



## Q&A

### 1. What is odd-lot trading?

Trading a number of shares from 1 to 99 is classified as odd lot trading.

### 2. What types of securities are applicable for odd-lot trading?

Odd-lot trading is applicable to Stocks, Closed-ended fund certificates, ETF certificates and Covered Warrants.

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

Investors place orders to trade odd-lot securities through securities companies similarly to trade round-lot securities.

### 3. Example: An investor wants to sell 109 shares of ABC company. How will they place the sell order?

Investors need to place orders that satisfied both the regulations on round-lot trading unit and odd-lot trading unit.

In this case, the investor is required to place two sell orders: An order to sell 100 shares and an order to sell the remaining 9 shares.

### 4. What is the regulation on tick size, quotation unit and daily trading limit?

Regulation on tick size, quotation unit and daily trading limit for odd-lot trading is the same as for round lot trading.

### 5. Odd-lot trading method trading sessions?

Odd-lot trading is carried out the same way as round-lot trading with the current continuous trading method and the put-through method, specifically:

+ Continuous matching sessions: 9h15 -11h30 and 13h00-14h30

+ Put-through trading sessions: 09h15-11h30 and 13h00-15h00



**6. What type of orders are available for odd-lot trading?**

Investors can only use limit order for odd-lot trading. The correction and cancellation of an odd-lot order follow the same rules as round-lot trading.

**7. Do odd-lot orders cross-match with round-lot orders?**

Odd-lot trading is separated from round-lot trading. Odd-lot order will only be matched with odd-lot order.

**8. Is odd-lot trading allowed on the first trading day of newly listed securities?**

Odd-lot trading is not allowed on the first trading day of any newly listed securities.

**9. Payment time for odd-lot trading?**

Payment time for odd-lot trading is the same as round-lot trade.

**10. Will the matching prices of odd-lot trading affect HOSE's current indices?**

The matching prices of odd-lot trading is not going to be used in the calculation of HOSE's indices.

**11. Can foreign investors participate in odd-lot trading?**

Foreign investors are allowed to trade odd-lot. All the trading regulations for foreign investors remains the same as round lot trading.

**12. Trading fees for odd-lot trading?**

According to the provisions of Circular No. 102/2021/TT-BTC dated November 17, 2021 of the Ministry of Finance stipulating service prices applied in securities sector for securities companies, commercial banks, etc. When an investor participates in the Vietnamese stock market, securities companies decide on the price of brokerage services to buy and sell stocks, fund certificates and warrants, maximum of up to 0.45% of the transaction value.



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