



## 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 General Charges</b>			
政府印花税 Stamp Duty	成交金额之 0.10% 0.10% of consideration	最低港币 1 元 ( 不足港币 1 元之印花税作港币 1 元计 ) Min. HKD 1 (Any fraction of HKD 1 in Stamp Duty payable shall be rounded up to the nearest HKD 1)	T+2
交易征费 ( 股票及债券 ) Transaction Levy (Securities and Bonds)	成交金额之 0.0027% 0.0027% of consideration	不适用 N/A	T+2
财汇局交易征费 ( 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 每宗成交金额之 0.00015% ( 计至最接近的仙位数 ) 0.00015% per side of the consideration (rounded to the nearest cent)	不适用 N/A	T+2
交易费 Trading Fee	成交金额之 0.00565% ( 计至最接近的仙位数 ) 0.00565% of consideration (rounded to the nearest cent)	不适用 N/A	T+2
交收费用 CCASS Fee	按相关交易货币总值之 0.0042% 每宗以交易所买卖产品庄家身份进行的合资格庄家交易，按相关交易的货币总值的 0.0020% 0.0042% of gross value of an Exchange Trade in the Eligible Currency of such Exchange Trade An alternative rate 0.0010% of gross value of the eligible market making crossed Exchange Trade1 undertaken by ETP Market Makers in the Eligible Currency of such Exchange Trade	不适用 N/A	T+2

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意大利金融交易税 (适用于由常驻意大利公司发行的股份，如 #1913)  <b>Financial Transactions Tax (Applies to Italian resident companies, e.g. #1913)</b>	股份交易净额 (正数) x 交易日的加权平均购买价 x 税率 税率为 0.10% (税率以相关机构公布为准)  Net trade balance (positive) x Weighted Average Price of purchases x Tax Rate Tax Rate: 0.10% (The tax rate will subject to the announcement by the relevant parties)	不适用 N/A	T+2
股票保管费 (只适用于孖展客户)  <b>Stocks Custodian Fee (For Margin Clients only)</b>	每手港币 0.015 元 (碎股亦作一手计) HKD 0.015 per board / odd lot	不适用 N/A	每月最后一个工作天 Last working day of each month
代客户申请新股 / 配股  <b>IPO / Placement Application</b>	现金申请：豁免收费 孖展及配股申请： 每次收费港币 100 元  Cash Application: Waived Margin / Placement Application: HKD 100 per transaction	不适用 N/A	事项生效之日 Date of Event
取消申请新股 / 配股  <b>IPO / Placement Application</b>	每次取消申请收费港币 100 元 HKD 100 per cancelation	不适用 N/A	事项生效之日 Date of Event
孖展户口利息  <b>Interest (For Margin Account only)</b>	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

#### 代客户与第三者调拨股票 (SI 转仓) Settlement Instruction (SI)

代交股票  <b>Delivery</b>	上日股票收市总值之 0.01% · 另加港币 300 元手续费 (以每只股票计算)  0.01% of gross value of last trading day's closing price plus handling fee HKD 300 (per stock)	不适用 N/A	事项生效之日 Date of Event
代收股票  <b>Receive</b>	免费 Free	不适用 N/A	事项生效之日 Date of Event
提取实物股票  <b>Stock Withdrawal</b>	每手港币 5 元 (碎股亦作一手计算) HKD 5 per board / odd lot	最低港币 50 元 Min. HKD 50	提取股票之日期 Date of Delivery
存入实物股票  <b>Stock Deposit</b>	免费 Free	不适用 N/A	存入股票之日期 Date of Deposit
转手纸印花税  <b>Transfer Deed Stamp Duty</b>	每张港币 5 元 HKD 5	不适用 N/A	提取股票之日期 Date of Delivery

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股息服务 Dividend and Bonus			
代客户收取现金股息或以股息代息 <b>Cash Dividend / Scrip Option</b>	股息之 0.5% 0.5% of cash dividend	最低港币 20 元 最高港币 15,000 元 Min. HKD 20 Max. HKD 15,000	从股息中扣除 Deduct from cash dividend
代客户收取红股 <b>Bonus Shares / Bonus Warrants</b>	每手港币 2 元 ( 以红股计 · 碎股亦作一手计 ) HKD 2 per board / odd lot (based on no. of bonus shares / warrants)	最低港币 20 元 最高港币 500 元 Min. HKD 20 Max. HKD 500	派发红股之日 Bonus Allocation Date
股权事项 Corporate Actions			
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 第五个工作日 Five 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 ) HKD 0.80 per board / odd lot plus HKD 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
股份换股 <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 第二个工作天 Two working days after the Date of Event
追讨权益 Claim			
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



股票登记及过户 Registration and Transfer			
代客户将托存的股票于记录日期转名，以收取有关权益 Share register on book-close date for entitlement collection	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

## 债券服务及收费 Bond 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
一般收费 General Charges			
交收费 Settlement Fee	港元债券：港币 300 元 人民币债券：人民币 280 元 美元债券：美金 40 元 HKD Bond: HKD 300 RMB Bond: RMB 280 USD Bond: USD 40	不适用 N/A	交收日 Date of Settlement
代交债券 Settlement Instruction (Delivery)	港元债券：港币 300 元 人民币债券：人民币 280 元 美元债券：美金 40 元 HKD Bond: HKD 300 RMB Bond: RMB 280 USD Bond: USD 40	不适用 N/A	事项生效之日 Date of Event
代收债券 Settlement Instruction (Receive)	港元债券：港币 300 元 人民币债券：人民币 280 元 美元债券：美金 40 元 HKD Bond: HKD 300 RMB Bond: RMB 280 USD Bond: USD 40	不适用 N/A	事项生效之日 Date of Event

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债券托管费 <b>Bonds Custodian Fee</b>	孖展户口：每手计港币 0.015 元 ( 不足一手亦作一手计 )； 现金户口：免费； 投资移民户口： 香港交易所上市之债券：免费， 非香港交易所上市之债券则定额收费 每月港币 50 元  Margin clients: HKD 0.015 per board / odd lot; Cash clients: Free; CIES clients: Free for HKEx listed bonds, HKD 50 per month and per account for non-HKEx listed bonds	不适用 N/A	每月最后一个工作天 Last working day of each month
代收债券利息手续费 <b>Coupon Interest Collection Fee</b>	香港交易所上市之债券：免费； 非香港交易所上市之债券：实际收取 利息金额之 0.5% ( 包括所有类型户 口，如现金户口、孖展户口及投资移 民户口 )  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 港币 50 元 人民币 48 元 美元 7 元  最高 港币 1,000 元 人民币 920 元 美元 140 元  Min. HKD 50 RMB 48 USD 7  Max. HKD 1,000 RMB 920 USD 140	事项生效之日 Date of Event

## 美股服务及收费

### US Securities Service Charges

项目 <b>Transaction Type</b>	收费详细 <b>Charge</b>	最高/最低收费 <b>Min. &amp; Max. Charge</b>	交/收款时间 <b>Settlement Date</b>
<b>一般收费 General Charges</b>			
美国证监会收费 <b>SEC Fees</b>	成交金额之 0.00278% · 只按每单沽盘交易收取* 0.00278% of Consideration, Applicable per SELL trade only*	最低美金 0.01 元 Min. USD 0.01	T+1
结算费 <b>Settlement Fee</b>	每股美金 0.006 元 · 美国保管人及执行经纪收取 USD0.006 per share, Charged by US Custodian and Execution Broker	最低美金 0.35 元 Min. USD 0.35	T+1
盘前 / 盘后交易费 <b>Pre-Market / Post-Market Trading Fee</b>	每股美金 0.003 元 USD0.003 per share	不适用 N/A	T+1

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交易活动费 <b>Trading Activity Fee</b>	每股美金 0.000166 元 · 美国金融业监管局收取 · 只按每单沽盘交易收取  USD 0.000166 per share, Charged by FINRA, Applicable per SELL trade only	最低美金 0.01 元 · 最高美金 8.30 元  Min. USD 0.01, Max. USD 8.30	T+1
预托证券费 <b>ADRs Fee</b>	于截止过户日收取每股美金 0.01 - 0.05 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+1
托管费 <b>Custody Fee</b>	不适用 N/A	免费 Free	T+1
股权事项# <b>Corporate Action#</b>	不适用 N/A	最低港币 500 元 ( 或等值货币 )  Min. HKD 500 (or its equivalent currency)	事项生效之日 Date of Event
孖展户口利息 <b>Interest (For Margin Account only)</b>	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.

# 只限自愿性股权事项。

# For Voluntary Corporation action only.

## 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 <b>Transaction Type</b>	收费详细 <b>Charge</b>	最高/最低收费 <b>Min. &amp; Max. Charge</b>	交/收款时间 <b>Settlement Date</b>
<b>一般收费 General Charges</b>			
经手费 <b>Handling Fee</b>	成交金额之 0.00341% 0.00341% of Consideration	不适用 N/A	T+1
证管费 <b>Securities Management Fee</b>	成交金额之 0.002% 0.002% of Consideration	不适用 N/A	T+1

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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 China Clear'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
交易印花税 Stamp Duty	成交金额之 0.1% (卖方支付) 0.1% of consideration (for sell trade only)	不适用 N/A	T+1
组合费 Portfolio Fee	每天之沪深股组合市值 x 0.01% / 365 (每日计算，按月收取) Daily stock portfolio value x 0.01% / 365 (Accrued daily and collected on a monthly basis)	每月最低人民币 50 元 Min. monthly fee RMB 50	每月最后一天 Last working day of each month
红利税 (适用于红利及送股) Dividend Tax (Applicable to cash dividend and bonus issue)	参照国家税务总局之最新公布为准 Subject to the latest announcement with State Administration of Taxation	不适用 N/A	待国家税务总局厘清 Subject to clarification with State Administration of Taxation
资本增值税 (适用于股份卖出) Capital Gain Tax (Applicable to share disposal)	参照国家税务总局之最新公布为准 Subject to the latest announcement with State Administration of Taxation	不适用 N/A	待国家税务总局厘清 Subject to clarification with State Administration of Taxation

## 其他环球股票服务及收费

### Other Global Stocks 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
一般收费 General Charges			
股息 (不适用于港股市场及沪港通/深港通 A 股) Dividend Charges (Not applicable to Hong Kong Securities and Shanghai-HK Stock Connect/ Shenzhen-HK Stock)	股息之 2% 2% of dividend	最低港币 120 元 (或等值货币) Min. HKD 120 (or its equivalent currency)	从股息中扣除 Deduct from cash dividend

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股权事项 ( 不适用于美股 ) <b>Corporate Action (Not applicable to US Securities)</b>	不适用 N/A	最低港币 200 元 ( 或等值货币 ) Min. HKD 200 (or its equivalent currency)	事项生效之日 Date of Event
托管费 ( 只适用于台股 ) <b>Custody Fee (Only applicable to Taiwan Securities)</b>	每天之台股组合市值 $\times 0.15\% / 365$ ( 每日计算 , 按月收取 ) Daily stock portfolio value $\times 0.15\% / 365$ (Accrued daily and collected on a monthly basis)	每月最低港币 100 元 Min. monthly fee HKD 100	每月最后一天 Last working day of each month
转出股票 <b>Stock Transfer Out</b>	不适用 N/A	最低港币 600 元 ( 或等值货币 ) Min. HKD 600 (or its equivalent currency)	提取股票之日期 Date of Delivery

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## 股票期权服务及收费 Hong Kong Stock Options Service Charges

项目 Transaction Type	收费详细 Charge	最高 / 最低收费 Min. & Max Charge
<b>一般收费 General Charges</b>		
交易费用 Trading Fees	第一类：每边每张合约港币 3 元 Tier 1: HKD 3 per contract per side	不适用 N/A
	第二类：每边每张合约港币 1 元 Tier 2: HKD 1 per contract per side	
	第三类：每边每张合约港币 0.5 元 Tier 3: HKD 0.5 per contract per side	

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## 香港期货服务及收费

### 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)*
<b>大型指数期货 Index Futures</b>			
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 Mini-Index Futures</b>			
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 Index Options</b>			
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 Mini-Index Options</b>			
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 Foreign Exchange Product</b>			
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	美元 USD	根据相关交易所公布 Please Refer to Company's Website	1.00
			1.00
			1.00
美国期权 US Options	新加坡元 SGD	根据相关交易所公布 Please Refer to Company's Website	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
新加坡期货 ( 适用于新加坡元交易 ) SGX Futures (Applicable to SGD transaction)	新加坡元 SGD		1.50

\* 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.

## 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
补发月结单 Regeneration of Statement	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.

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支票退回 <b>Bounced Cheque</b>	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 <b>Mailing Statement</b>	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 <b>Change of Account Nature</b>	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 <b>Asset Proof Application / Audit Confirmation</b>	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

- 以上收费仅供参考。部分市场费用乃由证券及期货事务监察委员会、香港交易及结算所有限公司、香港特别行政区政府、中央结算系统、香港中央结算有限公司、上海证券交易所、深圳证券交易所、中国证券监督管理委员会、中国证券登记结算有限责任公司、国家税务总局、股票过户登记处或港交所参与者不时厘定及收取。英皇证券有限公司及英皇期货有限公司（「本公司」）有权不时修订服务收费而不另行通知客户。

The above fee schedule is for reference only. Part of the market fee are funded by Securities and Futures Commission, Hong Kong Exchanges and Clearing Limited, The Government of the Hong Kong Special Administrative Region, CCASS Shareholding, Hong Kong Securities Clearing Company Limited, Shanghai Stock Exchange, Shenzhen Stock Exchange, China Securities Regulatory Commission, China Securities Depository and Clearing Corporation Limited, State Taxation Administration, HKEX'S Registrar and Transfer Office and Exchange Participant determined and received from time to time. Emperor Securities Limited and Emperor Futures Limited ("Our Company") reserves the right to amend the service charge(s) from time to time without prior notice to clients.

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To protect your interest, you are advised to refer to our company website (<http://www.EmperorCapital.com>) from time to time to obtain the latest service charge(s) of relevant investment product(s). If you have any enquiry, you are welcome to contact your Relationship Manager or Customer Services Department at (852) 2919 2919.

- 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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