

## 港股市场费用及其他收费

### Hong Kong Securities Service and Other Charges

项目 Transaction Type	收费详细 Charge	最高/最低收费 Min. & Max Charge	交/收款时间 Settlement Date
<b>一般收费</b> General Charges			
政府印花稅 Stamp Duty	成交金額之 0.10 % 0.10% of consideration	最低收費港幣 1 元 (不足港幣 1 元之印花稅作港幣 1 元計) Min. HKD 1 (Any fraction of HKD 1 in Stamp Duty payable shall be rounded up to the nearest HKD 1)	T+2
交易徵費 (股票及債券) Transaction Levy (Securities and Bonds)	成交金額之 0.0027 % 0.0027% of consideration	不適用 N/A	T+2
財匯局交易徵費 (包括于首次公开发售股份和优先发售股份) FRC Transaction Levy (including Initial Public Offer share ("IPO Shares") and preferential offer for IPO Shares)	买卖双方须分别缴纳 每宗成交金額之 0.00015 % (計至最接近的仙位數) 0.00015% per side of the consideration (rounded to the nearest cent)	不適用 N/A	T+2
交易費 Trading Fee	成交金額之 0.00565 % (計至最接近的仙位數) 0.00565% of consideration (rounded to the nearest cent)	不適用 N/A	T+2
交收費用 CCASS Fee	成交金額之 0.002 % 0.002% of consideration	最低港幣 2 元 · 最高港幣 1,000 元 Min. HKD 2, Max. HKD 1,000	T+2
意大利金融交易稅 (适用于由常驻意大利公司发行的股份 · 如 #1913) Financial Transactions Tax (Applies to Italian resident companies, e.g. #1913)	股份交易淨額 (正數) x 交易日的加權平均購買價 x 稅率 · 稅率為 0.20 % (稅率以相關機構公布為準) Net trade balance (positive) x Weighted Average Price of purchases x Tax Rate; Tax Rate: 0.20% (The tax rate will subject to the announcement by the relevant parties)	不適用 N/A	T+2

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股票保管費 (只適用於孖展客戶) Stocks Custodian Fee (For Margin Clients only)	每手港幣 0.015 元 (碎股亦作一手計) HKD 0.015 per board / odd lot	不適用 N/A	每月最後一個工作天 Last working day of each month
代客戶申請新股/配股 IPO / Placement Application	現金申請：豁免收費 孖展及配股申請： 每次收費港幣 100 元 Cash Application: Waived Margin / Placement Application: HKD 100 per transaction	不適用 N/A	事項生效之日 Date of Event
取消申請新股/配股 IPO / Placement Application	每次取消申請收費港幣 100 元 HKD 100 per cancelation	不適用 N/A	事項生效之日 Date of Event
孖展戶口利息 Interest (For Margin Account only)	最優惠利率 +3% 以年率計 (特別協議者除外) Prime Rate + 3% per Annum (Except for special agreement)	不適用 N/A	每月之最後一天 Last day of each month
<b>代客戶與第三者調撥股票 (SI 轉倉) Settlement Instruction (SI)</b>			
代交股票 Delivery	上日股票收市總值之 0.01% · 另加港幣 300 元手續費 (以每只股票計算) 0.01% of gross value of last trading day's closing price plus handling fee HKD 300 (per stock)	不適用 N/A	事項生效之日 Date of Event
代收股票 Receive	免費 Free	不適用 N/A	事項生效之日 Date of Event
提取实物股票 Stock Withdrawal	每手港幣 5 元 (碎股亦作一手計算) HKD 5 per board / odd lot	最低港幣 50 元 Min. HKD 50	提取股票之日期 Date of Delivery
存入实物股票 Stock Deposit	免費 Free	不適用 N/A	提取股票之日期 Date of Delivery
轉手紙印花稅 Transfer Deed Stamp Duty	每張港幣 5 元 HKD 5.00	不適用 N/A	提取股票之日期 Date of Delivery
<b>股息服務 Dividend and Bonus</b>			
代客戶收取現金股息或以股息代息 Cash Dividend / Scrip Option	股息之 0.5 % 0.5% of cash dividend	最低港幣 20 元 · 最高港幣 15,000 元 Min. HKD 20 Max. HKD 15,000	從股息中扣除 Deduct from cash dividend
代客戶收取紅股 Bonus Shares / Bonus Warrants	每手港幣 2 元 (以紅股計 · 碎股亦作一手計) HKD 2.0 per board / odd lot (based on no. of bonus shares / warrants)	最低港幣 20 元 · 最高港幣 500 元 Min. HKD 20 Max. HKD 500	派发紅股之日 Bonus allocation date

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<b>股权事项</b> <b>Corporate Actions</b>			
代客户处理一切有关股票拆细、合并和重组等事项 <b>Share Subdivision / Share Consolidation / Reorganisation</b>	每次港币 50 元 HKD 50 per transaction	不适用 N/A	事项生效之后 第二个工作日 Two working days after the Date of Event
代客户处理一切有关供股 / 行使认股权证 <b>Rights / Warrants Subscription</b>	每手港币 0.8 元 ( 碎股亦作一手计 ) 另服务费港币 100 元 · 另加过户处收费 ( 如有 ) \$0.80 per board / odd lot plus \$100 handling charge (plus scrip fee, if any)	最高港币 10,000 元 Max. HKD 10,000	事项生效之日 Date of Event
代客户处理一切有关公司私有化、现金收购等事项 <b>Privatisation / Cash Offer</b>	每手港币 2 元 · 超过 500 手之后每手港币 1 元 ( 碎股亦作一手计 ) · 及政府印花税及转名费 HKD 2 per board / odd lot; HKD 1 for 500 lots thereafter (plus stamp duty & scrip fee)	最低港币 20 元 ( 不包括政府印花税及转名费 ) Min. HKD 20 (Exclude stamp duty & scrip fee)	从收购金额中扣除 Deduct from cash consideration
<b>股份换股</b> <b>Share Exchange</b>	每手港币 2 元 ( 碎股亦作一手计 ) HKD 2 per lot / odd lot	最低港币 20 元 · 最高港币 20,000 元 Min. HKD 20 Max. HKD 20,000	事项生效之后 第二个工作日 Two working days after the Date of Event
<b>追讨权益</b> <b>Claim</b>			
代客户追讨股息及有关权益 <b>Dividend / Bonus Claim</b>	追收一期港币 400 元 ( 无论追收成功与否 · 均须缴付 ) · 另加代收股息红股费用 · 另加过户处收费 ( 如有 ) HKD 400 per claim (charged whether the claim is succeed or not) plus Dividend / Bonus Collection Charge (plus any out-of-pocket expenses, if any)	不适用 N/A	从追收股息中扣除 / 派发追收红股之日 Date of Dividend / Bonus Allocation
<b>股票登记及过户</b> <b>Registration and Transfer</b>			
代客户将托存的股票于记录日期转名 · 以收取有关权益 <b>Share register on bookclose date for entitlement collection</b>	每手港币 2 元 ( 碎股亦作一手计 ) HKD 2 per board / odd lot	不适用 N/A	权益派发之日期 Date of Entitlement Allocation

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## 債券服務及收費

### Bond Service Charges

項目 Transaction Type	收費詳細 Charge	最高/最低收費 Min. & Max Charge	交/收款時間 Settlement Date
<b>一般收費</b> General Charges			
交收費 Settlement Fee	港元債券：港幣 300 元 美元債券：美金 40 元 HKD Bond – HKD 300 USD Bond – USD 40	不適用 N/A	交收日 Date of Settlement
代交債券 Settlement Instruction (Delivery)	港元債券：港幣 300 元 美元債券：美金 40 元 HKD Bond – HKD 300 USD Bond – USD 40	不適用 N/A	事項生效之日 Date of Event
代收債券 Settlement Instruction (Receive)	港元債券：港幣 300 元 美元債券：美金 40 元 HKD Bond – HKD 300 USD Bond – USD 40	不適用 N/A	事項生效之日 Date of Event
債券托管費 Bonds Custodian Fee	孖展戶口：每手計港幣 0.015 元 (不足一手亦作一手計)； 現金戶口：免費； 投資移民戶口：香港交易所上市之債券：免費，非香港交易所上市之債券則定額收費每月港幣 50 元 Margin clients: HKD 0.015 per board (or odd) lot; Cash clients: Free; CIES clients: Free for HKEx listed bonds, HKD 50 per month and per account for non-HKEx listed bonds	不適用 N/A	每月最後一個工作天 Last working day of each month
代收債券利息手續費 Coupon Interest Collection Fee	香港交易所上市之債券：免費； 非香港交易所上市之債券：實際收取利息金額之 0.5% (包括所有類型戶口，如現金戶口、孖展戶口及投資移民戶口) HKEx listed bonds: Free; Non-HKEx listed bonds: 0.5% of the interest amount (applicable to all types of account including Margin, Cash and CIES)	最低港幣 50 元， 最高港幣 1,000 元 Min. HKD 50, Max. HKD 1,000	事項生效之日 Date of Event

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## 美股服务及收费

### US Securities Service Charges

项目 Transaction Type	收费详细 Charge	最高/最低收费 Min. & Max Charge	交/收款时间 Settlement Date
<b>一般收费</b> General Charges			
美国证监会收费 SEC Fees	只按每单沽盘交易收取 * Applicable per SELL trade only*	最低收费 美金 0.01 元 Min. USD 0.01	T+2
预托证券费 ADRs Fee	于截止过户日收取每股 0.01 - 0.05 美元 (代发行商收取) USD 0.01 - 0.05 (Per share per book close collected by the ADR issuers)	不适用 N/A	T+2
托管费 Custody Fee	免费 Free	不适用 N/A	T+2
孖展户口利息 Interest (For Margin Account only)	最优惠利率 +3% 以年率计 (特别协议者除外) Prime Rate + 3% per Annum (Except for special agreement)	不适用 N/A	每月之最后一天 Last day of each month

\* 收费率将按美国证监会每年不定时公布而作出调整。

\* Changeable irregularly per calendar year based on US SEC policy.

## 沪港通/深港通 A 股服务及收费

### Shanghai-HK Stock Connect/ Shenzhen-HK Stock Connect Service Charges

项目 Transaction Type	收费详细 Charge	最高/最低收费 Min. & Max Charge	交/收款时间 Settlement Date
<b>一般收费</b> General Charges			
经手费 Handling Fee	成交金额之 0.00487% 0.00487% of Consideration	不适用 N/A	T+1
证券管理费 Securities Management Fee	成交金额之 0.002% 0.002% of Consideration	不适用 N/A	T+1
过户费 Transfer Fee	成交金额之 0.004% (0.002% 根据中国结算的沪港通 / 深港通规则支付 ; 及 0.002% 根据中央结算系统一般规则支付。) 0.004% of Consideration (0.002% to be charged under ChinaClear's Shanghai & Shenzhen Stock Connect Rules; and 0.002% to be charged under the General Rules of CCASS.)	不适用 N/A	T+1

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交易印花稅 Stamp Duty	成交金額之 0.1% (賣方支付) 0.1% of consideration (for sell trade only)	不適用 N/A	T+1
組合費 Portfolio Fee	每天之滬深股組合市值 x 0.008% / 365 (每日計算·按月收取) Daily stock portfolio value x 0.01% / 365 (Accrued daily and collected on a monthly basis)	不適用 N/A	每月最後一天 Last working day of each month
紅利稅 (適用於紅利及送股) Dividend Tax (Applicable to cash dividend and bonus issue)	參照國家稅務總局之最新公布為準 Subject to the latest announcement with State Administration of Taxation	不適用 N/A	待國家稅務總局厘清 Subject to clarification with State Administration of Taxation
資本增值稅 (適用於股份賣出) Capital Gain Tax (Applicable to share disposal)	參照國家稅務總局之最新公布為準 Subject to the latest announcement with State Administration of Taxation	不適用 N/A	待國家稅務總局厘清 Subject to clarification with State Administration of Taxation

## 股票期權服務及收費

### Hong Kong Stock Options Service Charges

項目 Transaction Type	收費詳細 Charge	最高 / 最低收費 Min. & Max Charge
一般收費 General Charges		
交易費用 Trading Fees	第一類：每邊每張合約港幣 3.0 元 Tier 1: HKD 3.00 per contract per side	不適用 N/A
	第二類：每邊每張合約港幣 1.0 元 Tier 2: HKD 1.00 per contract per side	
	第三類：每邊每張合約港幣 0.5 元 Tier 3: HKD 0.50 per contract per side	

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## 香港期貨服務及收費

### Hong Kong Futures Service and Other Charges

产品名称 Product Name	货币 Currency	系统费用 System Fee	市场费用 (包括交易所费用及相关征费等)(单边)* Market Fee (include Exchange Fee, Levy etc.) (per side)*
Product Name	Currency	每张 Per Contract	
<b>大型指数期货</b> Index Futures			
恒生指数期货 Hang Seng Index Futures	港币 HKD	2.00	10.54
H 股指数期货 H-shares Index Futures			4.04
恒生科技指数期货 Hang Seng Tech Index Futures			5.54
<b>小型指数期货</b> Mini-Index Futures			
小型恒生指数期货 Mini - Hang Seng Index Futures	港币 HKD	2.00	3.60
小型 H 股指数期货 Mini - H-shares Index Futures			2.10
<b>大型指数期权</b> Index Options			
恒生指数期货期权 Hang Seng Index Options	港币 HKD	2.00	10.54
H 股指数期货期权 H-shares Index Options			4.04
恒生科技指数期货期权 Hang Seng Tech Index Options			5.54
<b>小型指数期权</b> Mini-Index Options			
小型恒生指数期货期权 Mini-Hang Seng Index Options	港币 HKD	2.00	2.10
小型 H 股指数期货期权 Mini-H-shares Index Options			1.54
<b>汇率产品</b> Foreign Exchange Product			
美元兑人民币(香港)期货 USD/CNH Futures	人民币 CNY	2.00	8.00
美元兑人民币(香港)期权 USD/CNH Options			8.00

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小型汇率产品 Mini-Foreign Exchange Product			
小型美元兑人民币（香港）期货 Mini USD/CNH Futures	人民币 CNY	2.00	1.60
MSCI 指数 MSCI Index			
中国 A50 互联互通指数 MSCI China A 50 Connect Index	美元 USD	0.30	1.07
个股期货 Single Stock Futures			
股票期货 Stock Futures	港币 HKD	2.00	类别一：3.10 Tier 1: 3.10
			类别二：1.10 Tier 2: 1.10
			类别三：0.60 Tier 3: 0.60
其他 Others			

\* 相关收费将根据交易所及监管机构不时公布的收费为准。

\* The relevant exchange fees and levy charges are based on announcement made by Exchanges and Regulators from time to time.

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## 环球期货服务收费

### Global Futures Service Charges

产品名称 Product Name		货币 Currency	市场费用 (包括交易所费用及相关征费等)* Market Fee (Include Exchange Fee, Levy etc.)*	系统费用 System Fee 每张 Per Contract
美国期货 US Futures	期货产品 Futures	美元 USD	根据相关交易所公布 Please Refer to Company's Website	1.00
	小型期货产品 Mini-Futures			1.00
	微型期货产品 Micro-Futures			1.00
美国期权 US Options				1.00
英国期货 (伦敦金属交易所) UK Futures (LME)				8.00
新加坡期货 SGX Futures				1.00

## 其他收费

### Other charges

项目 Items	收费详细 Charge	最高/最低收费 Min. & Max Charge	交/收款时间 Settlement Date
重印月结单 Statement Re-print	每月港币 80 元 HKD 80 per month	不适用 N/A	接受办理之日期 Date of Event
长期不动户口 Dormant Account	每年港币 100 元 HKD 100 per year	不适用 N/A	如在过去一年内未有动用之户口， 有关手续费将于翌年之一月份收取 If an account is dormant in the past year, handling fee to be charged in January of the following year.
支票退回 Bounced Cheque	港币 200 元 (每次每张退票计) HKD 200 (Per cheque per transaction)	不适用 N/A	事项发生之日 Date of Event
邮寄结单 Mailing Statement	每月港币 20 元 HKD 20 per month	不适用 N/A	每月最后工作天 Last working day of each month
更改账户类别 Change of Account Nature	每个账户港币 20 元 HKD 20 per account	不适用 N/A	不适用 N/A
申请资产证明/审计询证 Asset Proof Application / Audit Confirmation	港币 300 元 (每宗申请每张计) HKD 300 (Per proof per application)	不适用 N/A	接受办理之日期 Date of Event

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- 本人/吾等已细阅及完全明白上述服务及收费详情，并同意确认及接受所有内容。

I/We confirm I/we have read and fully understand the services charges mentioned above, and agree to confirm and accept all of them.

客户签署：

Client's Signature:

\_\_\_\_\_

姓名：

Name:

\_\_\_\_\_

日期：

Date:

\_\_\_\_\_

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