

Lei Shing Hong Securities Limited (LSHS)

Online Trading Services - Frequently Asked Questions (FAQ)

1. Is there any pre-requisite for using the Online Trading Services?

A: Before using Online Trading Services for trading stocks via the Internet, you must:

- Open an online securities trading account with LSHS. (Please click [AC-Opening](#) for details of the account opening procedures. Alternatively, you can call our hotline at (852) 2978 3251 for assistance.)

Your computer must also meet the following requirements:

- Microsoft Windows 10 or above
- Internet Explorer 11 or above / Google Chrome / Microsoft Edge

2. Is the Online Trading Services the same as LSHS's trading terminal which can input orders directly to the market?

A: The Online Trading Services provide an alternative where you can place a request to buy or sell securities through LSHS. It is connected directly to LSHS's trading system, which in turn connects to the Exchange's trading system. However, your instruction to LSHS may be rejected due to its credit policy. Therefore, clicking the mouse is not exactly the same as inputting an order into the Exchange's trading system or executing a trade. Instructions may be rejected by LSHS, and delays can be encountered before your instruction to buy or sell is actually effected.

3. How do I trade by using the Online Trading Services?

A: After confirming the submission of your order using the Online Trading Services, your order will be routed to LSHS's system on a first-come, first-served basis. Your order may be subject to approval before it is sent to the market for execution. Your order may also be rejected by the trading system due to price variation as a result of market fluctuation.

4. How can I know if my order instruction has been successfully received by LSHS and submitted to the market for matching? Can I also check the status of my order online?

A: Once the order has been successfully received by LSHS and submitted to the Stock Exchange, the order status, including Queuing Submission, Pending Submission, Queued, Partially-filled, Fully-filled, Cancelled, Rejected and Waiting for Approval for the day will be shown under the “Today Order” of the Information Toolbar at the lower of the screen.

5. Can I modify or cancel my order/request in the Online Trading Services?

A: You may modify or cancel an order with any of the following statuses: Queuing Submission, Pending Submission, Queued, Partially Filled and Waiting for Approval. However, it is not always possible to cancel or modify an order after it is given as it might have already been executed in the market when the cancellation or modification request is being processed.

6. How many order types are available in the Online Trading Services?

A: There are five types of orders: Limit Orders, Enhanced Limit Orders, Special Limit Orders, At-Auction Orders, and At-Auction Limit Orders. Enhanced Limit Orders and Special Limit Orders allow orders to be matched up to ten price queues so that part of the order may be executed at a price better than the price entered into the Online Trading Services. As market order and matching of more than one price queue are allowed, orders may be executed at a different price from the input order price due to changes in the market price. At-Auction Orders and At-Auction Limit Orders allow trading at auction periods during the Pre-opening Session and Closing Auction Session.

For more information about trading and order types, please click [hkex trading](#).

7. Can I input and check order instructions after trading hours? Will LSHS receive such order instructions?

A: The Online Trading Services can support placing the next trading day order after trading hours. Orders input before 4:30 pm will be cancelled automatically by the day-end process. All orders input after 4:30 pm will be treated as next trading day orders (defaulted as Limit Orders). Orders can also be placed as Validity Orders with an expiry date selected, valid for up to 14 days. The order type of your order will be changed to an At-Auction Limit Order during the Pre-opening Session. These outstanding at-auction limit orders at the end of the Pre-opening Session will be carried forward to the Continuous Trading Session and treated as limit orders.

8. How do I check my cash balance and stock portfolio?

A: You can check your available cash balance, available limit, and stock holdings at the lower left of the “Information Toolbar” by clicking “Portfolio”.

9. How do I safeguard my account from being used by others over the Internet?

A: The Online Trading Services use a User Name and Two-factor authentication to ensure the confidentiality of information.

Additionally, 256-bit Secure Socket Layer (SSL) encryption technology is used to protect the confidentiality and integrity of clients’ data being transmitted over the Internet.

Note: NEVER DISCLOSE YOUR PASSWORD TO ANYBODY. Please take measures to secure your password and regularly change it. When setting your password, avoid using easily guessable information such as surname, name, phone number, birth date, or sequential numbers.

LSHSL will not send electronic messages (such as emails or SMS) with embedded hyperlinks that direct clients to their websites or mobile applications to undertake

transactions, and will not ask clients to provide via hyperlinks sensitive personal information, including login credentials and one-time passwords.

10. What should I do if I forget or lose my password?

A: Simply click “Forgot Password” on the login page, input your Login ID, HKID and registered email, and click Confirm to reset Password. A new password will be sent to your registered email by the system.

11. Is there any alternative to place an order when the Online Trading Services are not available?

A: You can place your order by phone at (852) 2978 3251 if the Online Trading Services are interrupted or unavailable.

12. What can I do if I encounter a problem using the Online Trading Services?

A: You can call our hotline at (852) 2978 3251 for assistance.

13. How do I deposit cash into my securities account?

A: You may deposit funds into our bank accounts or through the FPS. Please click [Trading & Settlement](#) for details of “Funds Deposit”.

14. How do I withdraw funds from my securities account?

A: You can notify LSHS by calling our accounting department at (852) 2307 6188. Please click [Trading & Settlement](#) for details of “Funds Withdrawal”.