

## 證券市場收費、佣金及費用

## Charges、Commission and Fees for Securities Market

### 香港股票市場 HK Stocks Market

#### A) 股票交易費用 Charges for Stocks Trading

佣金收費 Commission Charges		
經紀佣金 Commission Fee	成交金額的0.25% 0.25% of transaction amount	最低每宗交易港幣\$100 Minimum HK\$100 per transaction
交易費用及其他交易徵費 Transaction Fees and Other Transaction Levy		
政府印花稅 Stamp Duty	0.1% 成交金額計算 0.1% of transaction amount	不足1元亦作1元計算 Rounded up to the nearest dollar
證監會交易徵費 SFC Transaction Levy	0.0027% 成交金額計算 0.0027% of transaction amount	
港交所交易費 HKEX Trading Fee	0.00565% 成交金額計算 0.00565% of transaction amount	
中央結算交收費 CCASS Fee	0.005% 成交金額計算 0.005% of transaction amount	每宗買賣最低港幣\$5，最高港幣\$200 Minimum HK\$5, Maximum HK\$200
財匯局交易徵費 FRC Transaction Levy	0.00015% 成交金額計算 0.00015% of transaction amount	
新股認購 IPO Subscription		
現金認購新股手續費 Handling charges for cash subscription of EIPO	每隻港幣\$100 HK\$100 per stock	
融資認購新股手續費 Handling charges for margin financing in subscription of EIPO	每隻港幣\$100 HK\$100 per stock	另加借款利息 Plus Interest on borrowed amount
暗盤交易佣金 Commission fee for grey market	基本佣金 Basic commission	最低佣金加港幣\$50 Minimum commission plus HK\$50

#### B) 股票代理人服務及企業行動收費 Nominees Services and Corporate Actions Fees for Stocks

服務項目 Services Item	收費 Fee	
實物股票存入 / 轉手紙釐印費 Physical Scrip Deposit / Transfer Deed Fee	每張港幣\$5 HK\$5 per transfer deed	
實物股票提取 Withdrawal of Physical Scrip	每手港幣\$10，碎股亦視作一手 HK\$10 per board lot, odd lot treated as board lot	另加每隻港幣\$100 Plus HK\$100 per stock
股票轉倉指示 S.I. Settlement Instruction	存入免費，提出每手港幣\$5，碎股亦視作一手 Free for deposit, HK\$5 per board lot for withdrawal, odd lot treated as board lot	另加每隻港幣\$100 Plus HK\$100 per stock
		實時貨銀對付交收每單港幣\$300 RDVP HK\$300 per transaction
股票轉倉指示 I.S.I. Investor Settlement Instruction	存入免費 Free for deposit	提出每隻港幣\$20 HK\$20 per stock for withdrawal

代收股息 / 以股代息 / 代收紅股 Collection of Dividend / Stock in lieu of cash / Bonus Share	股息的0.50% 0.50% of dividend	最低港幣\$30 Minimum HK\$30
中央結算股息收費 CCASS Dividend Charge	股息的0.12% 0.12% of dividend	最高港幣\$10,000 Maximum HK\$10,000
行使供股權及認股權認購 Exercise of Rights and Warrants	每手港幣\$0.8 HK\$0.8 per board lot	最低港幣\$50 Minimum HK\$50
代收牛熊證剩餘價值 / 行使備兌認股證費 Callable Bull / Bear Contracts residual value / exercising covered warrant	每手港幣\$0.8 HK\$0.8 per board lot	每隻港幣\$50 HK\$50 per stock
現金私有化 Cash Offer	收取金額的0.50% 0.50% of the collection amount	另加每隻港幣\$100 Plus HK\$100 per stock
登記過戶費 Scrip Fee	每手港幣\$2.5 HK\$2.5 per board lot	
強制性補購股份 Compulsory Buy-in	0.25%沽空貨值，以 T+2 收市價計算 Based on T+2 closing price, 0.25% of short sell value	另加每隻港幣\$200 Plus HK\$200 per stock
代追股息委托費 Handling charges for unclaimed dividend	0.2%股息手續費 0.2% of dividend collection	另加每隻港幣\$1,000 Plus HK\$1,000 per stock
香港股票托管費 Custody Fee	豁免* Waived*	

\*只適用於每隻香港股票持貨手數5,000手以下的客戶，如未有豁免的客戶將會代香港中央結算每月收取每手港幣\$0.012。本公司保留最終決定權。

\* Only applicable to clients with Hong Kong each stock holding less than 5,000 board lots are eligible to be waived. If no exemption clients will be collected HK\$0.012 per board lot per month on behalf of HKSCC. The company reserves the right of final decision.

## 滬港通及深港通 Shanghai and Shenzhen Connect

### A) 股票交易費用 Charges for Stocks Trading

佣金收費 Commission Charges		
經紀佣金 Commission Fee	成交金額的0.25% 0.25% of transaction amount	最低每宗交易人民幣¥100 Minimum CNY¥100 per transaction
交易費用及其他交易徵費 Transaction Fees and Other Transaction Levy		
交易印花稅 Stamp Duty	0.05%成交金額計算 0.05% of transaction amount	僅對賣單收取 Only charged for sell orders
過戶費（登記過戶費） Transfer Fee	0.003%成交金額計算 0.003% of transaction amount	中國結算收取0.001% 及 香港中央結算收取0.002% 0.001% charged for ChinaClear and 0.002% charged for HKSCC
證管費 Securities Management Fee	0.002%成交金額計算 0.002% of transaction amount	
經手費 Handling Fee	成交金額的0.00341% 0.00341% of transaction amount	
證券組合費 Portfolio Fee	持有股值 x 0.008% / 365 日 Daily stock portfolio value x 0.008% / 365	每日計算，按月收取 Accrued daily and collected on a monthly basis

## 美國股票市場 US Stocks Market

### A) 股票交易費用 Charges for Stocks Trading

佣金收費 Commission Charges		
經紀佣金 Commission Fee	成交金額的0.15% 0.15% of transaction amount	最低每宗交易美元\$15 Minimum US\$15 per transaction
交易費用及其他交易徵費 Transaction Fees and Other Transaction Levy		
證監會費 SEC Fee	0.00278% 成交金額計算 0.00278% of transaction amount	最低每宗收費美元\$0.01 (僅對賣單收取) Minimum US\$0.01 per transaction (only charged for sell orders)
交收費 Clearing Fee (NSCC / DTC)	每股美元\$0.003 US\$0.003 per share	最低每宗收費美元\$0.1 Minimum US\$0.1 per transaction
交易活動費(美國金融監管局) Trading Activity Fee (FINRA)	每股美元\$0.000166 US\$0.000166 per share	每宗買賣最低美元\$0.01, 最高美元\$8.3 (僅對賣單收取) Minimum US\$0.01, Maximum US\$8.3 per transaction (only charged for sell orders)

### B) 代理人服務及企業行動收費 Nominees Services and Corporate Actions Fees

服務項目 Services Item	收費 Fee	
美國預托證券保管費 ADRs Fee	每股美元\$0.01 - \$0.05 US\$ 0.01 - \$0.05 per share	代發行商收取 Per share per book close collected by the ADR issuers
代收股息稅 Collection of Dividend tax	30% 股息稅 30% of dividend tax	
代收股息 Collection of Dividend	收取扣減30%股息稅後餘額的2% 2% of the profit after 30% deduction for dividend tax	最少美元\$10 Minimum US\$10

## 債券或場外交易產品服務 Bonds or Over-the-Counter Products

服務項目 Services Item	收費 Fee	
託管費 Custody Fee	每月月底持倉市值之0.003% 0.003% market value per month	最少美元\$10或等值貨幣 Minimum US\$10 or currency equivalent
代收債券利息 Coupon Interest handling charge	收取利息之0.5% 0.5% of interest amount	派發日收取 Collected on payable date 最低美元\$10, 最多美元\$1,000或等值貨幣 Minimum US\$10, Maximum US\$1,000 or currency equivalent
債券轉倉-轉入 Bonds transfer in	每筆收取美元\$30或等值貨幣 US\$30 or currency equivalent	
債券轉倉-轉出 Bonds transfer out	每筆收取美元\$50或等值貨幣 US\$50 or currency equivalent	
債券贖回 / 提前贖回 Bonds redemption / Early redemption	每筆收取美元\$30或等值貨幣 US\$30 per transaction or currency equivalent	
債券轉換 Bonds conversation	每次收取美元\$60 US\$60 per transaction	另加額外費用 Plus out of pocket charges

## 其他服務 Other Services

服務項目 Services Item	收費 Fee	
現金帳戶逾期交收利息 (年息) Cash Account Overdue Interest (p.a.)	最優惠利率 + 8% (最優惠利率以渣打銀行(香港)有限公司公佈利率為準) Prime Rate + 8% (Prime rate according to Standard Chartered Bank (Hong Kong) Limited quoting)	
保證金帳戶借貸利息 (年息) Margin Financing Interest (p.a.)	最優惠利率 + 3% (最優惠利率以渣打銀行(香港)有限公司公佈利率為準) Prime Rate + 3% (Prime rate according to Standard Chartered Bank (Hong Kong) Limited quoting) 違約利率 : 最優惠利率 + 8% Default Interest Rate : Prime Rate + 8%	
終止支票付款 Stop Payment	每次港幣\$300 HK\$300 per transaction	
退回支票手續費 Handling charges for Returned cheque	每次港幣\$300 HK\$300 per transaction	
跨行轉賬付款(香港內) CHATS (in HK)	每次港幣\$350 HK\$350 per transaction	
電匯 (內地 / 海外) Telegraph Transfer (Mainland China/ Overseas)	每次港幣\$500 HK\$500 per transaction	
資產證明信函 Letter of Confirmation on Assets	每封信港幣\$300 HK\$300 per letter	
郵寄形式收取日、月結單 Receiving Daily Statement and Monthly Statement by Post	每月港幣\$100 HK\$100 per month	電子結單免費 Free of charge for Electronic Statement
重發月結單 Re-issue monthly statement	每份港幣\$100 HK\$100 per statement	3個月內免費 Free of charge for 3 months

### 注意Remarks:

1. 不足一個買賣單位亦視作一個買賣單位計算。  
Odd lots are charges as board lot.
2. 除上述費用外，可能還涉及其他收費。本公司可修改所有佣金及收費，恕不另行通知。  
Additional fees may apply. Commission and fees are subject to change without notice.
3. 除個別費用外，所有費用以原幣收取，如賬戶結餘不足，則以當日之銀行兌換率作換算港幣，恕不另行通知。  
All fees are converted into Hong Kong dollar at the bank exchange rate prevailing date and will be charged if the account did not have relevant currency and without notice.