

## 香港交易及服務費用 HKG – Transaction Fee and Service Charges

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### 港股交易費用 Hong Kong Shares

| 項目 Item                                | 收費 Charges (港元 HKD)                                                                                                     |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| 佣金*<br>Brokerage                       | 電話/ 網上交易佣金: 成交金額的 0.25% (最低收費 100 港元/ 100 人民幣/ 15 美元)<br>0.25% of Transaction Amount (Minimum HKD 100/ CNY 100/ USD 15) |
| 聯交所交易徵費#<br>Trading Fee                | 成交金額的 0.00565%<br>0.00565% of Transaction Amount                                                                        |
| 證監會交易徵費#<br>Transaction Levy           | 成交金額的 0.0027%<br>0.0027% of Transaction Amount                                                                          |
| 印花稅#<br>Stamp Duty                     | 成交金額的 0.1% (不足 1 元為 1 元計算)<br>0.1% of Transaction Amount (roundup to dollar)                                            |
| 港股交收費#<br>Settlement Fee               | 成交金額之 0.01% (包含由香港中央結算收取的聯交所買賣股份交收費 0.0042%)<br>0.01% of Transaction Amount (Including 0.0042% charged by CCASS)        |
| 會計及財務匯報局交易徵費#<br>FRC Transaction Levy  | 成交金額之 0.00015%<br>0.00015% of Transaction Amount                                                                        |
| 投資者賠償徵費#<br>Investor Compensation Levy | 成交金額的 0.002% (證監會由 2005 年 12 月 19 日暫停收取)<br>0.002% of Transaction Amount ( will not be charged on or after 19/12/2005)  |

\*佣金 - 人民幣/美元計價產品將以人民幣/美元收取  
Brokerage (CNY/USD) for CNY/USD product

#其他徵費 - 人民幣計價產品將以交易所當天公佈之匯率計算, 以人民幣收取  
Other Fee - the exchange rates of Hong Kong dollars against Renminbi and US dollars will be published on the HKEx website.

### 中華通 (滬港通/深港通) A 股 交易費用 Shanghai/ Shenzhen-Hong Kong Stock Connect (North-bound trading)

| 項目 Item                          | 收費 Charges (人民幣 CNY)                                                                                                                                                                                     |
|----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 佣金<br>Brokerage                  | 網上交易佣金: 成交金額的 0.15% (最低收費 100 人民幣)<br>Online Trading: 0.15% of Transaction Amount (Minimum CNY 100)<br>電話交易佣金: 成交金額的 0.25% (最低收費 100 人民幣)<br>Phone Trading: 0.25% of Transaction Amount (Minimum CNY100) |
| 經手費<br>Handling Fee              | 成交金額的 0.00341%<br>0.00341% of Transaction Amount<br>ETF: 成交金額的 0.004%<br>0.004% of Transaction Amount                                                                                                    |
| 證管費<br>Securities Management Fee | 成交金額的 0.002%<br>0.002% of Transaction Amount<br>ETF: 豁免 Waived                                                                                                                                           |
| 過戶費<br>Transfer Fee              | 成交金額的 0.003%<br>0.003% of Transaction Amount<br>ETF: 成交金額的 0.002%<br>0.002% of Transaction Amount                                                                                                        |
| 交易印花稅<br>Stamp Duty              | 成交金額的 0.05% (只適用於沽盤)<br>0.05% of Transaction Amount (For SELL trade only)<br>ETF: 豁免 Waived                                                                                                              |
| 投資組合費<br>Portfolio Fee           | 每天持倉價值的 0.008% 年率, 以港元收取<br>0.008% p.a.of daily portfolio value in HKD                                                                                                                                   |

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## 香港交易及服務費用 HKG – Transaction Fee and Service Charges

### 港股股票期權交易及服務費用

| 項目 Item                    |                  | 收費 Charges (港元 HKD)                                                             |
|----------------------------|------------------|---------------------------------------------------------------------------------|
| 佣金<br>Brokerage            |                  | 立約價值(成交金額)之 0.25% (最低收費 50 港元)<br>0.25% of Transaction Amount (Minimum HK\$ 50) |
| 交易所徵費<br>Trading Tariff    | 期權類別 1<br>Tier 1 | 每張合約 3 港元<br>HK\$ 3 per contract                                                |
|                            | 期權類別 2<br>Tier 2 | 每張合約 1 港元<br>HK\$ 1 per contract                                                |
|                            | 期權類別 3<br>Tier 3 | 每張合約 0.5 港元<br>HK\$ 0.5 per contract                                            |
| 備兌認購期權<br>Covered Call     |                  | 每檔股票每宗交易 100 港元<br>HK\$ 100 per Transaction per Underlying                      |
| 行使費用 (交易所)<br>Exercise Fee |                  | 每張合約 2 港元<br>HK\$ 2 per contract                                                |
| 股票交收<br>Stock Settlement   |                  | 按"港股交易費用"執行<br>Refer to "Hong Kong Shares"                                      |

### 滬股通及深股通服務費用 China-Hong Kong Stock Connect (North-bound trading)

| 服務項目 Service Item                                                     | 收費 Charges (人民幣 CNY)                                                                                                                |
|-----------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| 交收指示<br>Settlement Instruction                                        | 每宗提貨交收指示總值的 0.002% (最低收費 2 人民幣), 另每檔股票手續費 200 人民幣<br>0.002% of gross value of a SI transaction (Min CNY 2) and handling fee CNY 200 |
| 收集費 (代收股息/以股代息/ 供股權/ 紅股)<br>Collection fee for Dividend/ Rights Offer | 每宗手續費 50 人民幣<br>CNY 50 per stock                                                                                                    |
| 股息稅<br>Dividend Tax                                                   | 10%                                                                                                                                 |
| 現金/ 特別/ 選擇/ 有限制收購<br>Handling fee for Cash Offer/ Open Offer          | 每宗手續費 50 人民幣<br>CNY 50 per stock                                                                                                    |

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## 香港交易及服務費用 HKG – Transaction Fee and Service Charges

### 港股及其他服務費用 Service Charges

| 服務項目 Service Item                                                                                                                                             | 收費 Charges (港元 HKD)                                                                                               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|
| <b>股份存管服務</b>                                                                                                                                                 |                                                                                                                   |
| 股票存放<br>Physical Scrip Deposit                                                                                                                                | 豁免<br>Free                                                                                                        |
| 股票提取<br>Physical Scrip Withdrawal                                                                                                                             | 每手收費 5 港元, 另加每檔股票 30 港元<br>HKD 5 per board lot and handling charge HKD 30 per stock)                              |
| 轉倉費 (轉入)<br>SI Fee (Receive)                                                                                                                                  | 豁免<br>Free                                                                                                        |
| 轉倉費 (轉出)<br>SI Fee (Deliver)                                                                                                                                  | 上日市值的 0.01% (最低收費 5 港元), 另每檔股票手續費 200 港元<br>0.01% of stock value (Min HKD 5) and handling fee HKD 200             |
| 轉手紙厘印費<br>Transfer Deed Stamp Duty                                                                                                                            | 每張轉手紙 5 港元<br>HKD 5 per transfer form                                                                             |
| 投資者戶口 轉倉費<br>ISI Fee (Stock Receive/ Deliver)                                                                                                                 | 豁免<br>Free                                                                                                        |
| 以買賣單股票轉讓<br>Stock Transfer by Bought Sold Note                                                                                                                | 每邊上日市值的 0.25% (最低收費 250 港元), 另加政府印花稅 (如有)<br>0.25% of stock value (Min HKD 250) per side plus Stamp Duty (if any) |
| <b>公司行動</b>                                                                                                                                                   |                                                                                                                   |
| 公司行動費 (如:行使認股權證, 行使供股權證或現金收購/公司收購私有化等)<br>CorpAction Fee (ie: Warrant Conversion, Rights Subscription, Cash Offer/ Open offer / Privatization Take Over, etc) | 每手 1.5 港元, 另加印花稅及每項手續費 100 港元<br>HKD 1.5 per board lot plus stamp duty if application and handling fee HKD 100    |
| 登記及過戶費<br>Scrip Fee                                                                                                                                           | 每手 2 港元<br>HKD 2 per board lot                                                                                    |
| 收集費 (代收股息/以股代息)<br>Collection fee                                                                                                                             | 股息總值的 0.5% (最低收費 30 港元/ 5 美元)<br>0.5% of total dividend amount (Min HKD 30/ USD 5)                                |
| 代收紅股/ 供股權證<br>Collection fee for Scrip Dividend/ Rights Offer                                                                                                 | 每宗收費 30 港元<br>HKD 30 per stock                                                                                    |
| 代追收股息<br>Dividend Claim                                                                                                                                       | 每單手續費 1,000 港元, 個別情況將收取額外費用<br>HKD 1,000 per claim, Additional fees may be applied in special cases               |
| 出席股東大會/ 投票<br>(適用於港股沪股通及深股通 A 股)<br>Shareholders' Meeting (SEHK & CSC A Shares)                                                                               | 每宗申請 50 港元<br>HKD 50 per application                                                                              |
| <b>其他服務</b>                                                                                                                                                   |                                                                                                                   |
| 強制性補購股份<br>Penalty Compulsory Buy-In                                                                                                                          | 成交金額的 0.5% (最低 200 港元) 及應收的交易徵費<br>0.5% of Transaction Amount (Min HKD 200) and other trading fees                |
| 代辦認購新股<br>IPO application                                                                                                                                     | 每次申請手續費 100 港元<br>HKD 100 per application                                                                         |
| 提款一百萬以內至本地銀行帳戶費用 (銀證轉帳服務除外)<br>Handling Fee for Fund Withdrawal up to 1 Million HKD to Local Bank Account (Except for bank-securities-transfer)               | 每項 10 港元<br>HKD 10 per instruction                                                                                |
| 其他提款費用 (電匯/ CHATS/ 其他)<br>Handling Fee for other Fund withdrawal ( TT/ CHATS/ Others)                                                                         | 每項最高 200 港元, 另加收款銀行手續費<br>Up to HKD 200 plus receiving bank charges                                               |
| 退票<br>Dishonored cheque                                                                                                                                       | 每張 200 港元<br>HKD200 each                                                                                          |
| 郵寄形式收取日結單/月結單<br>Postage charges for statement                                                                                                                | 月費 50 港元 (本地) / 月費 100 港元 (非本地)<br>HKD 50 monthly (Local)/ HKD 100 monthly                                        |

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|                                            |                                                                      |
|--------------------------------------------|----------------------------------------------------------------------|
| 帳戶往來結餘紀錄單重印<br>Duplicate copy of statement | 如超過最近之三個月則每個月收費 50 港元<br>HKD 50 per month if exceed current 3 months |
| 提供資產證明文件<br>Proof of assets                | 每份 200 港元<br>HKD 200 each                                            |

若以人民幣結算/計價之股票, 其他服務費用收費則以人民幣作單位。CNY Charges for CNY product

### 帳戶服務收費

| 服務項目 Service Item                 | 收費 Charges                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
|-----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <u>存倉費 Custody Fee</u>            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 1. 現金客戶 Cash Client               | 1. 豁免<br>Free                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 2. 孖展客戶 Margin Client             | 2. 每半年每手收 0.2 港元<br>HKD 0.2 per board lot every 1/2 year                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 3. 託管客戶 Custody Client            | 3. 每月每手 0.05 港元, 最低 5,000 港元<br>HKD 0.05 per board lot every month, Min. HKD 5,000                                                                                                                                                                                                                                                                                                                                                                                                     |
| <u>帳戶結欠利率 Debit Interest Rate</u> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| 1. 逾期交收費 (只適用於現金客戶) Cash Account  | 1. 最優惠利率+8% (P+8%)                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2. 保證金客戶 Margin Account           | 2. 最優惠利率+3% (P+3%) – 借貸低於可融資股票價值<br>P+3% - applicable to borrowings lower than the margin value of stock collateral<br>或 最優惠利率+5% (P+5%) – 適用於超越可融資股票價值之借貸<br>Or P+5% - applicable to borrowings exceeding the margin value of stock collateral<br>或 最優惠利率+10% (P+10%) – 適用於超越持倉股票市值之借貸<br>Or P+10% - applicable to borrowings exceeding the market value of stock collateral<br><br>最優惠利率為滙豐銀行最優惠利率, 人民幣為中銀香港最優惠利率<br>P = HSBC Prime lending rate<br>CNY P = BOCHK Prime lending rate |