.60	3.06
CME	Live Cattle Futures	USD	2.04	0.15	0.60	2.79
CME	Lean Hog Futures	USD	2.04	0.15	0.60	2.79
ME	3 Month Bankers Acceptance Futures	CAD	1.05	0.15	0.60	1.80
ME	3 Month Bankers Acceptance Options	CAD	0.73	0.15	0.60	1.48
ME	5 Year Government Bond Futures	CAD	1.05	0.15	0.60	1.80
ME	2 Year Government Bond Futures	CAD	1.05	0.15	0.60	1.80
ME	10 Year Government Bond Futures	CAD	1.05	0.15	0.60	1.80
ME	10 Year Government Bond Options	CAD	0.73	0.15	0.60	1.48
ME	Index Futures	CAD	1.05	0.15	0.60	1.80
ME	Single Stock Options	CAD	0.73	0.15	0.60	1.48

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NYBOT	mini Russell Futures	USD	1.15	0.15	0.60	1.90
NYBOT	Index Futures	USD	1.15	0.15	0.60	1.90
NYBOT	Cocoa Futures	USD	2.01	0.15	0.60	2.76
NYBOT	Coffee Futures	USD	2.01	0.15	0.60	2.76
NYBOT	Cotton Futures	USD	2.01	0.15	0.60	2.76
NYBOT	Sugar Futures	USD	2.01	0.15	0.60	2.76
NYBOT	OJ Futures	USD	2.01	0.15	0.60	2.76
NYMEX	mini Crude Oil Futures	USD	1.21	0.15	0.60	1.96
NYMEX	Natural Gas Futures	USD	1.46	0.15	0.60	2.21
NYMEX	RBOB Gasoline Futures	USD	1.46	0.15	0.60	2.21
NYMEX	WTI Futures	USD	1.46	0.15	0.60	2.21
NYMEX	Heating Oil Futures	USD	1.46	0.15	0.60	2.21
NYMEX	Metal (Gold & Silver) Futures	USD	1.46	0.15	0.60	2.21
NYMEX	Metal (Aluminum & Copper) Futures	USD	1.46	0.15	0.60	2.21
NYMEX	Metal (Platinum & Palladium) Futures	USD	1.46	0.15	0.60	2.21
OCC	Single Stock Options	USD	0.05	0.15	0.60	0.80
OCC	Nasdaq Index Options	USD	0.03	0.15	0.60	0.78
OCC	SPDR Index Options	USD	0.21	0.15	0.60	0.96
OCC	S&P Index Options	USD	0.47	0.15	0.60	1.22
OCC	Volatility Index Options	USD	0.48	0.15	0.60	1.23
OCC	ETF Options	USD	0.23	0.15	0.60	0.98
Euronext Amsterdam	Index Futures	EUR	0.90	0.10	0.50	1.50
Euronext Brussels	Index Futures	EUR	0.92	0.10	0.50	1.52
Euronext Paris	CAC 40 Futures	EUR	0.28	0.10	0.50	0.88
Euronext Paris	Single Stock Options (10 Contract Size)	EUR	0.06	0.10	0.50	0.66
Euronext Paris	Single Stock Options (100 Contract Size)	EUR	0.40	0.10	0.50	1.00
EUREX	Bund, Bobl, Schatz, Buxl Futures	EUR	0.20	0.10	0.50	0.80
EUREX	Bund, Bobl, Schatz, Buxl Options	EUR	0.20	0.10	0.50	0.80
EUREX	OAT Futures	EUR	0.20	0.10	0.50	0.80
EUREX	BTP Futures	EUR	0.20	0.10	0.50	0.80
EUREX	DAX Futures	EUR	0.50	0.10	0.50	1.10
EUREX	DAX Options	EUR	0.50	0.10	0.50	1.10
EUREX	Index Futures	EUR	0.30	0.10	0.50	0.90
EUREX	Index Options	EUR	0.30	0.10	0.50	0.90
EUREX	SMI Futures	CHF	0.40	0.15	0.60	1.15
EUREX	VSTOXX Futures	EUR	0.50	0.10	0.50	1.10
EUREX	VSTOXX Options	EUR	0.30	0.10	0.50	0.90
EUREX	Single Stock Futures (CHF)	CHF	0.15	0.15	0.60	0.90
EUREX	Single Stock Futures (EUR)	EUR	0.10	0.10	0.50	0.70
EUREX	Single Stock Options (EUR)	EUR	0.10	0.10	0.50	0.70
IDEM	Index Futures	EUR	0.75	0.10	0.50	1.35
IDEM	Index Options	EUR	0.71	0.10	0.50	1.31
IDEM	Single Stock Futures	EUR	0.36	0.10	0.50	0.96
IDEM	Single Stock Options	EUR	0.36	0.10	0.50	0.96
ICE Futures	Crude Oil Futures	USD	0.82	0.15	0.60	1.57
ICE Futures	Gas Oil Futures	USD	0.82	0.15	0.60	1.57
ICE Futures	Natural Gas Futures	GBP	0.38	0.10	0.50	0.98
ICE Futures	WTI Futures	USD	0.82	0.15	0.60	1.57
Euronext	Gilt Futures	GBP	0.23	0.10	0.50	0.83
Euronext	Gilt Options	GBP	0.25	0.10	0.50	0.85
Euronext	Short Sterling Futures	GBP	0.28	0.10	0.50	0.88
Euronext	Short Sterling Options	GBP	0.25	0.10	0.50	0.85
Euronext	Euribor Futures	EUR	0.34	0.10	0.50	0.94
Euronext	Euribor Options	EUR	0.35	0.10	0.50	0.95
Euronext	Euroswiss Futures	CHF	0.41	0.15	0.60	1.16
Euronext	Euroswiss Options	CHF	0.40	0.15	0.60	1.15
Euronext	FTSE-100 Index Futures	GBP	0.28	0.10	0.50	0.88

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Euronext	FTSE-100 Index Options	GBP	0.28	0.10	0.50	0.88
Euronext	Single Stock Options (GBP)	GBP	0.40	0.10	0.50	1.00
MEFF	Index Futures	EUR	1.30	0.10	0.50	1.90
NASDAQ	OMX30 Index Futures	SEK	3.50	3.00	9.00	15.50
NASDAQ	OMX30 Index Options	SEK	3.50	3.00	9.00	15.50
HKFE	Hang Seng Index Futures	HKD	10.54	3.00	6.00	19.54
HKFE	Hang Seng Index Options	HKD	10.54	3.00	6.00	19.54
HKFE	mini Hang Seng Index Futures	HKD	3.60	3.00	6.00	12.60
HKFE	mini Hang Seng Index Options	HKD	2.10	3.00	6.00	11.10
HKFE	H-Shares Futures	HKD	4.04	3.00	6.00	13.04
HKFE	H-Shares Options	HKD	4.04	3.00	6.00	13.04
HKFE	mini H-Shares Futures	HKD	2.10	3.00	6.00	11.10
OSE	Nikkei 225 Futures	JPY	130	125	200	455
OSE	Nikkei 225 Options	JPY	5.5bps	125	200	325+5.5bps
OSE	mini Nikkei 225 Futures	JPY	13	25	65	103
SFE	Interest Rate Futures	AUD	0.90	0.20	0.75	1.85
SFE	Interest Rate Options	AUD	0.60	0.20	0.75	1.55
SFE	Index Futures	AUD	1.00	0.20	0.75	1.95
SFE	Index Options	AUD	0.80	0.20	0.75	1.75
SGX-DT	FTSE Xinhua China A50 Index Futures	USD	0.83	0.15	0.60	1.58
SGX-DT	MSCI Singapore Index Futures	SGD	2.50	0.25	0.70	3.45
SGX-DT	MSCI Taiwan Index Futures	USD	1.05	0.15	0.60	1.80
SGX-DT	SGX CNX NIFTY Index Futures	USD	0.98	0.15	0.60	1.73
SGX-DT	Nikkei 225 Futures - JPY Based	JPY	75	25	55	155
TFE	Euroyen Futures	JPY	100	50	75	225
TFE	Euroyen Options	JPY	50	50	75	175
TSE	JGB Futures	JPY	149	125	200	474
TSE	JGB Options	JPY	50	125	200	375
TSE	TOPIX Futures	JPY	75	125	200	400
TSE	TOPIX Options	JPY	50	125	200	375
TSE	mini Index Futures	JPY	9	25	65	99

- 1.) \*EXTERNAL FEES include: Exchange, Clearing House, 3rd Party Broker, NFA Fees (where applicable) and Pit Brokerage Fees.
- 2.) Additional surcharges may apply to specific Exchange/Clearing House transaction types (i.e. EFP/EFS).
- 3.) Fees are subject to change at short notice in some instances.
- 4.) Commissions are quoted on a per contract, per transaction, per ccy basis.
- 5.) Clearing House Delivery, Cash Settlement, Exercise and Assignment Fees will be applicable.

### **Other Prime Fees:**

Ticket fees for clearing **away** executed trades per below:

<b>Market</b>	<b>Ticket Fee</b>
Australia	USD 50
Austria	USD 100
Belgium	USD 50
Canada	USD 50
Clearstream/Euroclear	USD 50
Denmark	USD 50
Finland	USD 50
France	USD 50
Germany	USD 50
Greece	USD 75
Hong Kong	USD 50
Indonesia	USD 150
Italy	USD 50

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Japan	USD 50
Netherlands	USD 50
Norway	USD 50
Singapore	USD 75
South Africa	USD 75
Spain	USD 50
Sweden	USD 50
Switzerland	USD 50
Thailand	USD 75
UK-Crest	USD 50
US-DTC	USD 50
US-Fedwire	USD 50
<b><u>Other Fees</u></b>	
Amendment	USD 50
Cancellation	USD 50
DK	USD 50
Cross Border	USD 100
Pair Off/SPO	USD 100
DWAC	USD 150
Custody Fees on Prime A/C	0 bps
Money Transfers	USD 20

\*This is indication only, dependant on market  
Other markets are available on request.

Minimum monthly revenues of USD 5k, across all GPP revenue streams, including: execution commissions, debit finance fees, stock borrow fees, ticket fees on away trades, segregated custody fees

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## 2. GPP Segregated Custody & Cash Account (CASS A/C):

### **Financing cost:**

Unauthorised debit interest (RVP/DVP) clearing: LIBOR (or equivalent) +550bps

Ticket fees for clearing **All** executed trades per below:

<b><u>Market</u></b>	<b><u>Ticket Fee</u></b>
Australia	USD 50
Austria	USD 100
Belgium	USD 50
Canada	USD 50
Clearstream/Euroclear	USD 50
Denmark	USD 50
Finland	USD 50
France	USD 50
Germany	USD 50
Greece	n/a
Hong Kong	USD 50
Indonesia	n/a
Italy	n/a
Japan	USD 50
Netherlands	USD 50
Norway	USD 50
Singapore	USD 75
South Africa	USD 75
Spain	USD 50
Sweden	USD 50
Switzerland	USD 50
Thailand	n/a
UK-Crest	USD 50
US-DTC	USD 50
US-Fedwire	USD 50
<b><u>Other Fees</u></b>	
Amendment	USD 50
Cancellation	USD 50
DK	USD 50
Cross Border	USD 100
Pair Off/SPO	USD 100
DWAC	USD 150
Custody Fees on CASS A/C	5 bps
Money Transfers	USD 20

\*This is indication only, dependant on market  
Other markets are available on request

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