



## Fee and Charges

Fee and Classification	Percentage / Amount
<b>( A ) Securities Trading</b>	
Commission Fee	0.25% (Min. HK\$100.00)
Levy ( charge by SFC )	0.0027% on trading amount
Trading Fee (charge by SEHK)	0.00565% on trading amount (rounded to the nearest cent)
Stamp duty(charge by HKSAR)	0.13% on trading amount (less than HK\$1 also be deemed to be counted)
Settlement Fee (charge by Clearing House)	0.005% on trading amount (Min. HK\$3.00) (0.002% is collected by Clearing House)
Financial Reporting Council Transaction Levy (charge by FRC)	0.00015% on trading amount
<b>( B ) Physical shares &amp; / or Settlement</b>	
Physical share deposit	Stamp duty HK\$5.00 per each transfer deed
Withdrawal of Physical share	HK\$5.00 per lot (round up to the nearest board lot) and HK\$30.00 handling fee for each share category
Settlement Instruction ( SI ) / Investor Settlement Instruction ( ISI )	0.1% on market value of each of share ( Max. HK\$300.00, Min. HK\$20.00 )
Mandatory Buy-in	0.25% on trading amount (Min. HK\$100.00) and charge and penalty from Clearing House
<b>( C ) Nominee &amp; Corporate Action Fee</b>	
Registration and transfer fee	HK\$1.50 per lot
Dividend / Bond Payment	0.5% on dividend amount ( Min. HK\$25.00/RMB25.00/US\$5.00, Max. HK\$20,000 ) and CCASS service charge (0.12% on dividend payment ), Max. HK\$10,000
Cash dividend with scrip option payment	0.5% on scrip dividend payment ( Min. HK\$25.00 / RMB25.00 / US\$5.00 )
Collection of Bonus, Warrant, Rights, Split / Consolidation	HK\$2.00 per board lot (Min. HK\$20.00 / Max. HK\$100.00 ) HK\$50 handling fee
Rights subscription / Warrant Exercise / Privatization / Share Offer	HK\$0.8 per lot HK\$50 handling fee
Dividend Claim	CCASS charges HK\$200 and HK\$500.00 handling fee
<b>( D ) Others fees &amp; services</b>	
Custodian Fee (charge by CCASS)	HK\$0.012 per board lot per month and HK\$500.00 handling fee per month
Multi-Counter Transfer Instruction	HK\$30 per instruction
IPO subscription	Cash client - Waive Margin client - HK \$ 100.00 (subscription amount more than HK\$ 1 million – waive)
EIPO subscription	HK\$20.00
Cash client late settlement interest	Prime rate + 3.5 % ( Prime rate according to Bank of Communications quoting )
Margin client debit balance interest	Prime rate + 3.5 % ( Prime rate according to Bank of Communications quoting )
Duplicate copy of statement	Within 3 months – waive Over 3 months – HK\$ 50.00 per month
Banking service charges	Telegraphic transfer (TT) Local transfer (CHATS) Exchange rate according to bank rate when execution ( limited to currency accepted by bank in Hong Kong) Cheque returned charge Actual bank charges and HK\$200.00 handling fee
Letter of confirmation on asset	HK\$100.00 per letter
<b>( D ) Shanghai A and Shenzhen A – China Connect</b>	
Commission Fee	0.25% (Min. RMB\$100.00)
Handling Fee (charge by SSE / SZSE)	0.00487%
Securities Mgmt Fee (charge by CSRC)	0.002%
Transfer Fee (charge by China / Clearing House)	0.004%
Stamp Duty (charge by SAT)	0.1% (for Sell trade only)
Portfolio Fee (charge by Clearing House)	0.008% (Daily stock portfolio value, collected on a monthly basis )
<b>( E ) Bonds trading services ( not applied to bonds listed in HKEx )</b>	
Commission	0.25% of no. of shares
Custodian Fee	Waive
Maturity Redemption Fee	Waive
Interest Collection	0.5% of total interest (Min. US\$20.00 / Max. US\$150.00 ) (Min. Euro\$20.00 / Max. Euro\$150.00 ) (Min. HK\$150.00 / Max. HK\$1,000.00 )

Above charges are for reference only, there are subject to change without prior notice.