

## Fee Schedule

(Effective from 1 February 2019)

### (A) Trade-related services

#### i) Hong Kong Stocks

Services		Charges (HKD / RMB)	Minimum (HKD / RMB)	Maximum (HKD / RMB)
1.	Brokerage Commission	0.25% on gross consideration	\$100.00	N/A
2.	SFC Transaction Levy	0.0027% on gross consideration	0.01	N/A
3.	HKEx Trading fee	0.005% on gross consideration	0.01	N/A
4.	HK Stamp Duty	0.1% on gross consideration (rounded to the nearest dollar)	\$1.00	N/A
5.	CCASS Fee	0.005% on gross consideration	\$5.00	\$400.00

#### ii) Stock Option

Services		Charges (HKD)	Minimum (HKD)	Maximum (HKD)
1.	Brokerage Commission	1% on gross consideration	\$100.00	N/A
2.	Trading Fee	Tier 1: \$3.00 per contract Tier 2: \$1.00 per contract Tier 3: \$0.50 per contract	N/A	N/A

#### iii) Stock Option Exercise Fee

Services		Charges (HKD)	Minimum (HKD)	Maximum (HKD)
1.	Brokerage Commission	0.25% on gross consideration	\$100.00	N/A
2.	SFC Transaction Levy	0.0027% on gross consideration	0.01	N/A
3.	HKEx Trading fee	0.005% on gross consideration	0.01	N/A
4.	HK Stamp Duty	HKD1.00 Per HKD1,000.00 gross consideration of part thereof and be rounded upward to the nearest \$1.00	\$1.00	N/A
5.	CCASS Fee	0.005% on gross consideration	\$5.00	\$400.00
6.	Exercise Fee	\$2 per contract	N/A	N/A

#### iv) US Shares

Services		Charges (USD)	Minimum (USD)	Maximum (USD)
1.	Brokerage Commission	0.25% on gross consideration	\$35.00	N/A
2.	Sales Tax	0.0022% on gross consideration (for sell order only)	N/A	N/A

#### v) Singapore Shares

Services		Charges (USD/SGD)	Minimum (USD/SGD)	Maximum (USD/SGD)
1.	Brokerage Commission	For SGD Stock: 0.50% on gross consideration For USD Stock: 0.70% on gross consideration	SG\$75.00 US\$80.00	N/A
2.	Clearing Fee	0.0325% on gross consideration (for sell order only)	SGD10.00/ US\$10.00	N/A
3.	Trading Fee	0.0075% on gross consideration	N/A	N/A

**vi) Australia Shares**

Services	Charges (AUD)	Minimum (AUD)	Maximum (AUD)
1. Brokerage Commission	0.75% on gross consideration	\$150.00	N/A

**vii) Japan Shares**

Services	Charges (JPY)	Minimum (JPY)	Maximum (JPY)
1. Brokerage Commission	1.00% on gross consideration	\$5,000.00	N/A

**viii) Mutual Funds**

Services	Charges (USD/ HKD/ RMB)	Minimum (USD/HKD/ RMB)	Maximum (USD/ HKD/ RMB)
1. Front-end Fee	Disclosed in the Fund Fact Sheet, Key Fact Statement, Prospectus/ Explanatory Memorandum of corresponding fund(s)	1%	N/A
2. Redemption Fee		N/A	N/A
3. Switching Fee		N/A	N/A
4. Management Fee		N/A	N/A
5. Withdrawal		N/A	N/A

**ix) Bonds**

Services	Charges (HKD)	Minimum (HKD)	Maximum (HKD)
1. Safe Custody	0.05% p.a. x the total nominal value of the bond holdings in your account(s) as at the end of the last Hong Kong business day of each month. Charged Semi-annually	\$1,000 (semi-annual)	N/A
2. Withdrawal	HK\$500 per transaction	N/A	N/A

**x) Equity Linked Note & Structure Product**

Services	Charges (HKD)	Minimum (HKD)	Maximum (HKD)
1. Safe Custody	0.05% p.a. x the total nominal value of the bond holdings in your account(s) as at the end of the last Hong Kong business day of each month. Charged Semi-annually	\$1,000 (semi-annual)	N/A
2. Deposit	HK\$500 per transaction	N/A	N/A
3. Withdrawal	HK\$500 per transaction	N/A	N/A

**xi) Futures**

Hang Seng Index Futures		Phone order	Internet
1. Commission (per contract per side)	Day Night	HK\$60.00 HK\$100.00	HK\$40.00 HK\$60.00
2. Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy		HK\$10.00 HK\$0.54
3. Exercise Fee (per contract per side)			HK\$10.00

Mini Hang Seng Index Futures			Phone order	Internet
1.	Commission (per contract per side)	Day Night	HK\$30.00 HK\$50.00	HK\$20.00 HK\$30.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$3.50 HK\$0.10	
3.	Exercise Fee (per contract per side)		HK\$3.50	
H-shares Index Futures			Phone order	Internet
1.	Commission (per contract per side)	Day Night	HK\$60.00 HK\$100.00	HK\$40.00 HK\$60.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$3.50 HK\$0.54	
3.	Exercise Fee (per contract per side)		HK\$3.50	
Mini H-shares Index Futures			Phone order	Internet
1.	Commission (per contract per side)	Day Night	HK\$40.00 HK\$80.00	HK\$20.00 HK\$40.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$2.00 HK\$0.10	
3.	Exercise Fee (per contract per side)		HK\$2.00	
Hang Seng Index Options			Phone order	Internet
1.	Commission (per contract per side)	Minimum Maximum	1 % on premium	
			HK\$50.00 HK\$100.00	HK\$40.00 HK\$60.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$10.00 HK\$0.54	
3.	Exercise Fee (per contract per side)		HK\$10.00	
Mini Hang Seng Index Options			Phone order	Internet
1.	Commission (per contract per side)	Minimum Maximum	1 % on premium	
			HK\$30.00 HK\$50.00	HK\$20.00 HK\$30.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$2.00 HK\$0.10	
3.	Exercise Fee (per contract per side)		HK\$2.00	
H-shares Index Options			Phone order	Internet
1.	Commission (per contract per side)	Minimum Maximum	1 % on premium	
			HK\$50.00 HK\$100.00	HK\$40.00 HK\$60.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$3.50 HK\$0.54	
3.	Exercise Fee (per contract per side)		HK\$3.50	
USD/CNH Future (CUS)			Phone order	Internet
1.	Commission (per contract per side)	Day Night	CNY60.00 CNY100.00	CNY40.00 CNY60.00
2.	Trading Fee & Levies (per contract per side)	Exchange Fee	CNY8.00	
3.	Exercise Fee (per contract per side)		CNY8.00	
Stock Future			Phone order	Internet
1.	Commission (per contract per side)	Day Night	HK\$30.00 HK\$50.00	HK\$30.00 HK\$50.00

2.	Trading Fee & Levies (per contract per side)	Exchange Fee Commission Levy	HK\$3.50 HK\$0.10
3.	Exercise Fee (per contract per side)		HK\$3.50
<b>Global Future</b>			
			<b>Phone order</b>
			<b>Internet</b>
1.	Commission (per contract per side)	Day Night	USD25.00 USD25.00
2.	Trading Fee (per contract per side)		USD0.06

## (B) Scrip handling and settlement-related services

### i) Hong Kong Stocks

Services	Charges (HKD / RMB)	Minimum (HKD / RMB)	Maximum (HKD / RMB)
1. CCASS stock settlement fee	No charge	N/A	N/A
2. Money Settlement fee	No charge	N/A	N/A
3. Physical scrip deposit fee:- - Under name of HKSCC Nominee Ltd - Under name of client	No charge \$5.00 per Transfer Deed	N/A N/A	N/A N/A
4. Physical scrip withdrawal fee	\$10.00 per board lot for each stock + Handling Fee \$100.00	\$110.00	N/A
5. Deposit transaction charge	No charge	N/A	N/A
6. Settlement Instruction fee (SI): - Stock Deposit - Stock Withdrawal	No charge \$100.00 per stock+ Handling Fee \$50.00	N/A \$150.00	N/A N/A
7. Investor Settlement Instruction fee (ISI): - Stock Deposit - Stock Withdrawal	No charge 0.003% on market value of previous closing price	N/A \$50.00	N/A \$200.00
8. Compulsory share buy-back fee	1% on market value of closing price at the due date for the corresponding short position	N/A	N/A

### ii) Oversea Stocks

Services (Overseas' Shares)	Charges (Foreign Currencies)(other than HKD / RMB)	Minimum (HKD / RMB)	Maximum (HKD / RMB)
1. Stock Withdrawal by Transfer	USD10 (or its equivalent if other currencies) per stock + Custodian charges)	N/A	N/A
2. Physical Stock Withdrawal	USD15 (or its equivalent if other currencies) per stock + Custodian charges)	N/A	N/A
3. Cash Dividend Collection	0.5% on Dividend Received (excluding custodian charges)	USD4 /GPB3 or USD equivalent	N/A
4. Bonus Shares / Units Collection	USD4 / GPB3 or USD equivalent if other settlement currencies)	N/A	N/A
5. Interest Income Received for Bond	0.5% on interest received (excluding custodian charges)	USD4 /GPB3 or USD equivalent	N/A
6. Debt/Bond Maturity Redemption	0.05% on redemption amounts	HKD40/CNY40 /USD6 or HKD equivalent	HKD40 /CNY40 /USD6 or HKD equivalent

Services Conversion of Settlement Currencies		Charges (Foreign Currence Including RMB )	Minimum (HKD / RMB)	Maximum (HKD / RMB)
1.	Conversion of foreign currencies (for dividends /interest received)	Free of charge	N/A	N/A
2.	Remittance	HKD80 per transaction (excluding bank charges)	N/A	N/A

**(C) Account maintenance**

Services		Charges (HKD)	Minimum (HKD)	Maximum (HKD)
1.	Custody fee	No charge	N/A	N/A
2.	Stock balance or account confirmation fee	\$200.00 per letter	N/A	N/A
3.	Stock segregated account service fee (with CCASS statement)	\$30.00 per month	N/A	N/A
4.	Statement	By Post: \$300 per year (Will be charged upon account opening) By Email: Free	N/A	N/A
5.	Copies of Account / Statement	\$50.00 per duplicate copy within a year \$200.00 per duplicate copy for over a year	\$50	N/A

**(D) Nominee services and corporate actions**

Services		Charges (HKD / RMB)	Minimum (HKD / RMB)	Maximum (HKD / RMB)
1.	Scrip fee	\$3.00 per board lot	N/A	N/A
2.	Collection fee of cash/scrip dividend (for stocks/ fund/ bond)	0.5% on dividend received	\$30.00	\$3,000.00
3.	Collection fee of bonus issue	\$20.00 per case	N/A	N/A
4.	Rights issue entitlement charge	\$20.00 per case	N/A	N/A
5.	Fee for rights subscription / warrant exercise	\$80.00 per case + Corporate action fee \$1.00 per board lot	N/A	N/A
6.	Fee for excess rights application	\$1.00 per board lot	N/A	N/A
7.	Fee for tendering shares under a takeover bid	\$1.00 per board lot + HK Stamp Duty \$1.00 per \$1,000.00 of transaction amount and Handling fee \$80.00	N/A	N/A
8.	Fee for change of registration at share registrar	\$2.50 per share certificate + Handling Fee \$7.50 per board lot	\$50.00	N/A
9.	Fee for handling share consolidation / split	No charge	N/A	N/A
10.	Corporate action fee for auto-exercise covered warrant	\$1.00 per board lot	N/A	N/A

**(E) Financing and other services**

Services		Charges (HKD)	Minimum (HKD)	Maximum (HKD)
1.	Margin account financing charge	*HKD Prime rate + 2% p.a. (negotiable)	N/A	N/A
2.	Securities subscription (IPO) handling fee	\$100.00	N/A	N/A
3.	Cash account overdue interest	*HKD Prime rate + 8% p.a.	N/A	N/A
4.	Cash account overdue handling fee	\$100.00 per trade day	\$100.00	N/A
5.	Financing charge for subscription of securities	Subject to the current market interest rate	N/A	N/A

6.	Banking service charges:			
	- Returned cheque	\$200.00	N/A	N/A
	- CHATS	\$200.00	N/A	N/A
	- Stop payment	\$200.00	N/A	N/A
7.	Fee for claiming unclaimed benefit entitlements	\$300.00 per distribution + CCASS charge / Share Registrar's charge	\$300.00	N/A
8.	Photo copies	\$10.00 per page + Handling Fee \$80.00	\$90.00	N/A

\*HKD Prime rate: 5.625%

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