



Fees and Charges – CNY-denominated Securities

Types of Fees and Charges	Details of Fees and Charges
General Transactions	
(1) Commission	To be agreed between Account Manager and Client
(2) Stamp Duty	0.1% for every HK\$1,000.00 of transaction amount or any part thereof
(3) Transaction Levy	0.003% on each transaction amount
(4) Trading Fee	0.005% on each transaction amount
(5) CCASS Settlement Fee	0.002% on each transaction amount (min. charge HK\$2.00, max. charge HK\$100.00)
(6) Overdue Settlement (Cash Clients)	HKD Prime rate of interest as quoted by HSBC+5%, payable on a daily compound basis
(7) Margin Client Interest	HKD Prime rate of interest as quoted by HSBC+3%, payable on a daily compound basis
Nominee Services	
(1) Registration and Scrip Fee	HK¥2.50 per board lot (on net increase in aggregate holdings in Board Lots of registered securities in balances in the CCASS accounts collected by HKSCC) Odd lots also charged at ¥2.50 each
(2) Service charge for collecting cash or share dividends	(1) 0.15% of cash amount of dividend, min. ¥20.00 (2) Shares dividend/bonus shares, FREE
(3) Handling charge for unclaimed entitlements	¥200.00 per claim per stock, plus HKEx, registrar and other charges (Handling charge will not be refunded for unsuccessful claims)
(4) Rights issue / public subscription and exercising warrants	¥1.50 per board lot (Min. ¥50.00 per stock)
(5) Acquisition / Take-over	¥1.50 per board lot (Min. ¥50.00 per stock)
(6) EIPO Application	¥50.00 for each application
(7) IPO Application - YELLOW FORM	¥20.00 for each successful application
(8) Transfer Deed	¥5.00 per transfer deed
(9) Physical Stock Withdrawal	¥5.00 per board lot, odd lot also charged ¥5.00 each
(10) Settlement Instruction (SI)	FREE FOR STOCK DEPOSIT , ¥80.00 for Delivery of stock
(11) Investor Settlement Instruction (ISI)	¥10.00 per transaction
(12) Stock Segregated Accounts with statement service fee(SSA)	¥50.00 per month
Internet Trading Services	
(1) Auto refresh	¥338.00 per month (Stock Quote, HKEx News, Fundamentals, Charting & Stock Screen) * Monthly charge will be waived if monthly turnover > ¥1,500,000.00
(2) Click to refresh	¥0.07 per click (Current quotes, ask/bid price, high/low, opening/ closing price)
(3) Additional transaction charge (Buy/Sell transactions of same stock traded within the same day)	¥10.00 each from 3 rd transaction onwards
Other Charges	
(1) RMB/HKD interchange handling charge (not applicable to above fees and charges)	¥180.00 per transaction
(2) Multi-counter Transfer Instruction	¥10.00 each
(3) Penalty charge for Short Selling	Closing price of short sell shares on settlement date X no. of shares X 0.5%, plus handling charge ¥200.00 (and out of pocket expenses from HKEx)
(4) Returned Cheques	¥100.00 per cheque
(5) Stop cheque payment charge	¥200.00 per cheque
(6) Document requested by client	¥30.00 each
(7) TT/Chats	¥220.00 per transaction
(8) Duplicate Copy of Daily/Monthly Statement - within 3 months - beyond 3 months	Free ¥10 per set

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