

## Fees & Charges - HK Securities Market\*<sup>Δ</sup>

### 港股收費表\*<sup>Δ</sup>

#### A. Trade-related Services 證券交易服務

1. Commission Charges 基本佣金	Negotiable 面議
2. Stamp duty 印花稅	0.13% (Min HK\$1, Exempt Warrant & CBBC) (不足 HK\$1 當 HK\$1 計, 窩輪、牛熊證豁免)
3. Transaction Levy 交易徵費	0.0027% (Min HK\$0.01) (最低 HK\$0.01)
4. Trading Fee 香港交易及結算所交易費	0.00565% (Min HK\$0.01) (最低 HK\$0.01)
5. Clearing Fee 中央結算股份交收費	0.005% (Min HK\$5, CAP HK\$200) # (最低 HK\$5, 上限 HK\$200) #

#### B. Financing services 財務收費

1. Margin Account financing interest 保證金帳戶借貸利息	Best Lending Rate of HSBC plus 3.5% (subject to charge) or Negotiable 滙豐銀行最優惠利率加 3.5% 或面議
2. Cash Account and Custodian Account Overdue Interest 現金帳戶及託管帳戶結欠利息	Best Lending Rate of HSBC plus up to 6% (subject to charge) or Negotiable 滙豐銀行最優惠利率加最高至 6% 或面議

#### C. Account Maintenance 帳戶服務收費

1. Custody Fee 存倉費	Free 不另收費
2. Dormant Account Fee 不動戶服務費	Free 不另收費
3. Request for Historical Statements Within past 18 months 補回綜合日結單及綜合月結單服務費:最近十八個月	Free 不另收費
Beyond past 18 months up to 7th year 超過 18 個月至七年內	HK\$500 per statement copy 每份結單 HK\$500

#### D. Scrip Handling and Settlement-related Services 處理實物股票及交收服務

1. Physical Scrip Deposit 存入實物股票	\$5 for each transfer deed 每張股票或轉手紙 HK\$5
2. Physical Scrip Withdrawal 提取實物股票	\$5 per board lot, plus Administration fee \$50 每手股票 HK\$5, 另加手續費 HK\$50
3. CCASS Settlement Instruction 中央結算系統的交收指示(SI)	0.01% of stock value, Min HK\$20, Max HK\$500 每宗交易 0.01%, 最少 HK\$20, 最高 HK\$500
4. ISI Transactions 投資交收指示費用(ISI)	Free 不另收費

#### E. Nominee Services and Corporate Actions 代理人及企業行動服務收費

1. Scrip Fee 股票過戶	HK\$1.5 per board lot 每手股票 HK\$1.5
2. Cash Dividend Collection Fee 代收現金股息	0.5% of dividend collected, Min HK\$20 代收金額之 0.5%, 最少 HK\$20
3. Scrip Dividend Collection Fee 代收紅股紅息	HK\$1 per board lot, Min HK\$20 每手股票 HK\$1, 最少 HK\$20
4. Rights and Warrants Exercise Fee 代客行使供股權/認股證/牛熊證/備兌證股證	HK\$1 per board lot, Min HK\$100 每手股票 HK\$1, 最少 HK\$100
5. Claim of Dividend / Bonus shares 代追股息 / 紅股	0.5% of dividend collected, Min HK\$20, plus Admin fee HK\$500 代收金額之 0.5%, 最少 HK\$20, 另手續費 HK\$500
6. Corporate Action Services Fee 企業行動服務費	Min HK\$100 最少 HK\$100
7. Cash/Open Offer Charges 現金/公開收購	0.25% on gross offer amount, Min HK\$100 收購金額 0.25%, 最少 HK\$100

# Except certain derivatives product. 某些衍生產品除外

**F. Handling Charge for IPO Application 認購新股費用**

1. Handling Charge for IPO Application 代辦新股認購手續費	HK\$100 per application 每宗 HK\$100
2. Financing Charge for New Share Subscription 新股融資利息	Subject to Market Rate 按市場當時情況而定

**G. Bonds 債券**

1. Custody Fee 託管費	0.05% of nominal value per annum, charged semi-annually Min HK\$150 for half-year/Max HK\$2,500 for half-year  債券票面值的 0.05% 年率，每半年收取 最低每半年 HK\$150/最高每半年 HK\$2,500
2. Interest Collection Fee 代收利息費	0.25% of nominal value, Min HK\$30 / Max HK\$200 債券票面值之 0.25%，最少 HK\$30 / 最高 HK\$200

**H. Capital Investment Entrant Scheme (CIES) Servicing Fee 資本投資者入境計劃管理費**

1. Management Fee 管理費	Negotiable 面議
2. Annual Fee 年費	Negotiable 面議

**I. Market Data 市場資訊 (GES EX 網上證券交易系統)**

1. Streaming Real-time Quotes Services 串流式即時報價	1) Basic Plans: HK\$288 per month for Hong Kong Plan; HK\$138 per month for China Plan – Individual; HK\$188 per month for China Plan – Corporate 2) Additional Plan: HK\$8 per month for Mobile App (iPhone only)  1)基本計劃：香港（國際）計劃—每月 HK\$298； 中國大陸計劃(只適用於個人)—每月 HK\$138； 中國大陸計劃(只適用於公司)—每月 HK\$188； 2)額外計劃：手機應用程式(只適用於 iPhone)—每月 HK\$8
2. Online Real-time Quotes Services 網上即時報價服務	HK\$0.05 per quote, Max HK\$250 per month) 每個報價收費 HK\$0.05，每月最高收費上限 HK\$250

**J. Other Services 其他費用**

1. Telegraphic Transfer Charges 電匯費用	HK\$150 per remittance plus bank charges HK\$150 加銀行實收費用
2. Returned cheque 退票費用	HK\$300 per transaction 每宗 HK\$300
3. Online Real-time Price Quote 即時報價	HK\$398 per month 每月 HK\$398
4. Administration fee for receiving Daily/Monthly Statement by mail (waived for E-statements) 郵寄形式收取日/月結單行政費(電子結單可豁免)	HK\$50 per month 每月 HK\$50
5. Designated trading software 指定交易系統軟件	Negotiable, case by case 面議

\* Please visit our Company website or contact your account manager for more details of the latest Fees & Charges.

請瀏覽本公司網頁或聯絡你的客戶經理以查閱本公司之最新收費。

ΔOur company reserves the rights to adjust the charges above without prior notice.

本公司有權隨時調整以上收費及息率，而毋須另行通知。

## Hong Kong Futures & Options Charges 香港期貨及期權收費表

Futures Product 期貨產品	Commission (Phone in) 佣金 (電話交易)		Commission (Internet) 佣金 (網上交易)		Exchange Fee 交易所費用	Commission Levy 證監會徵費
	Day Trade (per side) 即日平倉(單邊)	Overnight (per side) 非即日平倉(單邊)	Day Trade (per side) 即日平倉(單邊)	Overnight (per side) 非即日平倉(單邊)		
Hang Seng Index Futures 恆生指數期貨	Negotiable 面議	Negotiable 面議	Negotiable 面議	Negotiable 面議	HK\$10.00	HK\$0.60
Mini-Hang Seng Index Futures 小型恆生指數期貨	Negotiable 面議	Negotiable 面議	Negotiable 面議	Negotiable 面議	HK\$3.50	HK\$0.12
H-shares Index Futures H股指數期貨	Negotiable 面議	Negotiable 面議	Negotiable 面議	Negotiable 面議	HK\$3.50	HK\$0.60
Mini H-shares Index Futures 小型H股指數期貨	Negotiable 面議	Negotiable 面議	Negotiable 面議	Negotiable 面議	HK\$2.00	HK\$0.12
Hang Seng Index Options 恆生指數期權	Negotiable 面議		Negotiable 面議		HK\$10.00	HK\$0.60
Mini-Hang Seng Index Options 小型恆生指數期權	Negotiable 面議		Negotiable 面議		HK\$2.00	HK\$0.12
H-shares Index Options H股指數期權	Negotiable 面議		Negotiable 面議		HK\$3.50	HK\$0.60

All information is subject to change without prior notice

以上所載資料如有更改，恕不另行通知

\*\* Commission of index options rounded up to the nearest dollar

指數期權佣金以四捨五入至個位數

\*\*\* The commission would not be treated as a daily transaction in the event of an auto-settle of a current month futures contract in the contract expiration date

即月期貨合約在到期日自動平倉，佣金將以非即日交易計算

## Hong Kong Stock Options Charges 香港股票期權收費表

### A. Trade-related Service 有關交易服務

1. Stock Option Commission 股票期權佣金	Negotiable 面議
2. Transaction Levy 交易徵費	HK\$3 per lot or HK\$1 per lot or HK\$0.5 per lot (Determined and collected by Options Clearing House) 每手 HK\$ 3 或 HK\$1 或 HK\$0.5 (按期權結算所釐定及代其收取)

### B. Fees for Exercise/ Assign 行使/被行使費用

1. Brokerage 經紀佣金	Exercise price x No. of contract x lots size x [ Negotiable % ] (Negotiable Min Charge) 行使價 x 張數 x 每手股數 x [ 面議 % ] (最低收費面議)
2. Stamp Duty 印花稅	Refer to HK Securities Market (Part A) 請參照香港股票收費 (A 部)
3. Transaction Levy 交易徵費	Refer to HK Securities Market (Part A) 請參照香港股票收費 (A 部)
4. Transaction Fee 交易費	Refer to HK Securities Market (Part A) 請參照香港股票收費 (A 部)
5. CCASS Fee 中央結算費	Refer to HK Securities Market (Part A) 請參照香港股票收費 (A 部)
6. Exercising Fee 行使費	HK\$2 per Lot 每張 \$2

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