

SOME QUESTIONS RELATED TO ODD-LOT TRADING

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1. What is odd-lot trading?

- Odd-lot trading refers to trading securities with an order volume ranging from 1 to 99 securities.

2. Which types of securities are eligible for odd-lot trading?

- Odd-lot trading applies to stocks, closed-end fund certificates, ETF certificates, and covered warrants.

3. What should investors do if they want to trade odd-lot securities?

- Investors can place orders for odd-lot securities through a brokerage firm, similar to regular lot trading.

4. How should an investor place an order if they want to sell 109 shares of ABC?

- The investor should place orders in accordance with the regulations for regular lot and odd-lot trading. For example, in this case, the investor can place two orders: a regular order to sell 100 shares of ABC and an odd-lot order to sell 9 shares of ABC.

5. What are the regulations regarding price steps, tick size, and price fluctuation limits for odd-lot trading?

- The regulations for price steps, tick size, and price fluctuation limits for odd-lot trading are similar to those for regular lot trading.

6. What are the trading methods and trading hours for odd-lot securities?

- Odd-lot trading can be conducted via continuous matching or negotiated trading. The specific times are:

- Continuous matching: 9:15 AM - 11:30 AM and 1:00 PM - 2:30 PM

- Negotiated trading: 9:15 AM - 11:30 AM and 1:00 PM - 3:00 PM

7. What types of orders can investors use for odd-lot trading?

- Investors can only use limit orders for odd-lot trading. The rules for modifying or canceling odd-lot orders are similar to those for regular lot trading.

8. Do odd-lot trading orders get matched with regular lot orders?

- Odd-lot trading is entirely separate from regular lot trading. Odd-lot orders only match with other odd-lot orders and do not match with regular lot orders.

9. Can newly listed securities be traded in odd lots on the first trading day?

- Investors cannot trade newly listed securities in odd lots on their first trading day.

10. What is the settlement time for odd-lot trades?

- The settlement time for odd-lot trades is the same as for regular lot trades.

11. Do the prices of odd-lot trades affect the current index of HOSE?

- The prices of odd-lot trades are not used to calculate the index.

12. Can foreign investors trade odd-lot securities?

- Foreign investors can trade odd-lot securities. The trading regulations for foreign investors in odd-lot trades are the same as those for regular lot trades.

13. What fees are applicable for odd-lot trading?

- Odd-lot trading fees follow EVS's fee schedule, which may vary from time to time. The personal income tax (PIT) on selling odd-lot shares is calculated at the same rate as for regular lot shares: 0.1% of the sale value.